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KUALA LUMPUR 2008 CONGRESS

Archives, access
and development

CONGRÈS 2008 KUALA LUMPUR

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et développement



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Archives, access and development

Margaret Procter

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

This is the second volume of selected proceedings of the ICA Congress held in Kuala Lumpur in July 2008. The first volume of proceedings (2008:1) comprised papers dealing with the role of archives and recordkeeping in and for governance, one of the three sub-themes of the Congress. This volume contains papers relating to the management and exploitation of archives and records, and to the training and educational needs of archivists themselves.

The volume thus ranges from new standards for the management of record-creating systems and for records' appraisal, description and storage, to new methods of public access to those records. In addition it considers archives as part of global heritage and the extent to which increased demand for access to these resources makes, in turn, new demands on archivists themselves to enhance their own skills and capabilities.

Archives, accès et développement

Margaret Procter

Rédactrice en chef, au nom du comité de rédaction

Voici le second volume sélectionnant des Actes du Congrès ICA de Kuala Lumpur en juillet 2008. Le premier volume des Actes (2008 : 1) comprenait des textes relatifs au rôle des archives et de la conservation des documents dans et pour la gouvernance, un des trois sous-thèmes du Congrès. Le présent volume contient des articles sur la gestion et l'exploitation des archives et des documents, ainsi que sur la formation et les besoins en formation initiale et continue des archivistes eux-mêmes.

Ce volume couvre donc un éventail allant des normes nouvelles de gestion des systèmes de création des documents, des normes d'évaluation, de description et de conservation, jusqu'aux nouvelles méthodes permettant l'accès public à des documents. En outre, il prend en compte les archives comme une partie du patrimoine global, ainsi que les exigences nouvelles posées à l'archiviste par l'accroissement des demandes d'accès à ces ressources, les obligeant à améliorer leurs compétences et leurs capacités.

Archive, Zugang zu Archiven und Entwicklung

Margaret Procter

Chefredakteurin, im Namen der Redaktion

Dies ist der zweite Band mit ausgewählten Tagungsbeiträgen des ICA-Kongresses, der im Juli 2008 in Kuala Lumpur stattfand. Der erste Tagungsband (2008: 1) enthielt Beiträge zur Rolle der Archive und Schriftgutverwaltung innerhalb und für die Regierungsführung, eines der drei Unterthemen des Kongresses. Der vorliegende Band vereint Texte über die Verwaltung und Nutzung von Archiven und Unterlagen sowie über die Ausbildung und den Ausbildungsbedarf von Archivaren.

Thematisch reichen die Beiträge von neuen Standards für die IT-gestützte Vorgangsbearbeitung, die Bewertung von Schriftgut sowie die Erschließung und Verwahrung von Archivgut bis hin zu neuen Methoden des öffentlichen Zugangs zu den Unterlagen. Außerdem geht es um Archive als Teil des globalen Kulturerbes sowie das Ausmaß, in dem sich die wachsende Nachfrage nach Zugang zu Archivgut auf höhere Kompetenzen und Fertigkeiten der Archivare auswirkt.

Archivos, acceso y desarrollo

Margaret Procter

Editora Jefe, en representación del Comité Editorial

Éste es el segundo volumen de las actas seleccionadas del Congreso del CIA celebrado en Kuala Lumpur en julio de 2008. El primer volumen de las actas (2008:1) comprendía aportaciones que tratan del papel de los archivos para el gobierno, uno de los tres subtemas del Congreso. Este volumen contiene las ponencias relativas a la gestión y explotación de archivos y documentos, y a las necesidades de formación y educación de los propios archiveros.

El volumen así abarca desde los estándares para la gestión de sistemas de creación de documentos y para la valoración y selección, descripción y almacenamiento de los documentos, hasta los nuevos métodos de acceso público a esos documentos. Además, considera los archivos como parte del patrimonio global y el punto hasta el que la creciente demanda de acceso a estas fuentes genera, a su vez, nuevas demandas a los mismos archiveros para ampliar sus propias habilidades y capacidades.

Архивы, доступ и развитие

Маргарет Проктер

Главный редактор, от имени Редакционной коллегии

Перед Вами второй выпуск материалов Конгресса МСА, состоявшегося в Куала-Лумпуре в июле 2008. Первый выпуск (2008:1) включал в себя доклады о роли архивов в деле организации управления, что являлось одной из трех подтем Конгресса. Этот том содержит материалы, касающиеся управления и эксплуатации архивов и документов, об обучении и повышении квалификации архивистов.

Тематика сообщений выпуска простира-

ется, таким образом, от разработки новых стандартов для управления системами по созданию, оценке, описанию и хранению документов до новых методов организации общественного доступа к этим документам. Кроме того, он рассматривает архивы как часть глобального наследия и степень, до которой увеличиваются требования по доступу, предъявляет соответственно новые требования к архивистам в отношении их собственных навыков и способностей.

الأرشيف، الإتاحة والتنمية

مارجريت بروكتر بالإتابة عن هيئة التحرير

فإن هذا المجلد يتراوح بين المعايير الجديدة في إدارة نظم إنشاء السجلات، وتقييمهما، ووصفها وخزنها، وبين الطرق الجديدة لإتاحة تلك السجلات للجمهور. وبالإضافة إلى ذلك فإن تلك البحوث تنظر للأرشيف باعتباره تراثاً عالمياً، وما يترتب على ذلك من ضرورة لزيادة الإتاحة لتلك الموارد، ومن ثم يزداد استخدام الأرشيفات ذاتها، الأمر الذي يتطلب النهوض بمهاراتها وقدراتها.

هذا هو المجلد الثاني من الوقائع المختارة لمؤتمر المجلس الدولي للأرشيف الذي عقد في كوالالمبور في يوليو 2008م. وكان المجلد الأول (1:2008) قد تضمن البحوث التي تناولت دور الأرشيف وحفظ السجلات في الإدارة، وكان ذلك أحد المحاور الثلاثة للمؤتمر. أما هذا المجلد الثاني فيحتوي على البحوث ذات الصلة بإدارة واستغلال الأرشيف والسجلات، واحتياجات الأرشيفيين أنفسهم من حيث التدريب والتثقيف. وهكذا

档案、利用和发展

编辑委员会主编
玛格丽特 · 宝洁

这是2008年7月吉隆坡国际档案大会报告选集的第二卷。大会报告选集第一卷(2008:1)由论述档案馆和文件保管在治理中的作用的报告组成，是大会三个分主题之一。本卷则由档案和文件的管理和开发利用、档案工作者自身的教育和培训为内容的报告组成。因此，本卷内容的范围上至文件生

成系统的管理新标准，文件的鉴定、著录和存储新标准；下至公众利用文件的新方法。此外，鉴于档案作为全球遗产的一部分，利用这些资源的需求日益增加，本卷内容还有对档案工作者提升自身技能和能力的新要求的思考。

Names, places and history. Two projects on universal access to primary sources and Brazilian historiography

Myriam Bahia Lopes

■ Myriam Bahia Lopes is a professor in the School of Architecture of The Federal University of Minas Gerais (UFMG), Brazil.

The two projects The Visual Memory Network of Victoria Bay, and Itabirito names and places construct a methodology to universalize historical information. They speak to the 'historian-collector' who uses the Internet to link information. The projects allow for a critical reflection upon the history of Baía de Vitória and the region of Itabirito in Brazil. Its approach moves the network away from universal history and chronological time in which the date sequence supplies an a priori sense for historical development and the logic sequencing of facts. Instead, the network offers many different ways of accessing the images and texts, by exploring the web and interweaving technological effects as opposed to linear homogeneous time and thus allowing for many different ways of producing history.

To begin, we note the precarious relationship between history and the sources for Brazilian society and culture. The state of conservation of documents and the frequent destruction of sources constitute a tragic daily routine for Brazilian researchers. As a result, aware of the precarious conditions of access to sources for historical research, we investigated how new levels of technology and digital culture could contribute to reversing this situation. What would be the outcome of providing access to source material about cities which occupy a marginal position in Brazilian urban history?

On the one hand, both projects study cities whose history lies in the shadowed recesses of Brazilian urban historiography. A project to collect and organize sources would be an important step in changing this situation. On the other hand we observed, in the present life of the city, elements which diverge from and are not included in the various frameworks for Brazilian urban historiography; in reuniting and organizing a collection of documents and creating series we were obtaining information which could give form to these questions.¹ By recognizing the processes that occurred in the city we could produce a test of urban theory and a critique of models that do not apply to either of the cities being studied.

Memory, history and space

Museums and collections, as we now know them, emerged in the 19th century. These museums gathered images and documents that were classified in chronological series and by keywords. The guiding principle in projects such as the Baía de Vitória Visual Memory Network is that history is a journey that can be displayed in a gallery where chronological sense guides both movement through space and the sequence of images, objects, and texts. These 'memory places' face a paradox:

the past no longer exists while, on the other hand, memory is constructed between the act of remembering and forgetting. Museums and archives aim to stop the stream of time, freeze its action, and erase its destructive effects. They work against the lapsing of memory and seek to recover meaning from the fragments which have survived until our present.

Both museums and collections intend to gather in the same place records that help restore the history of places circumscribed by geopolitical borders. These 19th century institutions seek to structure the historical meaning of each nation using the chronology of universal history as the scale of time. Hence, in the museum, the intention is to create space-temporal units that are organized in such a way as to display the scenes along the visitors' route.

We started with the interpretation of the words 'collection' and 'collector' drawing from the works of German philosopher Walter Benjamin (1892-1940). In his theoretical reflections on history, he criticizes the idea of 'immersing' in the past - the basis for historicism - and defends an 'aesthetics of fragment'. Benjamin believed that an object in a collection achieves a meaning that is different from that given by the marketplace. For the collector, each new object acquired recreates the meaning of the entire collection. According to Benjamin, what is decisive in the art of collecting '... is that the object is detached from all its primitive functions in order to relate them, as close as possible, to objects that are similar to them'. Moving away from the criteria of utility, the collector goes beyond '... the object's mere existence and integrating it into a new historic system especially created for that goal, i.e., the collection itself.'²

A website provides the fluidity of navigation or, in other words, the possibility of juxtaposing images from different contexts together on the same screen, or shuffling them like cards in a game. Such a prospect allows for the visual disruption

1 BAHIA LOPES, M. "Representações de uma ilha portuária». In: BRESCIANI, M S Palavras da Cidade. Porto Alegre, UFRGS/UNESCO, 2001, p. 329-342.

2 BENJAMIN, W. *Paris Capitale du XIX^e siècle*. Paris, CERF, 1989, p 222.

of the continuum – the notion of linear time is associated with the pace of progress and evolution. The aesthetics of fragment and the possibility of playing with the order and size of the files convey the image of the collector organizing his collection by taking the objects away from their functional context. As in the collection, the text or image file in the Internet navigation makes sense within a mobile 'series' and each new item rebuilds the entire meaning of that series, broadening the organizing possibilities.

Also according to Benjamin,

to the authentic collector, each single object inside its system becomes an encyclopedia that gathers everything we know about a certain period ... The greatest sortilege to the collector is capturing the object in a magic circle... everything that is present in the memory, thought or consciousness becomes a pedestal, frame or container to the object ... The collector's art is a practical way of remembering, and the most convincing one among the profane manifestations of proximity.

He adds that, to the collector, the objects of a collection seem to be in an eternal flow and '...the world is present and organized in each of those objects.'³

Our projects speak to the historian-collector who uses internet navigation as a means of linking information. However, they intend to detach the notion of 'series' from the context of production in the methodical school. This 19th century historiography movement postulated that, through scientific rigor, it would be possible to bring scientific objectivity and neutrality to the field of history.

The first challenge is to understand the methodological structure that supports some procedures for classification of information currently used in Western archives. But the second challenge is to explore the extent of possibilities created by the advent of digital technology, with a storage capacity

for information unprecedented in the history of archives, libraries or museums, and the promise of universal access to the very foundations of the historic and social heritage of a given society. The study of this takes as its point of departure the necessity of focusing on the production of history as a process⁴ composed of different phases; in other words, the production of sources, research and writing. History is understood as a productive process that for the purpose of analysis can be deployed on technological, social, economic, institutional and political planes. From the framework of the socio-technical context in which the act of collection, the creation of the document and the diffusion of the information take place, we can see the historicity of the production of history.

Paul Ricoeur reminds us that there can be no study of history without the construction of series, and series in their turn give rise to the exercise of criticism.⁵ History is true to its etymology in Greek: ιστορία, search, or research. The creation of research tools on the web, search engines, the cross-referencing of information loaded into a database, all seek to explore the gamut of arrangements of pieces of information into a series that will be constructed from the researcher's investigations. We use the creation of research tools as a way of combining a reflection on history and work with the organization and access to images of the documents.

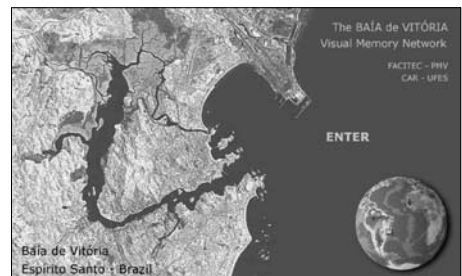


Photo 1: Victoria Bay.

⁴ CERTEAU, M.A. *L'écriture de l'histoire*. Paris, PUF, 1984.

⁵ RICOEUR, P. *Histoire et vérité*, Paris, Seuil, p 30.

³ Ibid, p 222.

The history of the state of Espírito Santo began in the Baía de Vitória. This bay ranges in depth from 5 to 25 meters and along its shores are found the municipalities of Vitória (founded in 1551), Vila Velha (1535), Cariacica and Serra. The channel provides a natural harbour that includes the ports of Vitória (built between 1911 and 1940) and Capuaba (opened in 1978). The most important places in the bay are the Convento da Penha, Garganta and Elevação do Penedo, both in Vila Velha, and downtown Vitória. The back part of the bay is called Lameirão; it is covered by mangrove swamps and is located at the mouth of Santa Maria River.

The present author conceived this network while working on the history of the representations of the Port of Vitória during an internship as a *recent* PhD. graduate at the Federal University of Espírito Santo. Studies showed that the Bay's current appearance is the result of land reclamations, carried out from the 1850s. Considering the vast amount and richly iconic material uncovered, we found it convenient to digitize it in order to store and explore it using history, architecture and computing.

Construction of the 'memory network' began in May 1999, using a mix of documentary, photographic and cartographic languages. With the essential participation of Helder Côco, from the Consultoria e Desenvolvimento de Sistemas Ltda., the project is built upon the high speed of combinatory and interactive processes available through digital technology. Thus it rejects the pretension of totality in history: the organization that is required by a digital support is fragmentary. If a second screen of the webpage shows a chronological line organizing texts and images, then the following step entangles this line, making it disappear as a written text against the computer screen where text and images are juxtaposed under the navigator's command.

The connection of digital files according to their similarities allows a displacement that links different places and periods and

clearly displays them on the same screen. The series is distributed as a network as each requested piece of information is connected to a similar set. This approach moves the network away from universal history and the time of the chronologies, in which the date sequence supplies an *a priori* journey for the historical development and the logic sequencing of facts. The network offers many different ways of accessing the images and texts, by exploring the web and interweaving technological effects in opposition to lineal homogeneous time. Its first product is the home page: <http://www.arq.ufmg.br/nehcit/vitoria>

The production of a memory place on the web makes it possible for the user to experience a history timeline as a continuous flow. The network increases accessibility to the iconography of the history of Baía de Vitória by making it possible for everyone to use critically the data and objects which in the past were only accessible to archivists and researchers. Designers, researchers and citizens of Vitória can see on the screen the changes that took place in the Bay. As a result, they will be able to re-evaluate on the screen the various possibilities of occupation on the island as well as their existing views about the city's history.

History, critique and comparison



Photo 2: Maximiliano Wied-Neuwied Viagem ao Brasil. Kapa 2001.



Photo 3: Hartt - Geology and Physical Geography of Brazil. New York Krieger 1875 reed 1975.

In examining the historical collections and the photographs of the 19th and 20th centuries, we note a significant change both in the perception and visual record of the bay. We can say that up to 1890 it is the sensory experience of the landscape that predominates. Following the precepts of romanticism, the bay is beautiful; the traveler or adventurer becomes a witness of an aesthetic experience, by means of the presence and corporeal perception of the landscape,⁶

On one hand, there is the geologist Charles Frederik Hartt (1840-1878). He is considered a pioneer in the study of geology in Brazil. Born in Canada, he visited Brazil for the first time in 1865, with Louis Agassiz and the Thayer expedition. Returning to the United States in 1868, he became professor of geology at Cornell University, an institution that was home to a group of Brazilian scientists, among them Orville Derby. A man of wide learning, an accomplished painter and musician, and fluent speaker of Tupi, Hartt produced studies of landscapes to illustrate his lectures. In his book, *Geology and Physical Geography of Brazil*, illustrated with a series of engravings of the Bay of Vitória, Hartt describes the vegetation of the mangrove swamps as picturesque.

On the other hand, there is the engineer Saturnino Brito; educated at the Escola Politécnica, he conceived the project Novo

Arrabalde for the expansion of the City of Vitória (1893). In addition, he participated in studies that resulted in the urban transformation of Rio de Janeiro at the beginning of the 20th century, proposed the reconstruction of Santos, and corresponded with Aarão Reis, the engineer responsible for the planning of Belo Horizonte. Brito places the mangrove in a context of history and sanitation, pointing out the pernicious influence of Portuguese architecture on those cities built at the water's edge:

Among the serious defects, that of constructing houses near the water, with back walls actually washed by the waters of the river or sea is extremely notable"; it is not correct to "accept as a plausible motive that the convenience thus acquired of getting rid of domestic refuse ... The Portuguese cities with their private docks presented a repugnant aspect and grave effects on both public health and morality.

Firstly, the conditions of the soil have a great influence on health; secondly, the soil most conducive for the spread of disease is that found containing the waste products of human life.⁷

According to this rationale, the plan proposed for the city's expansion is based on the following reading: although the mainland would prove easier for occupation, the city must grow on the island, since, according to Saturnino Brito, the customs of the residents and the savings in land transport must be respected.

We are going to attempt a rapid description of these areas, and we will take, therefore, into account the economic latitude permitted by the courageous initiative of the government.

⁶ SAINT-GIRONS Baldine. *Le sublime, de l'Antiquité à nos jours*, Paris, Desjonquères, 2005, p95.

⁷ BRITO Saturnino. *Projeto de um Novo Arrabalde*, Xerox, Rio de Janeiro, 1896, pp 5-6.



Photos 4-5: Saturnino Brito Projeto de um Novo Arrabalde Rio de Janeiro. Xerox 1896 reed 1996.

A basic examination of the locality makes it obvious that these areas were formed by the continual action of the sea over the millennia, piling alluvial deposits along the coast and linking up various small islands, today known by the names of the hills of Ponte da Passagem, Barro Vermelho, Barrinha, Guajuru, Rapebussu, Suá, Bento Ferreira.⁸

In this version, technology would give continuity to the millennia-long work of the seas; the mangroves would be buried and the soil drained. History would be a continuation of the natural history, a reading of and conformity to the geological sense of time inscribed on the island. If one is to be faithful to the natural history of the island,

⁸ Ibid, p.6.

the mangroves would be eliminated by expanding the link between the Centre and Novo Arrabalde. The maximum occupation of the land that circles the hill dictates that the roads would be laid out in the form of a chessboard.

Series and files

The notion of series was essential to conceptualize the network. We were interested in detaching this notion from a persistent, pejorative connotation that is constantly attributed to it when associated with the methodical school and its obsession with neutrality in history. Thus the project was inspired by the impact that the work of the French philosopher Michel Foucault (1926-1984) has had on historians.



Photo 6: Keyword: Land reclamation.

He suggested that an archive was

neither the set of texts preserved by a civilization nor the set of features we managed to rescue... but the set of rules that determine the appearing and disappearing of statements in a certain culture... the paradoxical existence of events and things.⁹

In the network, presentation of the bay was organized in a set of arrangements. The digital file is accessed by means of series of documents interconnected by time-space coordinates and referential links: type of

⁹ FOUCAULT, M. 'Réponse au cercle d'épistémologie' in *Cahiers pour l'analyse* 9, Summer 1969.

image, date, author, place, source, and keyword. The search and navigation conditions are displayed as soon as the user accesses the web site. Since the different referential links do not exclude one another, navigation can proceed with many coordinates simultaneously. The main search page allows users to intersect references of time and place.

In the screen rows, there are referential links binding images and texts to certain historical places and periods, through which is created a net that can be 'navigated'. Whenever the user chooses a location, the database outputs a set of images and texts for that place to be browsed. The cartographic series starts with a map showing the bay in 1764 – the bay underwent almost no change for the first 300 years of European occupation – and finishes with one from 1999. From the 19th century on, the chronology is divided into decades, taking into account the increasing pace of urban occupation. The main series are built around places that underwent important interventions such as the construction of earth land reclamations and the removal of hills.

We use maps as a tool of analysis, which helps in visualizing the proportions of earth and water, relief and vegetation, and the island outlines in different periods of history. Although many cartographic techniques were used in the original maps, in this web site they have been standardized for the scale and graphic codes in order to ease the comparison among them. In order to represent the historical periods in windows, maps from 1764, 1895, 1909, 1928, 1933, 1948, 1954, 1970, 1975, 1985, and 1999 were used.

In the left column of the screen, links enable the user to search for selected sources and original texts – through key-word, iconography, date, author and place.

Some challenges for the network

The digital medium raises new problems. For instance, we are not familiar enough with the constantly growing amount of information and its increasing storage capacity. The changing of the scale makes it difficult for the researcher to assemble the sources and choose the appropriate connections and referential links. The various possible ways of navigating, on the other hand, disrupt the idea of a unique meaning, with a linear chronology and a strict cause-effect sequence, as it is presented in school books.

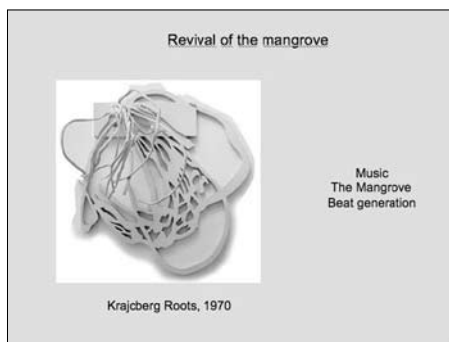


Photo 7 : Krajcberg Roots.

The city is a physical and social structure that presents a set of perceptible qualities. Through the Baía de Vitória Visual Memory Network, we have made available on the internet products of urban imagination. The images in action transform the territory and display images and texts that have real value in the flow of the perception of the user. Collecting and connecting these images is an archaeological work for the researcher and navigator. It means linking scattered records and multiplying routes that represent diverse cultural values which promote new interpretations of the history of the bay.

Itabirito: names and places in the network



Photo 8: Google.

Itabirito, a city located in the Iron Triangle of Minas Gerais, has been affected throughout its history by its proximity to the two successive state capitals, Ouro Preto, capital of the Province of Minas Gerais with which it was administratively linked until becoming a separate district in 1923, and Belo Horizonte, capital of Minas Gerais since 1897, and located 55km from Itabirito. From a logistic point of view, the smaller number of documents kept in Itabirito, when compared to the neighboring capital of Belo Horizonte, enabled us to dedicate some project time to refining the research tools and to linking texts and images, since we were working with manuscripts, maps and photographs.

The Itabirito Project stems from a double concern. Firstly, the fact that the historical record of the region is almost non-existent: the existing bibliography of Itabirito is primarily in the form of memoirs. Thus our first challenge was to locate and reunite the documentation. The various registries allow us to provide residents of the region with information that will enable them to connect their own individual histories to that of the city and of the region. The speed of search mechanisms that allows sweeping through all the digitized and indexed documentation creates the possibility of recovering records

and in turn this supports and makes possible the writing of history. In this sense the project breaks with a dichotomy that has sounded false since the 1980s that is, that official documentation can produce only an official history, as if there were a fusion of the past and the present constituting a unique place in which the producer of the source and the author of the history text are reflected. However we would point out that the efforts of historian are confronted by the unbridgeable and fundamental gap between the present in which he formulates his questions and the past which no longer exists and where access is provided by an intermediary, the document.

Setting up the digital collection

The manuscripts whose images comprise the digital collection come from documents registered in the districts of Itabira do Campo - now Itabirito, Nossa Senhora da Conceição do Rio das Pedras (Acuruí) and São Gonçalo do Baçõ, between 1832 and 1942. In addition to this documentation, collected in the registries of the municipality of Itabirito, are population maps and land registers, digitized from documents found in the Arquivo Público Mineiro (Public Archives of Minas Gerais).

The manuscripts are bound in 39 books, more or less the same size, with a collection totaling 5,276 pages of documents. The books contain declarations of intent to marry, voter registers, election acts, marriage registries, registers of foreigners, marriage bans, registers of signatures, population maps, birth registers, bills, death registers, marriage proclamations, powers of attorney, land registers, appearance bond records, and subdivisional inspection reports. In order to provide public and universal access to information from these sources, the documents were organized, digitized, indexed and a databank was produced in PHP. From the original manuscripts, negatives and photos we have created digital archives of these documents for easy visualization on the web.

Realizing that there was an imbalance between the number of textual documents and iconographic (maps and photographs) documents, we decided to appeal to the local population for photographs to be digitized. This met with an excellent response, ensuring that the collection grew from 140 photographs belonging to the municipality to 354 photographs, and enlisting the owners of the photographs in creating the digital collection. The images provided for reproduction revealed unique and valuable depictions of the life of the city throughout its history.

The process of indexing and creating the databank made it possible to group the digital archives according to similarities, and also to link distinct places and times. The series form a network, so that each piece of information requested from the databank is connected to a group of similar pieces of information. This focus moves the form of storage and the indexing of the sources of the project away from universal history and chronological time, in which a succession of dates provides us *a priori* with the passage of historic development and logical link-up of events. The network offers various routes for accessing images and texts, exploring – as opposed to homogeneous and linear time – the effects of formation within the spun web.

The manuscripts and photographs available on the web enable a link-up of textual and iconographic levels, so as connect pieces of information and form pictures such as a genealogical tree or a map of urban evolution; the collection promotes reading and understanding of the facts contained within the documents. The research tools created for the collection, the search engine, the dynamic map and the family tree, give potential for many ways to use the information producing new frameworks for reading the city. Thus students, residents, researchers and planners can visualize on the screen the changes that have taken place in the region of Itabirito, re-evaluating the various possibilities of land use, the effect of man on the landscape, and, proceeding from a

comparative timeframe, placing the various points of view and perceptions of the city in perspective.

Genealogy



Photo 9: Creating the research tools.

The expandable capacity of data storage has brought about changes in the historian's research tools. The very scale of this transforms genealogy, as the impact of the great names is diminished when confronted by the volume of data in the databank. The indexing of the names, the population of the database, the search engine and the graphic interface brought into the open the names of thousands of protagonists in the history of the region.

Digitization projects and access to historic information originate in the solid knowledge of archival and library science and face the challenge of taking advantage of the possibilities opened up by digital technology. Heeding the warning of Pierre Levy, it should not be restricted simply to uses similar to those of the slide projector, the typewriter or the printer. In our projects is the binomial of original/copy which is examined from the perspective of the new digital technology and of the endless possibilities for the transformation of the production process of history. It is important to emphasize that our principal objective was not to create yet another space for the preservation of public documents, although, by storing them in digital archives, we have also indirectly performed this function, in

our opinion, maintaining the difference in the manipulation of manuscripts at differentiated technical levels, like the copyists who, across the centuries, determined whether this information was preserved or forgotten. In this picture of technical changes linked to the act of the researcher it was necessary to think about the definition and life of the public record. F. Hartog reminds us in his study on evidence and history of the word in English— and we may add in Portuguese as well— that evidence is sign, mark, proof and that this acceptance of legal and medical language was used by historiography in various periods of western history.¹⁰ We also find this in the works of Foucault, in particular the conference *The Legal Norms and Forms*, the book *The Birth of the Clinic*,¹¹ and the question asked in Hartog's book: what is the meaning of the binomial visible/invisible in the production of history? The excluded of history, are they not those whose existence has disappeared? What does it mean to have a history, to claim a history? The document is the public proof; making it visible on the Web is to create the right to its access. It is important for us to ensure that an understanding of the word 'public' as having the sense of being visible or exposed, coincides with a public understood to mean the user of the digital collection and which includes a multiplicity of navigators with different abilities in reading the documents.

How is it possible to reunite and, at the same time, let go of the values of the present time, notable in this act of collection, and place them in perspective in relation to the values of the past? The creation of dynamic maps, of genealogy and of the search engine, in other words the conception of the research tools and the layout of the site, sought to provide an answer to this question. In forming the digital collec-

tion of historic documents, our concern was with the access to the information; we preserve, because indirectly we multiplied the chains of transmission of the information contained in the documents. The digital collection formed by images of documents today assists the registries, the local prefecture and the population to preserve the originals since, after being digitized and indexed, the documents returned to their places of origin and are preserved, while consultation of the information contained in them can be made at the site <http://www.arq.ufmg.br/nehcit/itabirito>. In exchange, we were granted the right to display the image with the requirement that we maintain the original classification of the documents on the site should a researcher wish to locate the original. We took care of the books, maintaining the notation of the original record office, and, being represented in the form of a book, the pages could be viewed as if they were the very pages of the book to be found in the archive. However our greatest interest focused on the possibility of abstracting the physical arrangement in which the paper document was found and highlighting the information – the basic act of the historian in producing a index card independent of that stored on his computer or on a yellowing card in a cardboard box – so as to create the potential of producing new nets of associations, to provoke other perspectives for the history of the city. Here we are thinking of the psychoanalytic model, where interpretation causes memories that are enclosed in shadow to emerge as images after being liberated from a crystallization which blocks the circulation and the elimination of the affective load associated with images. These projects seek to reconcile the two processes; on the one hand we have a card game with the information, this experimentation with new relationships to construct the text of history, and on the other, the exigencies of the process of production and transmission of the historical information.

¹⁰ HARTOG, F. *Évidence de l'histoire. Ce qui voient les historiens*. Paris, Gallimard, 2009.

¹¹ FOUCAULT, M. *La verdad y las formas jurídicas*. México, Gedisa, 1986; FOUCAULT, M. *O nascimento da clínica*. Rio de Janeiro, Forense Universitária, 2004.



Photo 10: Quinta de Oliveira Peak of Itabirito.

Producing the banner on the first page

From the point of the region's history, Itabirito underwent two traumatic events resulting from mining activities and which induced the act of forgetting. The uncertain relationship between the inhabitants and mining activities, the source both of their livelihood and their destruction, while present in other cities of Minas Gerais, took on a special meaning on the Pico de Itabira and in the scars left on the landscape.

Web designer Fernando Vasconcelos of IDEA D created the site taking into account the following elements and questions. On the one hand, considering the animation possibilities of the Web, we opted for a flash banner on the homepage. On the artistic level, the works of Cildo Meirelles, in particular *Para ser curvada com os olhos* of 1970, with a new edition in 1975, and of Anna Bella Geiger, the aesthetics of the maps and the dialogue with history produced by these two artists during the military regime, were a source of inspiration. On the other hand there is a need to critique the notion of observable time among the general public, who generally associate this with linear and homogenous time, the time of progress.

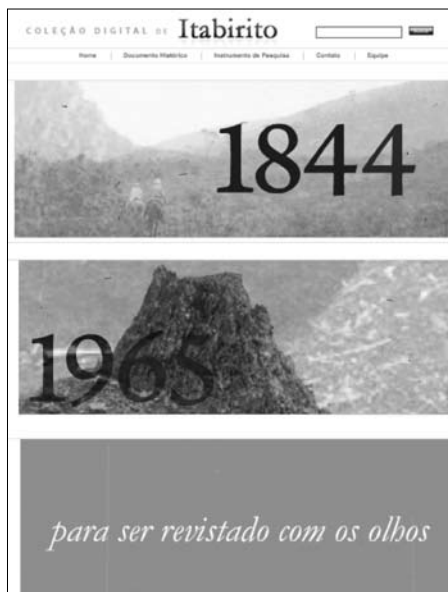


Photo 11: Banner of the homepage.

The script works with dates that we judged to be revealing in the history of the city: the 1844 accident in the Cata Branca Mine, the 1923 separation from Ouro Preto, the 1965 de-registration of the Pico do Itabirito by the military regime in order to permit mining activity, the peak having been registered in 1962 by Iphan, and 2009, when the company MBR, in principle, ended mining exploration on the Peak¹². We chose dates directly associated with the history of mining in the Iron Triangle and which, depending on the reader's values, can be associated with progress or decay, acquisition or loss, employment or the destruction of the landscape. We asked if there was a visual form of imploding the linear representation of history and time represented as an arrow directed toward the present. The animation produces a continual parade

¹² ROSIÈRE, C.A.; RENGER, F.E., PIUZANA, D. e SPIER, C.A. 'Pico de Itabira, Minas Gerais: marco estrutural, histórico e geográfico do Quadrilátero Ferrífero' in Winge, M.; Schobbenhaus, C.; Berbert-Born, M.; Queiroz, E. T.; Campos, D.A.; Souza, C.R.G (edit). *Sítios Arqueológicos e Paleontológicos do Brasil*. 2005 Available from <http://e-groups.unb.br/ig/sigep/>

of dates on the screen and when 2009 appears – in other words, the 'present' of the navigator so does the invitation 'para ser revistado com os olhos 'to be viewed again with the eyes'. We play with the multiple meanings of the word 'revistar', which can imply not only the review of a person under suspicion, the invasive act of security and the violence of being exposed, of suffering an act made banal in contemporary society (an echo from the past military regime) but also the sense of being seen once more; to be again seen with the eyes, given that the landscape of the Peak presented in the photos no longer exists, nor do the hundreds of people whose names are encountered in the public records or whose images are portrayed in the photos. The site provides evidence of the lives that once were, and are yet present in the image of the textual or iconographic document that we see on the screen.

Credits

The Visual Memory Network of Victoria Bay's project was conceived by the historian Myriam Bahia Lopes and financed on the basis of a public tender by FACITEC, an organization of the Municipal Board of Vitória. The team was mainly formed of architects, the development and the general coordination conducted by Clara Luiza Miranda and Augusto Alvarenga, both teachers at the Federal University of Espírito Santo (UFES), Helder Coco from C3s, and various graduate students with grants from the CNPq. The site *Digital Collection of Itabirito* is the result of two projects, firstly *A Peak on the Royal's Road* sponsored by FAPEMIG and secondly *Itabirito: names and places in the network* sponsored by the Cultural Fund of the Cultural Board of the State of Minas Gerais'. Both projects were conceived by Myriam Bahia Lopes who also coordinated a team composed of students, former students, and municipal employees of the Office of Cultural Heritage of the Municipal Board of Itabirito: historians, Luiz Alberto Sales Vieira, Kleverton Teodoro de Lima, Bianca Pataro and Gilmará Braga; architect Valesca Coimbra produced the maps; student Carmem Marques dos Santos digitized the documents; librarians Carla Silva Ângelo and Luiz A S Vieira indexed the documents, the latter also creating the database; artist Estevão Machado edited the booklet distributed with the database on DVD and Fernando Vasconcelos from IDEA D was the webdesigner.

Aider le chercheur lors de la mise en ligne d'instruments de recherche sur Internet : l'expérience des Archives nationales d'outre-mer

André Brochier

■ André Brochier est conservateur en chef aux Archives nationales d'outre-mer.

Les Archives nationales d'outre-mer, chargées des archives publiques de la présence coloniale française outre-mer, s'adressent à un large public international. Afin de mieux répondre aux attentes d'informations, elles ont développé sur Internet un portail d'accès aux instruments de recherche (IREL). Celui-ci, inauguré en 2004 avec la mise en ligne de l'état général des fonds, s'est enrichi progressivement d'une banque d'images (Ulysse), des documents de l'état civil jusqu'en 1880 et de la bibliothèque de l'institution. L'intégration des inventaires détaillés sera opérationnelle en 2009 et permettra, dans certains cas, l'accès aux images. La recherche pourra s'appuyer notamment sur des référentiels communs (listes et notices d'autorité) et sur une base nominative recensant toutes les personnes citées. Outre la recherche « plain text », une recherche guidée dans le vocabulaire sera proposée. Il sera ainsi possible d'interroger soit un thème (« esclavage » par exemple) qui entraînera une recherche sur tous les mots ou expressions se référant à ce thème (« noirs », « gens de couleur », etc.), soit une sélection des termes.

Situées à Aix-en-Provence, les Archives nationales d'outre-mer (ANOM) ont été conduites à élaborer un portail d'accès Internet à ses instruments de recherche pour répondre à une demande justifiée d'un lectorat distant contraint à un déplacement onéreux pour consulter ses collections.

Ce portail, IREL (acronyme d'Instruments de Recherche En Ligne), a été mis en place partiellement en 2004 et son périmètre a été étendu par la suite. En 2008, une évolution majeure est programmée qui aboutira à un portail plus complet et plus opérationnel au profit des lecteurs à compter de l'année prochaine.

Ce sont les principales étapes de la réflexion suivie par les Archives nationales d'outre-mer que se propose de détailler cette présentation.

Instruments de recherche et chercheurs aux ANOM

Création artificielle due aux circonstances

Inauguré en 1966, le Centre des archives d'outre-mer a été créé pour accueillir les archives de souveraineté produites par l'administration coloniale dans les anciennes colonies et en Algérie, et qui ont été transférées en France au moment de leur accession à l'indépendance.

Ces archives locales seront complétées en 1986 par les transferts à Aix-en-Provence des archives des ministères ayant eu en charge les colonies (notamment le Secrétariat d'État à la Marine sous l'Ancien régime et le ministère des Colonies) conservées jusque là aux Archives nationales et à la Section outre-mer de la rue Oudinot à Paris.

Constituant ainsi un ensemble cohérent, les Archives nationales d'outre-mer sont en mesure d'exercer leur mission : assurer la conservation et la communication des archives de l'expansion coloniale française du XVII^e au XX^e siècle.

Fonds conservés d'origine et de nature très diverses

Les fonds conservés sont d'origine et de nature très diverses, sans unité géographique ni même administrative : archives métropolitaines et locales, archives officielles de la présence et de l'expansion française, mais aussi archives d'administrateurs, de simples particuliers, archives économiques, photographies.

Ces fonds sont différents car l'administration en Inde n'est pas la même que celle de l'Algérie ou de l'Indochine. Ils sont également incomplets puisque n'ont été rapatriées que les archives de souveraineté et non de gestion. Tous les domaines de l'histoire coloniale sont représentés : exploration des territoires, création et administration des colonies, tentatives de peuplement et installation de colons, traite négrière et esclavage, relations économiques avec la métropole, formation des administrateurs coloniaux, surveillance des mouvements politiques et de libération, guerres et indépendances.

L'aire géographique couverte est particulièrement vaste : Amérique du Nord, Antilles-Guyane, Afrique noire, Algérie, Asie, îles de l'océan Indien, Madagascar, Polynésie, Nouvelle-Calédonie, etc.

Un lectorat composé principalement de chercheurs lointains

La grande majorité des quelques 3.000 personnes qui fréquentent les Archives nationales d'outre-mer par an est d'origine extérieure à la région Provence-Alpes-Côte-d'Azur. Ce lectorat est composé de :

- ▶ chercheurs (universitaires ou autres) résidant en France dont la majorité hors de la région Provence-Alpes-Côte-d'Azur,
- ▶ habitants des départements et territoires d'outre-mer,
- ▶ étrangers provenant soit des anciennes colonies ou de l'Algérie, soit d'autres pays dont les chercheurs travaillent sur l'histoire coloniale (USA, Japon,

Nouvelle-Zélande, etc.).

La fréquentation des ANOM revenant très cher (transport, logement, etc.), les chercheurs souhaitent donc rentabiliser au mieux leur séjour à Aix-en-Provence, en ayant notamment le maximum d'informations en amont sur les documents qui y sont conservés pour optimiser leur déplacement.

Des instruments de recherche inadaptés à ce lectorat

Or les instruments de recherche traditionnels de la salle des inventaires des Archives nationales d'outre-mer ne répondent pas à cette demande :

- ▶ très peu d'instruments de recherche imprimés,
- ▶ beaucoup de fichiers (dactylographiés et manuscrits) en exemplaire unique,
- ▶ des répertoires provisoires manuscrits et dactylographiés.

La quasi totalité des informations n'est donc disponible que dans la salle des inventaires. Il faut être sur place pour y avoir accès, ce qui est souvent vécu comme une perte de temps (précieux) par nos lecteurs.

Un environnement fortement normalisé

Les Archives nationales d'outre-mer se sont engagées ces dernières années dans une politique d'application des normes disponibles en matière de description des fonds et des producteurs. Celles-ci sont systématiquement mises en œuvre selon les deux axes suivants :

- ▶ appliquer les normes du Conseil international des archives : ISAD (G) et ISAAR (CPF),
- ▶ développer des fichiers informatiques pérennes : XML en respectant les DTD EAD et EAC.

Création d'IREL

Pour répondre à une demande des chercheurs tout à fait justifiée, les Archives

nationales d'outre-mer se sont orientées vers la diffusion de l'information souhaitée sur Internet. C'est ainsi qu'a été développé IREL, portail d'accès aux instruments de recherche élaborés ou restructurés conformément aux normes en vigueur.

Un objectif à long terme

Paradoxalement, alors que la pression des chercheurs tendait à obtenir des réponses le plus rapidement possible, c'est cette volonté de se conformer aux normes professionnelles qui a prévalu lors de la conception initiale d'IREL. Élaborer de nouveaux instruments de recherche et reprendre les anciens pour les adapter à la DTD EAD demandent un investissement en temps important qui conduit tout naturellement à privilégier le long terme sur le court terme.

En acceptant les conséquences de cette exigence de ne rien céder sur les aspects scientifiques de notre métier pour aller plus vite, il était dès lors possible de concevoir une « salle des inventaires virtuelle », qui permette l'intégration et l'interrogation de tous les instruments de recherche disponibles sous forme électronique (instances EAD ou fichiers informatiques), de l'état général des fonds à l'inventaire analytique. A cette navigation du général au particulier, devait également s'ajouter la possibilité d'accéder au document d'archives lui-même lorsqu'il est numérisé.

Des choix stratégiques structurants

Il résulte de cette décision d'avoir pu organiser IREL en fonction de choix stratégiques qui se sont avérés fortement structurants pour l'ensemble du portail :

- ▶ s'adresser à tout public : si le lectorat qui fréquente les Archives nationales d'outre-mer est connu, il convenait de prendre en compte également ce public inconnu d'internautes dont bon nombre doit ignorer jusqu'à l'existence des services d'archives,
- ▶ respecter la contextualisation des informations : cet élargissement du public potentiel ne devant pas se faire au détri-

ment du caractère scientifique de nos instruments de recherche, notamment quant au mode de production de l'information, il a fallu programmer une restructuration des anciens inventaires, non conformes à ISAD(G), après leur conversion rétrospective en XML/EAD,

- ▶ différencier les réponses générales de celles plus précises : il ne doit pas y avoir mélange d'informations données à un niveau général (état général des fonds) et de celles renvoyant à un article ou un document (répertoires et inventaires),
- ▶ un accès unique pour tous les instruments de recherche en ligne,
- ▶ une interface stable pour la recherche : l'internaute doit pouvoir bénéficier aussi bien d'une recherche « simple » par formulaire de type Google ou E-Bay, que d'une recherche « scientifique » par arborescence des producteurs,
- ▶ un affichage des résultats clair et riche : les résultats d'une requête doivent être immédiatement compréhensibles et situés dans leur contexte de production.

Des contraintes de format

- ▶ Pas d'instrument de recherche sous forme d'images qui interdit toute recherche textuelle.
- ▶ Fédération des requêtes sur l'ensemble des instruments de recherche : une recherche doit pouvoir porter sur leur ensemble en fonction du niveau de granularité de l'information (état général des fonds ou inventaires détaillés).
- ▶ Les formats de fichiers doivent donc obligatoirement être compatibles à une même recherche et à un affichage cohérent des résultats. Les formats retenus sont soit XML/EAD et XML/EAC, soit des fichiers informatiques (XML, PHP, etc.).

Évaluation des résultats

Les résultats de fréquentation d'IREL (hors site institutionnel dans lequel s'inscrit IREL) pour les trois dernières semai-

nes de statistiques disponibles sont les suivants :

- ▶ visiteurs (internautes) différents : 15.233
- ▶ nombre de pages consultées : 5.468.532

Ces chiffres démontrent qu'un public bien plus vaste que la fréquentation de la salle de lecture des Archives nationales d'outre-mer (3.229 en 2007) accède aux instruments de recherche. Et qu'avec une moyenne de 359 pages consultées par internaute, ce public y trouve très majoritairement l'information qu'il était venu y chercher, même si l'ergonomie du portail oblige à accéder à de nombreuses pages.

Évolution d'IREL

Si l'État général des fonds était la première étape indispensable, IREL devait pouvoir accueillir par la suite d'autres instruments de recherche. Cet effort fut donc poursuivi par la mise en ligne tout d'abord d'une banque d'images, ULYSSE, rassemblant photographies, affiches et cartes et plans et qui est régulièrement enrichie, puis par celle des documents de l'état civil qui sera accessible au public très prochainement. Restait cependant à régler la question des fichiers, répertoires et inventaires à mettre à disposition des chercheurs et dont le volume pose des problèmes qui n'avaient pas été envisagés au départ.

Volume des données à intégrer

L'expérience acquise lors de la création d'IREL porte sur des volumes de données assez limitées : l'État général des fonds représente l'équivalent de 1.400 pages dactylographiées environ, le Notariat, 800 pages imprimées et le ministère des Affaires algériennes, 380 pages dactylographiées.

Or les volumes traités lors des opérations de dématérialisation des instruments de recherche en vue d'être intégrés dans IREL sont d'un tout autre ordre. A ce jour, sont ainsi disponibles sous forme informatique l'équivalent de :

- ▶ 23 590 pages imprimées, manuscrites ou dactylographiées,
- ▶ 159 061 fiches manuscrites ou dactylographiées, dont 127 709 pour la bibliothèque,
- ▶ qui couvrent près de 9 km (sur 38) de documents.

De plus, il convient de prendre également en compte les 2 millions d'images issues des opérations de dématérialisation des archives et qui doivent être accessibles via IREL.

Points d'accès spécifiques

De tels volumes ont conduit à restructurer le portail IREL en lui associant des points d'accès spécifiques, ce qui avait déjà été fait pour ULYSSE considérée comme une banque d'images. Ainsi le chercheur se voit proposé six espaces de recherche autonomes qui devraient réduire considérablement le nombre de résultats (et le bruit) associés à une requête si celle-ci avait porté sur la totalité de tous les instruments de recherche. Ces points d'accès sont susceptibles d'évoluer si nécessaire. Par ailleurs il sera toujours possible d'incrémenter un niveau supérieur de recherche fédérant ces points d'accès si besoin.

Ces points d'accès sont :

- ▶ état général des fonds,
- ▶ banque d'images ULYSSE,
- ▶ état civil,
- ▶ bibliothèque,
- ▶ autres inventaires,
- ▶ personnes citées dans les autres inventaires.

Deux niveaux de recherche pour les autres inventaires

Chaque inventaire (répertoire, inventaire analytique, fichier informatique) possède son propre formulaire de recherche. Celui-ci doit correspondre aux particularités du fonds décrit et de l'indexation qui y a été effectuée. A la consultation d'un inventaire, le chercheur bénéficie ainsi d'outils de

recherche spécifiques à cet inventaire.

Mais il doit aussi pouvoir effectuer une recherche portant sur la totalité des inventaires mis en ligne. Cette recherche transversale lui permettra d'accéder à la liste des inventaires susceptibles de répondre à sa requête et de se reporter à ceux qu'il juge pertinents. Une indication du nombre d'occurrences de résultats par inventaire l'aidera éventuellement à faire sa sélection.

Référentiels communs

Pour réussir cette recherche commune aux inventaires mis en ligne, il est indispensable de disposer de référentiels communs à ces inventaires. En effet, seule leur utilisation systématique lors de l'indexation permettra de renvoyer des résultats cohérents.

La Direction des Archives de France, et notamment le Département de l'Innovation Technologique et de la Normalisation, ont pris en compte ce besoin de réflexion sur les référentiels par la création d'un groupe de travail sur cette question. Celui-ci, piloté par le DITN, est ouvert aux archivistes mais aussi aux bibliothécaires dont les problèmes sont proches. Enrichi ainsi par des questionnements et des expériences venant d'horizons divers, il est appelé à poursuivre ses travaux tant ce domaine est vaste et complexe.

Ces référentiels peuvent se présenter sous forme de listes d'autorité ou de notices d'autorité.

▶ Les listes d'autorité sont particulièrement appropriées dans le cas d'indexation simple et non ambiguë. Par exemple les noms de bateaux pourront être indexés dans tous les inventaires, la liste d'autorité renvoyant à toutes les occurrences où ils apparaissent. Un tel exemple illustre bien l'intérêt de ce type de liste : si une recherche « plain texte » semblerait satisfaisante pour la Belle-Poule, le nombre de réponses pour l'Afrique ou la Guyane interdirait pratiquement tout accès à l'information les concernant.

► Les notices d'autorité, qui permettent de gérer un ensemble d'informations complexes (biographie, contexte historique, etc.), sont bien adaptées à la gestion des personnes, familles et institutions. Les Archives nationales d'outre-mer se proposent d'utiliser la norme ISAAR(CPF) pour les producteurs d'archives, mais également de l'étendre aux principaux acteurs de la colonisation, même s'ils ne sont pas directement à l'origine de fonds d'archives. Elles ont développé à cet effet un outil de production de ces notices conformément à la DTD EAC. La nécessité d'utiliser ces notices d'autorité est illustrée par l'exemple suivant.

Photo 1

IBERVILLE (Pierre LEMOINE D'), capitaine de frégate (1692), capitaine de vaisseau (1702), † à la Havane, le 9 juillet 1706 : I, p. 192, 194-197, 387, 398; III, p. 34, 35.

Photo 2

LEMOINE D'IBERVILLE (Pierre). Né à Montréal en 1661, commandant du fort de la baie d'Hudson qu'il avait construit (1686). Découvrit les bouches du Mississippi et fonda la colonie de Louisiane (1698), il mourut à la Havane le 5 juillet 1706 au retour du pillage de Nièves. — 52, 53, 54, 55, 56, 71, 72, 73, 74, 75, 76,

Il s'agit du même personnage cité dans les index de deux inventaires, publiés l'un en 1959, l'autre en 1984, et rédigés par des archivistes différents. Non seulement l'accès n'est pas le même, mais leur rédaction répond à deux objectifs distincts : le premier donne des renseignements historiques sur le personnage, le second des informations sur sa carrière. Tout l'intérêt d'une notice d'autorité apparaît alors :

- fixer une forme autorisée du nom,
- détailler les autres formes que peuvent prendre ce nom,
- rassembler les informations historiques et de carrière,
- renvoyer à tous les inventaires où la personne apparaît,

► accéder à partir de ces inventaires aux mêmes informations la concernant.

Reste cependant en suspens la question des notices d'autorité nécessaires pour les noms géographiques. Il n'existe aujourd'hui pas de modèle de données établi, et les normes proposées ne répondent pas entièrement à nos besoins. Or la souplesse que permet une DTD comme l'EAC laisse imaginer les possibilités qu'offrirait son équivalent pour les noms de lieux :

► gestion d'une structure arborescente (de type Getty TGN) grâce aux liens hiérarchiques entre notices,

► qualifier de plusieurs façons un même lieu (la Martinique est une île des Caraïbes, mais aussi une région et un département français),

► qualifier les circonscriptions administratives du même nom (Constantine est une ville, un arrondissement, un département, une région, un rectorat, etc.),

► donner des informations historiques permettant de comprendre certains changements (changement de nom, de statut, de ressort, etc.),

► gestion de liens chronologiques entre notices pour suivre ces changements si nécessaire (Soudan français et Mali par exemple).

Gestion du vocabulaire des inventaires

Outre la gestion d'indexation sous forme de listes ou de notices d'autorité, la forme de recherche la plus répandue est l'interrogation du vocabulaire accessible (type Google). Or les limites de la recherche " plain texte " obligent à concevoir des outils spécifiques.

En effet, la recherche de type « plain texte », couramment utilisée sur Internet, ne s'avère pertinente que si la question est simple et non ambiguë. Ainsi le chercheur qui s'intéresse à la culture et l'exploitation de l'alpha ou du rocou accèdera facilement aux sources en interrogeant l'une de ces expressions. Mais dès que la recherche s'avère plus complexe, la limite de ce

type d'interrogation est très vite atteinte. Ainsi quelqu'un s'intéressant à l'esclavage qui demanderait « esclav* » se verrait retourner les mots esclave(s), esclavage(s), esclavagiste(s), etc., mais seraient exclus les termes code noir, marron, nègre, traite négrière, etc. qui répondent aussi à l'esprit de sa recherche. Il pourrait bien sûr exprimer sa requête au moyen d'opérateurs booléens (esclav* OR code noir, OR marron* OR etc.), mais cela suppose qu'il connaisse et maîtrise préalablement le vocabulaire utilisé dans tous les inventaires, ce qui n'est guère envisageable.

Pour que le chercheur puisse bénéficier des réponses les plus exhaustives à sa question, et avec le moins de bruit possible, il reste soit à indexer les inventaires (en amont ou en aval) à partir d'un thesaurus, soit de gérer le vocabulaire utilisé pour la rédaction des instruments de recherche.

La première solution ne va pas sans poser quelques problèmes. Outre le temps à y consacrer, il est nécessaire d'élaborer et de maintenir un thesaurus et d'en assurer une utilisation cohérente dans le temps entre des équipes et personnes diverses.

La seconde solution, vers laquelle se dirigent les Archives nationales d'outre-mer, demande également un investissement important pour la maîtrise du vocabulaire employé dans les différents inventaires et dans l'élaboration des thèmes de recherche qui serviront à guider le chercheur. L'exemple de recherche guidée ci-après illustre les résultats obtenus à l'issue de ce travail. Il convient de remarquer que l'informatique devra pouvoir gérer des équivalences, des expressions, des termes associés, etc. La requête devrait pouvoir s'effectuer soit au thème (Traite négrière et esclavage), soit par une sélection de termes listés dans le thème (affranchi(s), affranchissement(s), libre(s) avec les termes associés, etc.).

Thème :

traite négrière et esclavage
affranchi(s)
affranchissement(s)

amis des noirs = négromanes
articles de pacotille = merceries =
verroteries
code noir
couleur

Dans les expressions :

enfants de couleur, gens de couleur,
citoyens de couleur, habitants de couleur,
homme(s) de couleur
cruauté des maîtres
esclavage
esclave(s)
fugitifs
libre(s)

Termes associés :

gens de couleur, mulâtres, nègre(s)
marron(s) = noirs OR nègres fugitifs
marronnage (marronage)
mulâtre(s) (forme ancienne : mulastre),
mulâtresse
nègre(s)
négresse(s)
négrier(s)
noirs
négrillon(s)
négritte(s) = négrite(s)
propagande anti-esclavagiste
titres de liberté
traitant(s)
traite = traite négrière = commerce des
noirs = commerce négrier = commerce des
esclaves = commerce de Guinée
traiter

L'appel à des dictionnaires complémentaires (pluriels, synonymes, conjugaison, etc.) pourraient enrichir les possibilités de recherche. De même l'utilisation d'outils développés pour le « Web sémantique » pourrait être envisagée. Ainsi l'environnement sémantique permettrait de différencier avec une précision acceptable les bâtiments (constructions terrestres) des bâtiments de mer (bateaux).

Les Archives nationales d'outre-mer s'efforcent d'apporter au chercheur toute l'aide possible pour qu'il puisse tirer le meilleur parti des informations qui sont mises à sa disposition. En effet, l'internaute, contrairement au chercheur qui fréquente la salle de lecture, ne bénéficie pas de la médiation du président de salle pour accéder aux instruments de recherche disponibles et les manipuler. Il convient donc de suppléer au mieux à cette absence de médiateur.

Ce travail de structuration des instruments de recherche, d'élaboration de notices d'autorité, de réflexion sur le vocabulaire, permet aux archivistes d'affirmer la spécificité et la dimension scientifique de leur métier. L'utilisation de nouvelles technologies pour la diffusion des informations qu'ils produisent, loin d'amoindrir leur rôle, leur permet de continuer le chemin tracé par leurs prédécesseurs.

Si, outre les informations biographiques ou historiques dispersées dans les instruments de recherche, les notices d'autorité apportent au chercheur des moyens pour mieux comprendre les résultats qui lui sont proposés, il reste encore à lui offrir des outils pour donner du sens (et éviter contresens et anachronisme) à ce qu'on met à sa disposition. Ainsi comment expliquer à l'internaute que l'expression « Algériens » rencontrée à la fin du XIX^e siècle concerne les européens d'Algérie et non les Algériens. De nouveaux chantiers sont donc encore à ouvrir.

The accessibility of archival sources in the Israeli district archives system

Michal Henkin

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The Archives Law of 1955 requires the preservation of the archival material of a local authority though does not mandate the establishment of a local archive service, only that archival material be deposited in the State Archives. The State Archives has delegated this to the local authority in order to achieve the goal of greatest local accessibility. This is problematic in the current economic climate and particularly for very small municipalities. Three possible solutions have been proposed. The first model is the use of one professional archivist who provides services to several local authorities. The second model is a cooperative arrangement between archives in local authorities which are merging. The third model is a central archives used by several local authorities; and while this model should be most effective it is not used in Israel for a number of reasons.

Introduction

There are three types of local authorities in Israel's local government: municipalities, local councils, and regional councils. Each administers an archives system, which serves to preserve the joint material and heritage of every community. Over the past few years, local government in Israel has undergone a significant change due to politicization, a change in mutual relations with the central government, and budgetary problems. These changes are affecting, among other things, archives and their ability to face the challenges in front of them, particularly in terms of providing information accessibility to the general public. In an attempt to cope with these changes and adapt the organizational structure to the new situation, several organizational models are currently being proposed. This article examines the advantages and disadvantages of these models regarding accessibility to archives, and recommends a model that could best meet the challenges facing it.

The local authority in Israel

The local authority is a public body that administers a community or a group of communities. It manages the community's affairs, provides essential services to the residents, and is involved in the ongoing development and improvement of the quality of life of individuals living within the community. Due to the small size of the State of Israel, local government is not divided into districts as in countries like Japan or Spain. There are three types of local authorities. A regional council is an authority that is responsible for rural villages and community settlements having populations of fewer than 2,000 residents; it consists of a local committee and elected representatives. Residents live according to the principles and lifestyles they have determined for themselves. A local council is a local authority responsible for a community that has not received the status of a

municipality. The local authority manages the affairs of the urban community or rural village on the condition that the number of residents exceeds 5,000. A municipality is a community whose local authority has received the municipal status of a city. The number of city residents normally exceeds 20,000. In Israel, the 252 local authorities are comprised of 77 municipalities (of which 14 have over 100,000 residents), 171 local councils, and 54 regional councils comprising 970 communities.

Municipalities and local councils in Israel are organized within the Union of Local Authorities in Israel, which was established in 1938. Regional councils are organized separately within the Association of Regional Councils. The Ministry of the Interior, which represents the central government, is responsible for the local government and manages the activities of the local authorities.

In recent years, fiscal changes have occurred in governments globally and nationally. The central government is cutting budgets provided to expenditure authorities, and the per capita expense of local authorities is increasing compared to a decrease in independent income sources. Due to the difficult financial situation prevailing among local authorities, the services provided by them are being adversely affected. This situation is particularly difficult in small local authorities that are responsible for only a few thousands residents. The key question is how to formulate a suitable policy to reduce deficits while simultaneously maintaining a suitable level of services and making the local authorities more efficient.¹

Several solutions are available. These solutions result in cost savings and offer residents the possibility of receiving

¹ Floersheimer Studies at the Hebrew University in Jerusalem publishes academic research focusing on such issues as central and local government relations, spatial planning, disparities between local authorities, and more. Floersheimer Studies, http://www.fips.org.il/Site/p_home/home_en.asp (accessed December 2007).

services that a small local authority could not provide by itself. They include cooperation in providing a defined service (such as fire protection and waste disposal), merging local authorities, or establishing a district metropolitan government.

Many times, while such changes could improve circumstances for local authorities and residents, they hesitate to make this change because of a desire to preserve their identity as separate political communities having a local character, a desire of the residents to shape their destiny, and also because of a fear of losing independence.

The archives system in local authorities in Israel

The Archives Law of 1955 deals with preserving the archival material of a local authority but does not require that an archives be established within the local authority. It requires that all archival material of the local authority intended for preservation be deposited in the national State Archives. After twenty years this material is made available for viewing by the general public.

The State Archives in Israel delegates this authority to the local authority, with the objective of preserving the certificates that testify to the authority and its residents in the same place where they were created. This follows the belief that the preservation of archival material in a local authority is important for its proper administrative operation and for the availability of information in researching local history. The goal is greater accessibility to the archival material.

An examination of archives in local authorities in Israel shows that not all of the authorities succeed in fulfilling the above functions. Most are preserving the archival material, some in private records centers, but only a few have a reading room where the material that is open to the general public may be perused. One reason for this is a poor awareness on the part of decision-

makers regarding the importance of the archives; this affects the budgets allocated by the local authorities in establishing and maintaining the archives, and results in neglect of important technology updates. Another reason is that placing the responsibility for archival material in the hands of the local authority, without suitable legislation and additional budgets from the State Archives for this activity, is unduly burdensome. Therefore, despite the archives' best intentions, lack of guidance and investment prevents it from fully achieving its goals.

The archives in most of the local authorities includes archival material whose source is from the local authority, from private organizations, and from communities and individuals who contributed to building a collective memory of the place; it represents a refined summary of past and present life. The archives includes general information about the heritage, policy, and activities taking place within the local authority framework, as well as personal information about the rights of the residents and families, their assets, and their history-information that must be preserved in perpetuity.

Access to archives in the local authorities

In addition to handling archival material and maintaining it under the proper conditions, the local archives provides access to the material through diverse means for the material's creators and the general public. Regarding accessing information in the archives, a differentiation must be made between these two target populations.

Special consideration should be given to archival provenance. The archival material stored in the local archives belongs to the body that created it, which has the right to access it at any given time, with limited access to confidential information. Access to the information is according to the law and only as the individual's position requires. Existing technologies could provide creators of electronic material

with direct access to the information they have created, even if the information is still not open to the general public, through accessibility permissions. This obligates the material creators to work according to uniform programs and technologies, and necessitates coordination of computer systems between archives and the offices generating the material.

The general public also has rights to access archival material. In an information-based society, the flow of information is necessary to bridge gaps between communities. Access to information and knowledge improves democracy, and the Freedom of Information Law recognizes the right to receive public information. Therefore, in order to express an opinion and control government actions, the right to access information stored and held by the authorities is necessary. The aspiration is that the basis of activity of regional archives will provide a service to the organization and to the public.

The Israeli Freedom of Information Law of 1998 recognizes the rights of citizens and residents of Israel to receive information from public authorities according to the law's instructions, except in exceptional cases published in both the Archives Law of 1955 and the Freedom of Information Law of 1998. Restrictions apply to information that, if revealed, could harm the country's security, its foreign relations, public security or an individual's security, or information that, if revealed, would represent an invasion of one's privacy². Similar laws are in place in other countries. For example, the government of Canada recognizes the right of the public to access information created by government bodies as being an essential factor in a democracy. The government is strongly obligated to provide openness and transparency in the spirit of the Freedom

of Information Law. This law requires the government to ensure high standards in handling its records. The archives must print periodical indices that describe the government's institutions, responsibilities, and programs, the functions of every department or unit, and a list of materials containing the information.

Many citizens are not aware of the benefits of accessing local government information which is stored in the archives. Archivists should be proactive and promote the importance of using archival material. Details should be provided on how to access the information, which documents can be inspected, and any applicable fees. Residents should be able to receive archival services by submitting requests for information and receiving responses.

Archives committed to serving the general public as the basis for their activity are undergoing a process of digitization. The digitization of information allows access to be provided to diverse target populations, without damage to the material, through networking from any place and at any time. The search process could be made from existing information sources in a wide variety of archives. Digitization helps in developing new research directions and in increasing the number of users of the archives. While providing advantages of access and ease of use, a digital archives must manage, convert, and maintain the digital information, a continuing process that involves budgetary considerations.

Three models for economical management of archives in the local authorities

Three models have been proposed in response to these external problems in local government management of archives. The first model is the use of a traveling professional archivist who provides services to several local authorities. The second model is a cooperative arrangement between archives in merging local authorities. The

² A conflict exists between Freedom of Information law which enables perusal of material from seven years after its creation and the 1955 Archival law which prohibits perusal of material until 20 years following creation. This conflict is due for resolution.

third model is a central archives used by several local authorities.

1. The traveling archivist serving several small local authorities

The model of the traveling professional archivist was proposed for local authorities who recognize the need to manage their archival material in the best and most efficient fashion, but are unable to employ an archivist. An archivist of this type travels from one local authority to another according to a predetermined work plan. The archivist applies records management practices to the local authority, appraises the material, and preserves or disposes of the material as required by law. Every local authority pays its relative portion for the service rendered to it by the archivist, thereby maximizing efficiency. There is an inherent problem in that local authorities are trying to reduce this budget cost, and thus the scope of the traveling archivist's job is limited to managing the archival material. In reality, responsibilities such as continued documentation, accessibility to the material, and serving the needs of the public generally are not fulfilled. In practice, with local authorities working according to this model, managing the records and depositing material for posterity preservation in the archives takes place in a reasonable fashion: the material is stored, organized, and recorded according to archiving standards. However, public accessibility to the material is not provided.

2. Co-operation between archives

A model of cooperation between archives in merging local authority services could save on budgeting resources by providing use of a single structure and a joint team of archivists for both local authorities. This model enables the local authorities to take advantage of diverse services: managing records; appraisal, disposal, or depositing of material; arranging and recording collections; digitization; opening up a reading room to the general public; serving the

public by responding to requests for information; and documenting the entire region. The only example of this model in Israel is a local authority and a regional council that established a joint archives managed by a regional research institute; the information stored there is scientific and managed at a high level. The budget for the archives is split equally between the two authorities. Professional archivists work in the archives. The material deposited in the archives is received from both authorities, from organizations working in the region, and from the communities. Each body depositing material has the right to peruse its own material. The small communities in this region also deposit their archival material in the joint archives and pay for handling their own material. The archives has two records centers whose annual work volume involves about two months, thus enabling the workers to do additional work in the archives the rest of the time. The organizations use the same computer system and software program, and the same information retrieval method. The archives serves as a regional information center and runs a Web site containing information about the material, lists of files, video films, and photos. The requests for information from the archives are many and varied on subjects including properties and assets; residents and the community structure; archaeology and geography; natural resources; and history. Today, more than ever, there is an increased interest on the part of historians, genealogists, and the general public in the history of their ancestors, their birthplace, and their community. The efficiencies achieved by merging local authorities offer the potential of providing improved service to these researchers.

3. District archives

The last model is one in which a large number of authorities establish a municipal association that deals with a specific function and allocates funds to buildings, equipment, and human resources. Today, this model is operating in Israel

for functions such as the environment, firefighting, search and rescue, and solid waste management. A model of this type is dictated by central government, which provides partial funding. The remainder of the budget comes from the authorities themselves. A district archives based on this model has the advantage of efficiencies achieved by pooling budgetary and human resources and investing jointly in constantly developing information and communication technologies, something that is practically nonexistent in a single archives system. A district archives with shared resources offers improved access to information by allowing for professional training for archivists, improved software programs, archiving of electronic material, standardization of work methods, development of information retrieval tools, preparation of catalogs, and development of Web sites. This model also allows for expansion of the scope of the material—the quantity, topics and their contents, language, policy, and comments. In addition, the model enables the archivist to collect material not just from a municipal administrative source but also from private organizations and individuals, and to enrich the documentation to include a greater region within its jurisdiction.

Conclusion: the preferred model

Currently, the State Archives of Israel delegates to the local authorities management of their own archival material. The third model is the one that best responds to the challenges of managing archival material and making it accessible to the general public in the most economical way. This model could operate in a large number of areas more effectively than the other models. A district archives obligates authorities to work together using similar methods and technologies to enable the archives to receive the data in a uniform fashion, to manage the data, and to provide access to information.

Although this model for managing

archives exists in other countries, such as Japan, the Netherlands, and Spain, and despite the fact that it could be the most effective and successful one of all, it is not used in Israeli archives. Why? The first reason is that the country of Israel is small, and therefore the local government operates through individual local authorities. A district model is not natural. Another reason is that budgetary problems might affect the district archives, and local authorities might encounter budgetary problems and not be able to pay their share. But the main reason is a fear of losing an organizational and community identity. The single archives, even if it is not organized, is perceived as the memory preservation of the community and the place. In the first model, where a traveling archivist serves several local authorities, or even in the current situation whereby every local authority manages its own archival material, even though the material is not managed properly and access to information is usually limited, the public's demand that an archives should remain within the community's jurisdiction and always be accessible is satisfied. Considerable investments must be made and the efficiencies of shared resources sacrificed to preserve this local identity. In the third model, local identity is not preserved, but in its place a new identity extending to a wider district is created.

Creation of a district archives can only be implemented according to the central government's instructions. The Ministry of the Interior has managed the merging of local authorities and regional councils in the past, and problems with conflicting interests and policies and preservation of identity did surface. Such mergers prompt fears that confidential information or damaging data could be shared with neighboring local authorities, thus harming their interests. Because of this, many local authorities prefer transferring their archives to a private records center managed by a neutral party where there is no fear that their information will be

exploited. This scenario certainly presents its own set of problems: certainly the identities of local authorities would be lost among the material of numerous companies and organizations, and access to information would be even more limited than in the other proposed models.

The information retrieval needs of archival users: a case study from the Jabotinsky Institute, Israel

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Ms. Zolotarevsky worked as an archivist for 6 years in Jabotinsky Institute in Israel and is a member of Israel Association of Archivists (IAA), and chairwoman of the computing committee.

Archival user needs have been the subject of much professional attention in recent decades but understanding users' information seeking and retrieval behavior is of particular importance now that many archives are in the process of producing web-based finding aids which allow for independent searching from outside the repository. A study at the Jabotinsky Institute Archives Research into the ways in which users define the subject of their searches, and how they build a search strategy has provided valuable information for the future construction of efficient and user-friendly search and retrieval tools. In particular the study identified that personal names, often associated with different variables, were preferred as search terms; that users preferred simple, rather than advanced search interfaces; and that natural language was preferred to the linguistic functions, such as Boolean searching, provided by most systems. Such findings suggest the adaptations that can be made to existing and future systems to provide users with the best possible search results.

Introduction¹

In the second half of the twentieth century, archives went through a conceptual change in which the traditional material-oriented approach shifted into a user-oriented approach. Archives services have traditionally focused on the appraisal, arrangement, description and preservation of archival materials, and the archival profession has developed theories and techniques around these activities. However, the subject of users and their needs received little attention. Starting with the French revolution in 1789 and throughout the political and social changes of the nineteenth century, archives, as part of the global process of liberalization, started to open up to the public. But the main change occurred in the second half of the twentieth century when information technology became an important part of life.

The integration of information systems into archives has forced archives services to focus on archival users. The use of information technology and the building of computerized information systems in archives have affected many areas of the archival profession, but most particularly in the field of access to archive materials and user services. Users are an essential component of any information system. Information systems are built around users and, as the goal of an information system is to facilitate access and use of information, the interface of these systems is designed to meet user needs.²

Following the shift to a user-oriented focus, archivists in the 1970s began to deal with questions relating to archive users and their needs. Most articles on the subject

emphasize that archivists know very little about their users, and that there is an immediate need for systematic and broad research in order to define archive users, their information needs and their use of archival finding aids provided by archives.³ Although the importance of user studies in archives was widely accepted by archivists, little practical research has taken place. Research in this area focused mostly on the definition and classification of users and on user satisfaction. More recent studies deal with the fields of information retrieval in archives and the use of finding aids. However, these studies do not encompass all aspects of information retrieval in archives.

The process of information retrieval in archives was traditionally based on the principle of provenance, in which information searching is based on what is known about the file itself.⁴ Users seeking information need to think in terms of who could have created information relevant to the subject of their search and under what circumstances. This method of searching, which is mostly geared towards information retrieval by archivists or researchers familiar with archival information structure, is not easy for users who have little knowledge about the way information is organized in archives. The building of finding aids, both computerized and manual, which would meet the needs of inexperienced users as well as knowledgeable researchers, became one of the main concerns of archivists.

Planning and developing user-oriented finding aids which facilitate efficient and convenient search necessarily raises questions about users:

1 The article is based on a user study performed as a part of the master Thesis Equivalent submitted to fulfill the requirements for PhD degree, under the supervision of Dr SCHENKOLEWSKI-KROL Silvia.

2 TIBBO Helen R., 'Primarily history: historians and the search for primary source materials' in 'Proceedings of the Second ACM/IEEE-CS Joint Conference on Digital Libraries', 2002. Ed Gary Marchionini & William Hersh, ACM Press, New York, 2002.

3 See for example: FREEMAN Elsie, 'In the eye of the beholder: archives administration from the user's point of view' in *American Archivist*, 47, Spring 1984, 111-123; CONWAY Paul, 'Facts and frameworks: an approach to studying the users of archives' in *American Archivist*, 49, 1986, pp 393-407; JIMERSON Randall C., 'Reference, access and use' in *OCLC Systems and Services*, 19, 2003, pp13-16.

4 LYTLE Richard H, 'Intellectual access to archives: I. Provenance and content indexing methods of subject retrieval' in *American Archivist*, 43, Winter 1980, p. 64.

- ▶ who are the users?
- ▶ what do they know about archives and what are their expectations?
- ▶ what information are they looking for?
- ▶ how do they search for information and how do they use the tools archives provide them with?
- ▶ how do they decide which materials are relevant?

Case study: The Jabotinsky Institute in Israel⁵

How one institution, the Jabotinsky Institute in Israel, addressed these questions is the subject of this article. The Jabotinsky Institute was established in 1937 in order to preserve and disseminate the legacy of Vladimir (Ze'ev) Jabotinsky and the National Movement, and to encourage scholarly research on these subjects. The Institute consists of archives, a museum, a publishing department and an academic committee. The archives include more than a million documents related to the history of the Revisionist movement, its leaders and other related organizations and movements. It is important to emphasize that the archives contain not only officially deposited fonds, but also artificial collections, personal archives and special collections. The finding aids of the archive were built around the fonds and collection structure. Most of the archival material in the Jabotinsky Archive is arranged and described at fonds level, and more than half of it has a broad description at file level including the file contents. About 49 fonds (close to 400,000 pages) have been scanned and are accessible to the public from the workstations in the reading room as well as the Archive's website.

Visitors to the archive of the Jabotinsky Institute come to the reading room for different reasons: for academic and research purposes, for professional reasons

(media workers, writers, museum curators and photographers), and for personal reasons (mostly family and local history researchers).

The research methodology

The research was based on data collected in the reading room of the Jabotinsky Institute Archives during the course of six months in 2007. The research methodology used was participant observation, studying the information-seeking behavior of users during their visits to the archive. Altogether 23 participants were chosen using qualitative-constructive research methods in order to select a sample that best represented the research population, i.e. the various types of archival users.

The observations took place in the reading room of the archive, which is equipped with two workstations that allow users to access the archive website's search interface. It was clear from the pilot stage that the observation methodology should be participant-based, as visitors to the archive frequently ask questions during their search. Therefore, at the start of each observation session participants were invited to ask questions and make comments on their experience in using the archival information search system. All the questions and comments relating to the use of finding aids (e.g. the search process, including the search interface type, the content of the search fields and the sorting options) were documented in a log.

Selective findings

The research focused on two stages of the search process: (1) the definition of the search subject and (2) the building of a search strategy, including choosing search terms and using the information system search options as well as the available finding aids.

(1) Subject definition

Subject definition is an important stage of the search process. Gathering and

⁵ The Jabotinsky Institute website www.jabotinsky.org.

analyzing data about subjects as defined by users can greatly help archivists who are in process of planning and designing archival finding aids. Most users visit the archive in order to find information about a certain subject. The following characteristics emerged from the analysis:

► The subject as defined by users does not necessarily relate to a specific archive. The user may search for information about the subject in libraries, information centers, electronic resources and other archives. In some cases users noted that they searched other archives or that they intend to do so,

(one subject). Subjects defined as a single term or a name represented a single variable (five subjects).

Based on the subject analysis, the variables were sorted into five categories: personal name, organization or movement, geographical location, historical term (a term which is commonly accepted in the subject-specific literature), and an activity aspect (typically an aspect related to the activity of a person or an organization).

The following table shows the number of variables in each category:

Category name	Personal name	Movement or organization name	Geographical location	Historical term	Activity aspect
Number of variables	9	10	7	6	16

and even consulted with a reference archivist about other resources in which they may be able to find information about their subject.

► The subject, as defined by users, may be broader in scope than what is covered in the specific archive.

► A subject is not a search term for an information system. The search terms are chosen according to the search subject, but are not necessarily identical to any of the terms used in the definition of the subject.

► The subject may change during the search process. When searching for information the subject may be broadened to include additional subjects, or narrowed down to specific aspects of the subject.

One of the research objectives was to examine the terms users chose when describing the subject. The subjects were divided into variables, i.e. parts of subjects - single words or phrases that represent a single semantic unit. Most of the subjects defined were not highly detailed. More than half (15 subjects) comprised two variables, but there were also subjects that comprised of three (three subjects) or four variables

Subjects that included more than one variable had a similar structure which represented the relation between those variables, the name (of a person, movement or organization) plus an aspect of their activity or biography. For example:

► "Robert Brisco, relation to struggle in Ireland" = [Personal name] + [An aspect of his activity]

► "The writings of Ze'ev Jabotinsky" = [An aspect of a person's activity] + [Personal name]

► "Trials of Etzel members" = [A historical aspect of a organization] + [Organization name]

(2) Choosing the search terms

Users come to the archive with prior knowledge about the subject on which they seek information, and sometimes with lists of terms and names related to their subject, which they may use when building the search query. The types of search terms used are very much in line with the types of search variables i.e. names of individuals, movements or organizations, geographical locations and historical terms. In addition, the archival reference code was sometimes used as a search term.

The relation between subject variables was different from the relation between search terms. About 41% of queries included a term of the type "Person Name", sometimes by itself (as the only variable in the query) and sometimes as part of a query that included other variables. Furthermore, even in cases where the subject definition did not include a personal name, participants used such names as search terms in their queries. The use of personal names was indeed very common. Some users noted that by using the names of people who were active in a specific organization or movement it was easier to locate relevant archival materials. One visitor searched files for names of people in order to use these names as search terms in subsequent searches. Another visitor, who searched for oral history files, noted that he would have liked to receive additional biographical information about people whose names appear in these files: who they were and what were their roles.

About a quarter of the search terms included the name of a movement or an organization, usually together with an aspect of its activities. When these terms were used to create queries they typically appeared in the subject definition. About 18% of the terms were historical terms. On the other hand, variables such as "Archival Code" or "Geographical Location" were rarely used in queries.

The following characteristics of different search variables can be observed:

- ▶ **Personal names:** names of individuals were written in either of two forms, full name or last name only. When the full name was used, the order was: first name and then last name. Only one user was unsure and asked about the order required for the search query.
- ▶ **Name of organization or movement:** when using such terms acronyms were commonly chosen instead of the full name (in cases where the acronym is widely known)
- ▶ **Historical term:** the use of historical terms was typically identical to their accepted

form in historical literature.

- ▶ **Geographical location:** the use of this variable was relatively rare. It was mostly used for names of cities and countries.
- ▶ **Archival code:** this variable was only used when searching archival files, and was quite uncommon.

Most users preferred to build simple queries that only included a single variable (64 cases), even in cases where the subject contained two or three variables. A few users built complex queries that contained two variables (16 cases), and only one used three variables.

Building the query

The information system in the Jabotinsky Institute Archives provides searching tools that facilitate information retrieval in several ways. Building a search strategy using the information system requires the user to decide on the following questions: which search interface should be used? What fields should be used? Which types of archival materials are relevant to the search? And is there a need to use linguistic functions such as morphological search? The system offers three search interfaces: Simple Search, Advanced Search and Catalog Browsing, which allows users to browse through the archival hierarchy.

Of the 23 users, 19 used the Simple search interface, 10 of whom used only the Simple search and the other nine using both the Simple and the Advanced interfaces. Users' preference for the Simple search interface correlates with the common usability tendency.⁶ In most cases the use of the Advanced search interface was not justified, as users who opted for use it still built simple queries that were supported by the Simple search interface as well. Only one participant used the option of

6 See for example U.S. Department of Health and Human Services. Research-Based Web Design & Usability Guideline. 2006. <http://www.usability.gov/pdfs/guidelines.html> [accessed 16 Dec 2008].

Catalog browsing. One possible explanation for the rare use of this function may be the very title “Catalog Browsing”, which is not very self-explanatory. However, since the research was not quantitative it is not possible to be conclusive about the limited use of this interface.

Choosing the type of material for search

The Simple and Advanced interfaces provide an option to search within specific types of archival materials. In the case of the Simple search it is possible to search more than one type when executing a single query. The most commonly-required material type was archival files (52). Other types of materials which were commonly used were oral history files (26) and audio-visual materials: Audio cassettes (18), videotape cassettes (10) and photographs (12).

Most users didn't hesitate to select the type of material when performing the search. Only one visitor consulted about the choice of archival material claiming that “the material names don't say much”.

Analyzing the relation between the purpose of the visit and the choice of archival materials was based on the assumption that, at least in some cases, the purpose of the visit to the archive defines the types of archival materials required. However, investigating this relationship did not bring conclusive results. Such results should be based on a larger number of participants and on findings gathered by quantitative research methods.

Use of Boolean operators and linguistic functions

Complex queries that included more than one variable were built in either of two ways:

► by combining the boolean operators “AND”, which was used to reduce the search to a narrower aspect, and “OR”, which was used mostly to connect two different spellings of a name, in order to

retrieve a larger number of results and overcome spelling differences.

► by creating an exact phrase search, where the system would search for an exact match to the queried phrase. Exact phrases were typically written using common syntax.

Although there was frequent use of morphological forms, participants did not utilize the linguistic functions provided by the system, which were designed to facilitate natural language search.

Conclusions

The study's findings defined specific characteristics of the information seeking behavior of visitors to the Jabotinsky Institute. Defining these characteristics may assist archivists in building finding aids and search tools and in designing their interfaces.

Use of proper names. – There was extensive use of names when defining the subject and when choosing search terms. This included names of persons, movements and organizations. The widespread use of proper names when searching archival materials requires some adaptations to be made in finding aids. Building authority records, as suggested for example in ISAAR (CPF),⁷ can offer archival users valuable information about individuals and organizations and provide users with effective search tools to support search by proper names.

Use of morphological forms – Search terms were written in accordance with natural language. The study demonstrated that users do not use linguistic functions provided by the system. However, in order to support natural language search the system should provide options for morphological search without requiring the user to select these options explicitly.

Use of Simple search interface - Users

⁷ INTERNATIONAL COUNCIL ON ARCHIVES. ISAAR (CPF), *International Standard Archival Authority Record For Corporate Bodies, Persons and Families*, 2004, 2nd ed

prefer to use the Simple search, as it is easy to use and does not require extensive knowledge of search techniques (such as Boolean operators), nor acquaintance with the archive's structure. Therefore the Simple search may be most suitable as the default search interface, and be accessible directly from the archives homepage, preferably with additional information about searching within the archive.

The study of archival user needs is a fascinating field which has drawn more and more attention over the last few decades. Research in this field has provided archivists with essential information for building efficient and convenient tools for information search and retrieval. This is especially important now that many archives are in the process of building websites that allow users to search independently, and in many cases also to access the archival material without physically visiting the archive.

Diagnóstico de la situación actual de los archivos diplomáticos iberoamericanos: bases para un programa de cooperación

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“Gobernanza” es el concepto con el cual los teóricos de la administración pública han definido la necesidad de adaptar el ejercicio gubernamental a los tiempos de la preeminencia de la democracia en el mundo. Esta perspectiva se propone crear sinergias entre los gobiernos, los actores estatales internacionales y los actores no estatales (académicos, medios de comunicación, ONG, etc.), e implica serios retos para países con democracias jóvenes y economías emergentes como los latinoamericanos. Los archivos, como encargados de preservar los documentos que contienen el conocimiento que los Estados tienen de sí mismos y ponerlos a disposición de las sociedades, no son la excepción. A partir de un diagnóstico de situación de diecinueve archivos diplomáticos de los países miembros de la Red de Archivos Diplomáticos Iberoamericanos (RADI), programa de cooperación de la Secretaría General Iberoamericana, se discutirá en torno a las posibilidades de crear alternativas y soluciones para lograr que los archivos diplomáticos sean verdaderos instrumentos del avance democrático y el desarrollo de los pueblos de Iberoamérica.

Introducción. Sobre la Red de Archivos Diplomáticos Iberoamericanos (RADI)

La RADI es una iniciativa de cooperación de la Cumbre Iberoamericana que busca contribuir al intercambio de información y promueve la cooperación entre los archivos históricos diplomáticos de los ministerios de relaciones exteriores de los países miembros de la Cumbre: Argentina, Bolivia, Brasil, Chile, Colombia, Costa Rica, Cuba, Ecuador, El Salvador, España, Guatemala, Honduras, México, Nicaragua, Panamá, Paraguay, Perú, Portugal, República Dominicana, Uruguay y Venezuela.

Tiene su antecedente más remoto en la II Cumbre Iberoamericana, celebrada en Madrid en 1992, cuando los Jefes de Estado y de Gobierno reconocieron la importancia de los archivos y bibliotecas para la educación, la ciencia y la cultura. El Proyecto RADI fue aprobado en la VIII Cumbre Iberoamericana de jefes de Estado y de Gobierno en Oporto, Portugal, realizada los días 17 y 18 de octubre de 1998.

Surgió de la necesidad de una cooperación más amplia entre los archivos diplomáticos, como ámbito para profundizar e impulsar - con base en el conocimiento histórico de los vínculos políticos, económicos y culturales - la concertación política entre la comunidad iberoamericana de naciones, con la convicción de que el ejercicio de la memoria histórica de las relaciones internacionales de Iberoamérica permitirá conocer mejor un pasado compartido, así como las aspiraciones de los países involucrados.

La RADI busca preservar la memoria, fomentar la investigación y enriquecer la cultura iberoamericana. Su vocación es ayudar a mejorar el rendimiento administrativo de los ministerios de relaciones exteriores, con el propósito de que los usuarios tengan acceso a la información de manera expedita, teniendo en cuenta que los documentos resguardados en los acervos diplomáticos son fundamentales

para entender el presente.

La Red aspira a convertirse en un instrumento eficaz de intercambio de información y experiencias en materia de archivos, para facilitar la comunicación y promover la cooperación, apoyar la ejecución de proyectos editoriales conjuntos, así como la realización de investigaciones de las relaciones internacionales de los países iberoamericanos de interés común, y la formación y capacitación de archivistas especializados en documentos diplomáticos. Otro propósito ha sido compartir experiencias archivísticas exitosas con los países que presentan mayor rezago en materia de administración documental. Por otra parte, la RADI se estableció como un mecanismo que podría contribuir a valorar los archivos históricos diplomáticos, frecuentemente ausentes de los presupuestos oficiales y de las prioridades de las administraciones públicas. De ahí que sea necesario analizar la situación actual de los archivos diplomáticos con el propósito de que estos principios desemboquen en la articulación de políticas públicas concretas.

A partir de un diagnóstico de la situación de diecinueve países miembros de la RADI, se discutirán las posibilidades de esta Red para crear alternativas y soluciones que hagan de los archivos diplomáticos verdaderos instrumentos del avance democrático y el desarrollo de los pueblos de Iberoamérica.

El escrito servirá como fundamento para discutir las alternativas de desarrollo archivístico y definición de las áreas de oportunidad de los archivos diplomáticos, para su propio desarrollo y el de las democracias de sus países, a partir de acciones realistas de cooperación internacional y creación de alianzas con actores no estatales.

Luego de un breve apartado en que se analiza el concepto de gobernanza, se exponen los resultados del diagnóstico básico de la RADI, que incluye 1) el cumplimiento del ciclo vital del documento, 2) la situación normativa, 3) los recursos humanos, 4) la calidad y suficiencia de la

infraestructura, 5) el grado de desarrollo tecnológico, 6) la atención a los usuarios, y 7) la naturaleza de las actividades de divulgación.

Gobernanza y archivos

A partir de la crisis del Estado social, se comenzó a cuestionar las capacidades estatales para gobernar. La crisis produjo desconfianza en los gobiernos y sus aparatos administrativos, los cuales fueron exhibidos como factores de “desgobierno” y se puso en duda su capacidad para dirigir a la sociedad.

Es así que se produce el redimensionamiento del Estado, el cual se expresó notoriamente en la reducción de su intervención en los procesos productivos y, en general, en la disminución de sus actividades públicas. En el fondo, el asunto era reconfigurar su capacidad directiva. El resultado de este ajuste fue la contracción de las capacidades, poderes, facultades y alcances del gobierno.

El proceso de dirección de la sociedad se fundamenta en principios, normas, procedimientos y prácticas que culminan en un orden: este proceso genera una unidad especializada, que es el gobierno, el cual debe contribuir a que la sociedad mantenga su dirección. La sociedad dota al gobierno con poderes, capacidades y recursos para que funcione. Pero este proceso de construcción del sentido de dirección sobrepasa la acción y el ámbito del gobierno.

Así, se comienza a utilizar el término “gobernanza”: 1) para dejar en claro que no cualquier actuación del gobierno es sinónimo de función directiva, 2) introducir la distinción entre la acción del gobierno y la dirección de la sociedad - que trasciende al primero -, y 3) señalar el proceso mediante el cual los actores de una sociedad deciden sus objetivos - fundamentales y coyunturales - y las formas de coordinarse para realizarlos: su sentido de dirección, esto es, la intencionalidad social de sus fines y metas y su capacidad de dirección, es decir la

efectividad social para realizar sus metas. La gobernanza quiere decir que la dirección de la sociedad no es un elemento exclusivo del gobierno. Y constituye, además, una respuesta a la pregunta sobre cómo gobernar ante situaciones modificadas, como la globalización, el resurgimiento de los regionalismos y localismos, las sociedades funcionalmente diferenciadas, etc.

Esto significa que el gobierno, aun con suficientes capacidades y con prácticas directivas institucionalizadas, no es suficiente para gobernar. Por tanto, esta nueva perspectiva tiene como propósito crear y mantener sinergias entre los gobiernos, el sector privado, la sociedad civil y los actores internacionales - estatales o no -, e implica serios retos para países con democracias jóvenes y economías emergentes como los latinoamericanos.

La capacidad directiva está dotada de los componentes institucional, fiscal, de política pública y gerencial y se observa, en la práctica, por medio de las actividades del gobierno. La gobernanza implica el traslado de esas funciones hacia los actores más capacitados, con recursos más eficaces o eficientes, o con mayor legitimidad, entre otras razones. Uno de los problemas en países como los miembros de la RADI, es que no se tiene la certeza de que haya actores efectivamente capacitados para el ejercicio y la responsabilidad de tales funciones. No hay un solo actor, público o privado, con el conocimiento o la información para resolver los problemas sociales —dinámicos, complejos, diversos—, o que tenga una visión panorámica o el poder para hacerlo por completo. Aquí radica la importancia de la cooperación.

La política exterior de los países puede considerarse como antecedente y elemento de la gobernanza. Las relaciones diplomáticas se establecen para dirimir conflictos o lograr acuerdos y así conseguir las metas comunes de los países involucrados. La administración de estos procesos globales, sin un gobierno mundial de por medio, es la razón de ser de las relaciones interna-

cionales, en tanto que son el instrumento mediante el que se discuten y negocian las soluciones a los problemas multilaterales.

El rasgo principal de la gobernanza es la creación de redes encargadas del proceso y las funciones de dirección de la sociedad. Si bien no siempre se constituyen como instituciones formales -parecidas a las gubernamentales- que diseñan políticas y proyectos, sí cuentan con organización y sentido práctico. Las redes, de esta forma, constituyen un instrumento para lograr objetivos públicos mediante la inclusión de instrumentos, recursos e ideas heterogéneas por parte de actores distintos con un mismo objetivo. En este sentido, las políticas públicas obtienen un sentido mucho más participativo, lo que no se lograría si fuese un solo actor -el gobierno o cualquier otro- quien realizara esa tarea.

La gobernanza en cierta forma mira hacia el pasado de los gobiernos con formas arcaicas de dirección social -caudillismo, patrimonialismo, intervencionismo, desarrollismo, etc.-, y se aparta de ellos para mirar hacia otro tipo de funcionamiento de la sociedad, modelado por la presencia de nuevos sujetos colectivos, más autónomos pero a la vez cooperativos en sus actividades. Indica el nuevo modo de gobernar, configurado en un contexto social distinto, caracterizado por la globalización, las aspiraciones democráticas, la creciente autonomía individual y una notoria diferenciación funcional de la sociedad; aspiraciones y procesos por los que pasan, a grosso modo, los países miembros de la RADi.

Entrando en la materia que nos ocupa, hay que subrayar que los archivos son los entes encargados de preservar los documentos que contienen el conocimiento que los Estados tienen de sí mismos y ponerlos a disposición de las sociedades en los regímenes democráticos. Tradicionalmente, han sufrido de abandono o han sido ignorados, pese a que en ellos podría encontrarse sustento para la toma de decisiones gubernamentales. También son un factor esencial de las acciones que se han emprendido

para fomentar una nueva cultura de gobernabilidad democrática basada en el acceso a la información, la transparencia gubernamental y la rendición de cuentas.

Los archivos diplomáticos, particularmente, son los encargados de salvaguardar la información sobre la política exterior de los países. Sus funciones pueden ser varias: por ejemplo, son los responsables de la custodia, la ordenación, el incremento y la restauración de los acervos documentales y bibliográficos sobre asunto internacionales, favorecen el acceso a la consulta de esos documentos, realizan investigaciones históricas, y las publican para compartir este conocimiento. En la actualidad, su valor específico se observa porque la información que resguardan está directamente vinculada con situaciones problemáticas contemporáneas que están en el centro de las preocupaciones, los debates, las negociaciones y los acuerdos mundiales, como son la búsqueda de la recuperación de la memoria histórica nacional; el tráfico de drogas, armas o personas; el comercio, la cooperación económica y la creación de organizaciones ad hoc, el terrorismo internacional, los flujos migratorios, entre otros.

Es aquí donde la RADi encuentra su razón de ser; tal como lo describimos anteriormente, es un proyecto de cooperación internacional, que busca dar apoyo para mejorar la labor de los archivos diplomáticos en Iberoamérica. Podemos decir que cobra mayor importancia por situarse en este medio, considerando los rasgos que caracterizan el pasado y el presente de los Estados, los gobiernos, los grupos sociales y el sector público de la región y cuya expresión archivística se resume a continuación.

Diagnóstico básico de la situación de los archivos diplomáticos iberoamericanos

Dentro de la RADi se ha observado que existe una serie de desigualdades y desequilibrios - dramáticos en algunos

casos - entre los diversos países miembros, así como una carencia de medidas y proyectos de carácter gubernamental permanentes que permitan el desarrollo efectivo de los servicios archivísticos y la formación de una cultura institucional y social que los sitúe como el sistema de información por excelencia de las Administraciones Públicas.

Por esta razón, en 2007 se elaboró y aplicó un cuestionario con dos secciones, una de 46 preguntas puntuales, y otra en que se solicitó información general, para preparar un diagnóstico de la RADi que permitiera determinar prioridades de manera racional para implantar programas de cooperación. El cuestionario fue enviado a los representantes de los 21 países que pertenecen a la RADi; respondieron a la solicitud 19 : Argentina, Bolivia, Brasil, Chile, Colombia, Costa Rica, Cuba, Ecuador, El Salvador, Honduras, Guatemala, México, Nicaragua, Panamá, Perú, Portugal, República Dominicana, Uruguay y Venezuela. No se recibió respuesta de España y Paraguay.

Se tomó nota literal de las respuestas de cada país, a pesar de que en ocasiones se detectaron faltas de información y aparentes contradicciones. Los resultados proporcionaron datos básicos y comparables de todos los archivos diplomáticos de los países miembros sobre los rubros siguientes: los marcos jurídicos para la conservación y acceso del patrimonio documental, el grado de capacitación en teoría archivística de su personal, los niveles de organización de los archivos, sus instrumentos de consulta, los vínculos entre los archivos históricos y los archivos de trámite y de concentración, los cuadros de clasificación archivística y catálogos de disposición documental, la aplicación de tecnologías de la información, las condiciones de los archivos electrónicos, la conservación y restauración de documentos, los fondos especiales (fototecas, mapotecas, etc.), sus instalaciones, la infraestructura informática y la divulgación y consulta de los archivos históricos (portales de Internet).

Ciclo vital del documento

Para establecer el grado de seguimiento del ciclo vital del documento entre los miembros de la RADi, se hicieron preguntas sobre la organización de los archivos, referidas directamente a la existencia y el cumplimiento de cada una de las fases y de los procedimientos que implican. De esta forma, se encontró que, dentro de los archivos diplomáticos iberoamericanos, alrededor de 80% tiene un archivo histórico; la mitad, sin embargo, no cuenta con un archivo de trámite; una tercera parte de los archivos históricos no están organizados en fondos - aunque este porcentaje puede ser mayor, dado que los archivos organizados no han logrado procesar el total de sus documentos -; más de la tercera parte no tiene procedimientos estandarizados de valoración documental; aproximadamente la mitad no hace transferencias secundarias periódicas y una cuarta parte no cuenta con un archivo de concentración; casi 60% de los archivos tiene un cuadro de clasificación archivística, aunque menos de la mitad cuenta con un catálogo de disposición documental; más de una tercera parte no hace transferencias primarias periódicas; una fracción igual ha hecho un esfuerzo por formar fondos especiales, como mapotecas, fototecas, etc. pero sólo una tercera parte tiene un área de restauración, lo cual es preocupante. En general, sólo cuatro archivos de la RADi dan seguimiento al ciclo vital del documento.

Situación normativa

Los archivos diplomáticos, como resguardo de la documentación gubernamental, deben sujetarse a una serie de lineamientos jurídicos e institucionales que regulen sus actuaciones. Con el objetivo de valorar la reglamentación y los vínculos institucionales a los que deben someterse los archivos, se formularon preguntas sobre la relación que éstos tienen con los archivos generales nacionales, y sobre la normatividad que los rige.

El análisis de las respuestas de los miembros permitió descubrir las fortalezas y carencias existentes en el rubro de regulación: casi 90% debe mantener relación con instancias archivísticas nacionales, sin embargo, en más de la cuarta parte de los países consultados no existe una ley de archivos que la normalice. La principal restricción a la que son sometidos es la falta de presupuesto propio, pues menos de la tercera parte lo tiene. En los países de Iberoamérica, existe una tendencia generalizada a sujetar las actividades de los archivos a leyes de transparencia y acceso a la información pública, sin que sea posible determinar su capacidad real para hacerlas cumplir. Esto, sin duda, es un paso importante hacia el reconocimiento de la importancia de los archivos para los gobiernos iberoamericanos, pero es insuficiente debido a que la puesta en práctica y la observancia de la normatividad depende de los recursos con los que cuentan los archivos, como el que trata el apartado siguiente.

Personal y capacitación

Es posible asegurar, sin temor a equivocarse, que la parte más débil de los archivos iberoamericanos es el personal que labora en ellos. La falta de éste, en términos cuantitativos, pero sobre todo de capacitación, constituye un área de riesgo para el desempeño correcto - eficaz y eficiente - de las labores de los archivos históricos porque de nada sirve contar con la infraestructura suficiente - aunque éste es otro punto que hay que mejorar y que se discutirá adelante - o los recursos necesarios si las personas encargadas de la ejecución de las funciones no tienen el conocimiento y las habilidades para llevarlas a cabo.

Hay, en total, 351 personas trabajando en los archivos diplomáticos de Iberoamérica. De ellos, únicamente una tercera parte, en promedio, tiene conocimientos suficientes sobre archivística, normatividad y gestión. 70% no tiene estudios en archivonomía, 49% no ha recibido capacitación especializada

en los últimos cinco años, y 72% no ha tenido ninguna clase de capacitación en los últimos tres años.

Es por esta razón que la Coordinación de la RADI decidió organizar un curso de capacitación, habilitación técnica y desarrollo de competencias profesionales, que se impartirá en noviembre de 2008, durante la X Reunión de los integrantes de la Red, pues se reconoce la necesidad urgente de, al menos, intentar equilibrar las capacidades de los trabajadores de los archivos.

Infraestructura

A pesar de que la situación actual de los recursos materiales no es tan delicada como la de los recursos humanos, la realidad no es nada satisfactoria. Aunque sólo uno de los 19 archivos no cuenta con edificio propio, destinado exclusivamente para el resguardo y custodia de los documentos en el archivo de trámite, concentración e histórico - según sea el caso -, vale la pena señalar que las condiciones de los otros no son óptimas, tomando en cuenta la cantidad de documentos y el tipo de archivos que se administra: más de la mitad no cuenta con sistema de control de humedad y temperatura y una cuarta parte carece de sistemas contra incendios y vigilancia. En cuanto al mobiliario - archiveros, estantes, anaqueles - y los contenedores - fólderres, carpetas, cajas - para la organización y resguardo de los documentos, son insuficientes o inadecuados en 25% de los casos.

Tecnología

Para evaluar el acceso y el uso de tecnología en labores archivísticas, se elaboraron preguntas sobre la infraestructura informática, el conocimiento sobre ella y el uso de la misma. Todos los archivos consultados declararon contar con una computadora, por lo menos, lo que no es suficiente si se piensa que cuatro de los 19 no están en condiciones de participar en proyectos de digitalización por falta de equipo, y dos no

pueden mantener comunicación fluida por falta de conexión a internet.

La gravedad de la falta de infraestructura tecnológica en algunos miembros de la Red no es radical, en comparación con el punto al que se hace referencia arriba: la falta de recursos humanos preparados para digitalizar documentos, usar recursos de internet y otros elementos tecnológicos. Esto es un reto para modernizar las actuaciones de los archivos miembros en el marco de la RADI. Sobre este aspecto, baste señalar que: casi una tercera parte del personal de archivo no tiene conocimiento suficiente para usar paquetería básica -procesadores de texto, hojas de cálculo, bases de datos, etc.-; poco más de un tercio no sabe usar Internet -incluso herramientas básicas, como el correo electrónico o los buscadores de información-; sólo 44% puede participar en programas de digitalización de documentos; y, quizá porque sus funciones no lo requieren, 68% no sabe usar paquetería especializada en archivística o bases de datos para su aplicación.

Dadas las nuevas tendencias del manejo de la información, es grave que sólo cuatro archivos tengan alguna estrategia de respaldo de documentos electrónicos y que un tercio no cuente con portal de internet. A pesar de lo anterior, la mayor parte de los archivos está haciendo un esfuerzo por digitalizar por lo menos alguno de sus fondos, lo que representa un área de oportunidad adicional para aumentar la cooperación.

Atención a usuarios

Por todo lo anterior, es de esperarse que la calidad del servicio de consulta no sea la deseada. Todos los archivos diplomáticos proporcionan servicio de consulta a los funcionarios de su cancillería y otras dependencias de su país, así como a investigadores nacionales y extranjeros; no obstante, algunos tienen serios problemas en la manera en que proporcionan el servicio: las condiciones y reglas para la consulta no están disponibles por ningún medio

(digital, impreso o telefónico) en cuatro de los 19 archivos diagnosticados; sólo cuatro archivos tienen instrumentos de consulta suficientes (índices, inventarios generales, catálogos y guías de fondos específicos), mientras que tres archivos no cuentan con al menos algún instrumento de consulta. En otros tres casos sólo se cuenta con un inventario general.

Además de la falta de instrumentos de consulta, resulta muy grave lo siguiente: dos de los miembros de la Red no cuentan con un espacio de consulta adecuado, a pesar de estar obligados a proporcionar el servicio; los espacios de consulta no tienen las condiciones para el uso de recursos tecnológicos por parte de los usuarios en 37% de los casos; no se cuenta con medios de reproducción de documentos en 26% de los archivos. Es grave, también, que buena parte del 74% que sí tiene servicios de reproducción lo haga mediante métodos que dañan la documentación, como es el fotocopiado, o por métodos ineficientes, de difusión limitada y costosa, como el microfilm.

Difusión y visibilidad

Lo anterior dificulta notablemente las tareas de visibilidad de los archivos, en tanto que el uso de internet, las publicaciones y la organización de actos públicos para la difusión de los archivos no tienen razón de ser si no hay material para difundir.

Como se apuntó en el apartado precedente, siete de los 19 archivos no tienen un portal en Internet. El resto, en su mayoría, tiene micrositios alojados en las páginas de sus cancillerías, lo que dificulta que puedan vincularse con otras páginas y la inclusión de características que permitan la interacción e impulsen el interés del público usuario, como fotos, video, foros de intercambio, etc.

A pesar de la necesidad de los archivos diplomáticos de tener mayor visibilidad política y de difusión de la información que custodian para generar nuevos conocimientos, una cuarta parte no realiza actos de

difusión, como son conferencias, congresos, cursos, etc. y sólo 42% edita publicaciones de carácter histórico. Alrededor del 80% de los archivos diplomáticos tiene en el olvido la edición de textos en materia archivística, lo cual es sumamente grave si se toma en cuenta la necesidad de mayor conocimiento del oficio.

Conclusiones

Cada archivo tiene problemas particulares, cuya solución representaría un reto importante para la gestión de la RADI; no obstante, es posible identificar las siguientes carencias generalizadas en los archivos diplomáticos iberoamericanos:

1.- Existe un déficit serio en la institucionalización de políticas públicas que profesionalicen la administración archivística y permitan integrar el ciclo vital de los documentos.

2.- Por su ubicación en los organigramas, la falta de presupuesto y recursos humanos capacitados y suficientes, particularmente los archivos diplomáticos no son considerados áreas sustantivas en la formulación de la política exterior de las cancillerías iberoamericanas.

3.- A pesar de definirse jurídicamente como áreas de servicio, los archivos no tienen la infraestructura física ni tecnológica necesaria para proporcionar consulta interna y externa, y tampoco responden a las demandas sociales de rendición de cuentas y acceso a la información pública gubernamental.

4.- Existe un círculo vicioso entre la falta de visibilidad provocada por dichas carencias y el mantenimiento de las carencias por la falta de visibilidad.

Para contrarrestar lo anterior, la RADI actualmente intenta promover actividades específicas para estimular a sus miembros para activarse en el sentido referido, mediante ciertas líneas de acción como son:

- Establecer un propósito para las reuniones anuales, con el fin de orientarlas

a temas sustantivos e impulsar que tengan resultados concretos y cuantificables, como son publicaciones, documentos de difusión y análisis, etc. En este caso, el curso de capacitación del personal, planeado para la reunión de 2008, es un paso inicial del que se busca obtener un producto: la adquisición de algunas habilidades sobre temas archivísticos.

- Mejorar la comunicación con los responsables de cooperación de cada país para fortalecer nuestra presencia, y promover que se hagan las aportaciones económicas que permitan convertir este foro en un auténtico programa de cooperación.

- Evaluar las condiciones y necesidades de cada uno de los archivos con la finalidad de definir proyectos y estrategias específicas de mejoramiento. Este diagnóstico general se elaboró a partir de un cuestionario que puede ser la base de la evaluación de los archivos.

- Utilizar mecanismos de difusión que aumenten nuestro impacto dentro de las cancillerías, en la sociedad y la academia.

- Aprovechar la celebración del bicentenario de las independencias de varios países iberoamericanos para llamar la atención que exigen los archivos. Para cubrir estos últimos puntos, se tiene proyectada la publicación de una recolección de los tratados y acuerdos de reconocimiento de las independencias de los países de América Latina, de fuentes diversas concernientes a las negociaciones que estos países sostuvieron con distintas potencias para lograr el reconocimiento como Estados y, finalmente, se prevé la publicación de un volumen que recoja estudios historiográficos que prepararán expertos en la materia.

El diagnóstico fue útil para estar al tanto de la situación en la que nos encontramos como proyecto de cooperación, y ejemplifica la dificultad que enfrentan los archivos históricos iberoamericanos para lograr convertirse en actores dinámicos y estelares de los procesos de dirección de la sociedad. Sin embargo, no es una misión condenada, si se considera lo que sí se

puede ir concibiendo:

1. ASUMIR LA RESPONSABILIDAD.

Nos enfrentamos todos los días a problemas estructurales que no podrán resolverse si no asumimos nuestra parte de responsabilidad sobre las causas que los han generado.

2. SERVIR. Los usuarios internos y externos son los principales reproductores de la idea de que los archivos, como áreas de servicio, son fundamentales. El fortalecimiento de nuestros servicios redundará en la integración funcional de los archivos diplomáticos con las actividades de las cancillerías y proyectará socialmente nuestras fortalezas en la academia y los medios de comunicación.

3. FORTALECER NUESTROS FOROS.

Si queremos tener y conservar aliados sociales, necesitamos transformar nuestros foros en espacios para la construcción y consolidación de una cultura archivística.

4. VENCER LA RESISTENCIA AL CAMBIO. La dotación de recursos a los archivos, que indudablemente conlleva a su fortalecimiento dentro de los organigramas y presupuestos, sólo se concretará si logramos llamar la atención de las cancillerías sobre nuestros rezagos y propiciamos la voluntad política de cambio.

La situación de los archivos diplomáticos iberoamericanos, sin ser crítica, no es positiva. A partir del diagnóstico observamos que existen muchas carencias y debilidades que merman la capacidad para ofrecer un servicio efectivo y que son obstáculos para lograr que los archivos lleguen a ser un instrumento efectivo para el desarrollo y el cumplimiento de las aspiraciones de los países de la región. Al mismo tiempo, empero, el escenario descrito debe ser visto como un área de oportunidad para modificar el estado de los archivos.

De ahí la necesidad de echar mano de todos los mecanismos de cooperación y creación de sinergias entre actores internacionales y no estatales para salvar escollos y convertirse en agentes de avance democrá-

tico y desarrollo. La labor actual de los organismos internacionales y los acuerdos de cooperación parte del reconocimiento de la insuficiencia del Estado para llevar a buen puerto todas las aspiraciones de una sociedad. La cooperación internacional es un factor de gran importancia -en algunos casos es indispensable- para la gobernanza, puesto que, por medio de ella, se pueden obtener beneficios que los actores nacionales -gobiernos, sector privado y sociedad civil- no logran producir.

Les archives de l'Afrique occidentale française : un patrimoine historique commun à mieux partager

Papa Momar Diop

■ Directeur des Archives du Sénégal.

Les archives du gouvernement général de l'Afrique occidentale française (1895-1959) ont été laissées à Dakar (Sénégal) au moment de l'accession à l'indépendance des neuf colonies et territoires qui la composaient. Ces archives constituent un patrimoine commun au Sénégal, à la Mauritanie, au Mali, à la Guinée, au Burkina Faso, au Niger, à la Côte d'Ivoire, au Bénin, au Togo et à la France. Pour mieux partager ce patrimoine commun, le microfilmage en a été entrepris avec l'aide de la France. Faute de moyens financiers et humains, les opérations n'ont pas été poursuivies et en outre des problèmes aigus de conservation se posent aujourd'hui. Les Archives nationales du Sénégal ont lancé une étude de numérisation mais elles ne peuvent mener seules une telle opération qui exige également que les fonds aient été restaurés au préalable. Papa Momar Diop appelle donc toutes les parties prenantes à conjuguer leurs efforts pour assurer la préservation de ce patrimoine exceptionnel.

C'est dans la dernière décennie du XIX^e siècle, que sont définitivement constituées les colonies du Sénégal, de la Côte d'Ivoire, de la Guinée française, du Soudan français et du Niger, dont certaines vont être divisées pour donner naissance à d'autres territoires.

Ces colonies sont économiquement, culturellement et administrativement inégales. Les inégalités ont fait naître des intérêts divergents entre elles, que les autorités coloniales constatent et se doivent d'assumer. La nécessité de créer une direction supérieure qui aurait pour rôle essentiel d'achever l'unification politique et de hâter le progrès économique et social de ces colonies s'impose.

Le décret du 16 juin 1895 répond à cette préoccupation et crée un Gouvernement général de l'Afrique occidentale française (AOF), dont le siège est à Saint-Louis du Sénégal, puis à Dakar à partir de 1902.

Un an après la signature du décret du 1^{er} mars 1919, portant division du Haut Sénégal et Niger et de la Haute Volta, un des décrets du 4 décembre 1920 établit la liste des territoires constituant le groupe AOF de la façon suivante :

- ▶ la colonie du Sénégal,
- ▶ la colonie de la Guinée Française,
- ▶ la colonie de la Côte d'Ivoire,
- ▶ la colonie du Dahomey qui au départ, était « en dehors de ce Gouvernement général »¹,
- ▶ la colonie du Soudan Français qui comprend les territoires de la colonie du Sénégal et Niger,
- ▶ la colonie de la Haute Volta,
- ▶ la colonie de la Mauritanie, et
- ▶ le territoire du Niger.

Après la débâcle de l'Allemagne en

1918, le Togo, ancienne colonie allemande est placé sous double mandat franco-britannique jusqu'en 1936². Le décret du 19 septembre 1936 rattache alors entièrement le protectorat de la Société des Nations (SDN) à l'AOF, avant qu'il ne devienne un territoire associé de l'Union Française en 1946. Durant toute la période statutaire de protectorat du Togo, la France a eu à rendre compte de sa gestion, successivement à la commission des mandats de la SDN et au conseil de tutelle de l'ONU. Ainsi, le Togo devient la neuvième entité territoriale constitutive de l'AOF avec un statut particulier.

Aujourd'hui, ces colonies sont devenues neuf Etats souverains constituant en majorité les deux blocs régionaux d'intégration économiques de l'Afrique de l'Ouest : l'Union Economique et Monétaire de l'Afrique de l'Ouest (UEMOA) et la Communauté Economique des Etats de l'Afrique de l'Ouest (CEDEAO).

Le gouvernement général de l'AOF qui a vécu jusqu'en décembre 1959, a secrété un très riche fonds d'archives, dont la particularité est d'avoir été laissé sur place à Dakar au moment des indépendances, contrairement à Brazzaville, Alger ou ailleurs, où les documents ont été transférés en métropole aux Archives de la Rue Oudinot à Paris et à Aix-en-Provence.

Les Archives de l'AOF, un patrimoine commun

Ces archives, sont celles produites et/ou reçues par les administrations dépendant du gouvernement général de l'AOF auxquelles il convient d'ajouter le petit fonds de l'éphémère fédération du Mali³ constituée, du 17 janvier 1959 au 20 août 1960, par les colonies du Sénégal et du Soudan français (actuelle République du Mali).

¹ Dans le rapport du ministre des Colonies G. BESNARD et à l'article 4 du décret du 16 juin 1895, on relève que le Dahomey était en dehors de la Fédération sur le plan administratif et que le lieutenant gouverneur de la colonie se doit simplement d'envoyer une copie de ses rapports politiques et militaires au Gouverneur général de l'AOF.

² La partie anglaise est rattachée au Gold Coast (Ghana actuel).

³ Du fait des travaux du service de la liquidation de l'ex Mali, nous trouvons dans le fonds de la défunte Fédération, des archives couvrant la période 1960-1963.

Elles sont constituées en dépôt et conservées dans les locaux des Archives nationales du Sénégal à partir de 1913, sous la responsabilité de Claude Faure, archiviste paléographe (à Saint-Louis avant leur transfert à Dakar en 1954). C'est une mémoire de quelque 4 km linéaires, commune à la France et aux neuf colonies et territoires du groupe qu'ont été le Sénégal, la Mauritanie, le Soudan français (Mali actuel), la Guinée française, la Haute Volta (actuel Burkina Faso), le Niger, la Côte d'Ivoire, le Dahomey (actuel Bénin) et le Togo (1936 – 1946)

Le fonds de l'AOF est répertorié quasiment dans sa totalité et classifié dans un cadre de classement subdivisé en 21 Séries (génériques) et 101 sous séries (spécifiques)⁴.

Si ailleurs, la dévolution des fonds coloniaux rapatriés – notamment ceux conservés à Aix-en-Provence – est source de difficultés, voire de contentieux entre la France et certains Etats, le statut des archives de l'AOF et leur conservation à Dakar n'ont jamais posé de problème. Signalons au passage que cette question des contentieux archivistiques été prise en compte et réglée par les CITRA de Cagliari en 1977 et de Thessalonique en 1994.

Les parties prenantes des archives de l'AOF sont toutes d'accord pour que physiquement le fonds soit et doive rester conservé intégralement dans son dépôt originel devenu celui des Archives nationales du Sénégal qui ont le devoir de le gérer comme un patrimoine archivistique commun, avec toutes les responsabilités qui en découlent en matière de traitement, de sécurité et de communication.

Ce principe de patrimoine commun, en tout état de cause, est si bien compris que la France a eu le souci de prendre en charge la gestion du fonds de l'AOF sur le plan des ressources humaines et de la dotation matérielle et financière du dépôt.

Au plan des ressources humaines,

l'ancienne puissance coloniale a consenti, à sa propre charge, à mettre à la disposition de la jeune République du Sénégal un archiviste paléographe⁵ jusqu'en 1976 et à rétribuer une partie du personnel des Archives nationales jusqu'en 1982.

Par ailleurs, convaincue du caractère éminemment important du fonds de l'AOF pour la connaissance de l'histoire d'un ensemble appréciable de peuples, l'Organisation des Nations Unies pour l'Education, la Science et la Culture (UNESCO) a, le 28 août 2000, inscrit ces archives au Registre Mémoire du Monde.

Le souci principal de toutes les parties prenantes du fonds de l'AOF est celui du partage, mais aussi de la bonne conservation car il ne saurait y avoir de partage sans une bonne tenue des archives.

Une mémoire en partage : un fonds largement microfilmé

Il ne faut pas prendre le mot partage dans son sens de division physique. Il faut considérer le terme dans son acception intellectuelle, c'est-à-dire de mise à disposition de copies micrographiques, en l'occurrence, le microfilm.

Depuis 1963, dans le cadre d'une convention tacite entre les Archives de France et les Archives du Sénégal, l'ancienne métropole consent un effort important dans le processus de mise en microfilm du patrimoine commun, avec l'appui – quoique timide au départ – du Gouvernement du jeune Etat sénégalais. Ainsi de 1963 à 1996, 3545 bobines de microfilm, soient quelque 1906 mètres linéaires de bandes, ont été effectivement réalisées à Dakar et envoyées aux Archives de France. Cette dernière conserve les originaux ainsi reçus au Centre de microfilm d'Espeyran à 15 m en dessous du niveau du sol, pour des raisons de sécurité, puis

⁴ Voir annexe ou suivre le lien indiqué dans la version électronique.

⁵ A cette date, M. Jean François Maurel a été remplacé par un fonctionnaire Sénégalais, M. Saliou Mbaye.

en fait des copies négatives et/ou positives pour le CARAN à Paris, le Centre des archives d'Outre-mer (CAOM) à Aix-en-Provence et les Archives du Sénégal. Donc, pour les séries microfilmées, il est loisible à tout chercheur d'en consulter les dossiers dans ces lieux, sans avoir besoin de venir à Dakar.

En plus de cet appui de la France, le Cooperative Africana Microform Project (CAMP) a apporté son soutien à la mise en microfilm de ce fonds avec les séries D (Affaires politiques et administratives) et 6 M (Justice indigène) et l'acquisition de matériel d'appoint.

Il faut dire, en ce qui concerne les autres Etats parties prenantes des archives de l'AOF, que les demandes de partage sont rares. Seuls le Niger (en 2003) et le Burkina Faso (en 2005) en ont manifesté le désir de façon officielle. La Guinée et la Mauritanie y ont fait allusion lors de voyages ou de rencontres, mais n'ont jamais formalisé la demande. Pour le Niger, la mise en microfilm des dossiers et séries dûment recensés intéressant sa propre histoire au sein de l'AOF est en cours et, il faut le souligner, à ses frais. De son côté, le Burkina s'intéresse surtout au partage numérisé. Dorénavant et déjà, un archiviste burkinabé a recensé l'ensemble des séries et dossiers relatifs à son pays⁶. Ces documents seront incessamment numérisés dans le cadre global du projet de numérisation des archives de l'AOF, dont l'étude est assez avancée.

Le gentleman agreement ou convention tacite entre les Archives de France et les Archives du Sénégal en matière de micrographie du patrimoine commun « aofien », semble ne plus être de mise depuis 1996, malgré les bonnes dispositions affichées de part et d'autre à reconduire la convention.

Un patrimoine à mieux partager

En tout état de cause, cette situation, conjuguée au manque de moyens des Archives du Sénégal a eu une double conséquence. D'une part, elle a engendré l'arrêt des opérations de micrographie des archives de l'AOF, et d'autre part, elle a mis en évidence que la forme de partage par le microfilm présente des limites qu'il convient de corriger - déféctuosité et insuffisance du matériel technique, inadéquation des ressources humaines au volume de travail, problèmes de conservation des microfilms - tout en explorant d'autres formes de copies complémentaires ou plus performantes.

Déféctuosité et insuffisance du matériel technique de micrographie

Depuis 2004, les deux caméras achetées par la France dans le cadre de la convention (une Kodak MRD2 et une Kodak 101N) sont tombées en panne et les pièces de rechange ne se font plus sur le marché. La solution est de les remplacer ou de récupérer les pièces de rechange de celles défectueuses, d'appareils qui ne servent plus et qui sont gardés éventuellement en débarras aux Archives de France ou ailleurs.

De son côté, les Archives du Sénégal ont fait l'effort d'acheter, en novembre 2003, une caméra neuve (une Zentschel Rf 121-35), la seule en état de fonctionnement qui sert actuellement à microfilmer pour le Niger les dossiers et séries des archives de l'AOF qui l'intéressent et qui sont dûment recensés et répertoriés.

Inadéquation ressources humaines / volume de travail

Avec la politique d'ajustement structurel (PAS) que les institutions de Bretton Woods ont imposée aux pays en développement dans les années 1980-1990, la fonction publique sénégalaise a cessé de recruter des agents. A l'instar de toutes les

⁶ NIKIEMA (Jules).- Répertoire des archives concernant la Haute Volta dans le fonds de l'AOF, aux Archives du Sénégal, 1890-1958.- S.I., 1973

autres administrations, cette politique a été néfaste pour les Archives du Sénégal. Le personnel partant n'étant pas remplacé, le service de micrographie se retrouve avec un seul agent qui, malgré sa compétence et son ardeur à la tâche, est nettement dépassé par un volume de travail très important. Cependant, avec l'avènement de l'alternance politique au Sénégal intervenue en février 2000, un recrutement annuel de 5000 agents de la fonction publique est effectué depuis 2004. En 2005, nous avons bénéficié de ce recrutement avec 10 agents, dont l'une - une dame- est affectée à la micrographie. Elle est en train d'être renforcée pour seconder le technicien.

Problèmes de conservation des microfilms

Du 13 au 20 novembre 2000, un technicien de la Direction des Archives de France a effectué une mission d'expertise sur l'atelier de microfilm des Archives du Sénégal. Cette mission a notamment constaté l'altération d'environ des deux tiers des microfilms conservés en dépôt.

Les conditions de conservation n'y sont pas des meilleures (problème d'hygrométrie, de climatisation...). L'examen d'un prélèvement fait sur ces documents au Centre de recherches sur la conservation des documents graphiques de Paris a fait état d'«une décomposition du support en acétate de cellulose caractérisant un processus de dégradation inéluctable et irréversible, communément appelé syndrome du vinaigre». Ces microfilms ainsi dégradés constituent un danger pour l'environnement et pour les hommes, et doivent être isolés et détruits.

Le moyen de destruction recommandé est l'incinération qui ne saurait être faite que par un service spécialisé équipé en matériel adéquat.

Les problèmes de conservation de ce type de documents à très forte composition chimique et ses conséquences néfastes mènent à reconsidérer le système de partage et de sauvegarde des documents

par microfilm. Il faut dès lors trouver des moyens complémentaires et/ou alternatifs.

De ce point de vue, les Archives du Sénégal ont pensé que, d'une part, le passage du microfilm au document numérique, en terme de conversion, est inéluctable, et d'autre part, la numérisation systématique des fonds, notamment de l'AOF, est actuellement incontournable.

Explorer d'autres formes de copies complémentaires ou plus performantes

Aujourd'hui, les nouvelles technologies de l'information permettent de compléter l'utilisation des microfilms et d'envisager d'autres supports de partage et de sauvegarde des documents.

Aussi, les Archives du Sénégal ont-elles pris sur elles d'apporter un appoint au microfilm en se dotant, depuis 2005, d'un équipement informatique (hardware et software) lui permettant de convertir les microfilms en données numériques.

Les Archives du Sénégal ont également lancé une étude de numérisation de l'ensemble des documents (archivistiques, bibliothéconomiques, sonores et iconographiques). La très grande richesse des fonds, la typologie et les formats variés des documents, font qu'une telle opération est très onéreuse et hors de la portée du maigre budget dont dispose la Direction des Archives du Sénégal.

La France et les Etats issus de l'AOF en sont conscients et doivent apporter leur contribution. La Francophonie, notamment, l'INTIF (Institut Francophone des Nouvelles Technologies de l'Information et de la Formation), et l'UNESCO – qui a inscrit le fonds de l'AOF au Registre Mémoire du Monde, peuvent également apporter leur aide.

Ainsi, chacune des parties pourra plus aisément et librement disposer de sa « part » et la préserver, sans les contraintes en matière de conservation de microfilms, que vivent les Archives du Sénégal qui n'ont pas les moyens (idéaux ?) du dépôt d'Espeyran.

Cependant, étant donné l'état de dégradation de nombre de documents des fonds coloniaux, toute entreprise de numérisation, pour peu qu'elle se veuille exhaustive, doit se faire après ou simultanément avec une opération de restauration. A ce propos, avec la concrétisation de l'aide promise par l'UNESCO, les Archives du Sénégal comptent redémarrer ses activités de restauration interrompues depuis 1991 pour cause de départ à la retraite des deux seuls agents formés et de politique d'ajustement structurel.

Mais, tout comme aujourd'hui, le microfilm s'avère très peu sécurisant en terme de durabilité du point de vue de sa conservation, le document numérique peut, demain, révéler d'autres types de limites. En conséquence, la numérisation ne saurait être une panacée pour un partage et une sauvegarde optimaux du patrimoine commun, véritable « bijou de famille » de la communauté francophone ouest africaine.

C'est fortes de cela, qu'il nous faut à tout prix, nous Archives du Sénégal, Archives de France, Archives des Etats de l'ex AOF, UNESCO, Francophonie, communauté internationale des chercheurs, toute partie prenante d'une manière ou d'une autre, conjuguer nos efforts et notre génie pour assurer la préservation et la protection physiques de notre joyau familial à léguer, dans les meilleures conditions possibles, à la postérité.

Going global : Developing globally harmonised software specifications for records

Adrian Cunningham

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The need for good e-recordkeeping systems has been recognized since the 1990s. The production of international standards on which to base such systems has been a notable achievement; however it has been difficult for software vendors to produce one internationally-compliant product. On the initiative of the National Archives of Australia, a team drawn from the ICA and the Australasian Digital Recordkeeping Initiative developed a single, globally-harmonised statement of requirements that could be used as the basis for developing or revising jurisdiction-specific requirements. A main objective was to produce a statement of requirements fit for the purposes and realities of less wealthy countries. The three main 'modules' are (1) an overview document and statement of principles; (2) high-level requirements and guidelines for ERMS software; and (3) guidelines and requirements for managing records in business systems. This last allows organizations to manage records within existing business systems rather than creating records in one application and managing them as records in a separate ERM application.

For at least the past 15 years our profession has held it to be self-evident that good electronic recordkeeping requires good electronic recordkeeping systems. Much of our professional energy during that time has been directed towards helping organisations to design and implement native software applications that provide good recordkeeping functionality. We have adopted the standards setting role with a fierce vigour and commendable enthusiasm. We have done this both at national and jurisdictional levels, but also globally – most notably through the development of the leading international standards ISO 15489 (Records Management) and ISO 23081 (Metadata for Records).

Software vendors have responded to these efforts and escalating market interest by developing a range of electronic document and records management software applications that supply much of the functionality sought, with user interfaces and software architectures of varying levels of sophistication. Arguably, our efforts at influencing the global software market have been hamstrung by too much information and not enough coordination. Since the late 1990s we have witnessed a confusing proliferation of jurisdiction-specific statements of requirements for electronic records management software. A short list of just some of these follows, by way of illustration:

- ▶ United States of America Department of Defense's (Design Criteria Standard for Electronic Records Management Software Applications 5015.2: <http://www.dtic.mil/whs/directives/corres/pdf/501502std.pdf> (2007 – Version 3))
- ▶ European Union's MoReq (Model Requirements for the Management of Electronic Records: <http://www.cornwell.co.uk/edrm/moreq.asp#moreqdownload> (2001))
- ▶ Germany's DOMEA Concept Requirement Catalogue (http://www.verwaltung-innovativ.de/nn_1007684/SharedDocs/Publikationen/DE/domea_konzept_requirements_catalogue,templateId=raw,property=publicat

[ionFile.pdf/domea_konzept_requirements_catalogue.pdf](http://www.verwaltung-innovativ.de/nn_1007684/SharedDocs/Publikationen/DE/domea_konzept_requirements_catalogue,templateId=raw,property=publicat) (2005)).

- ▶ Norway's NOARK 4 (Norwegian Recordkeeping System: Functional Description and Specification of Requirements: <http://www.arkivverket.no/noark-4/Noark-eng.pdf> (2000))
- ▶ United Kingdom National Archives' (Requirements for Electronic Records Management Systems: <http://collections.europarchive.org/tna/20080108102455/http://www.nationalarchives.gov.uk/electronicrecords/function.htm> (2002))
- ▶ National Archives of Australia's Specifications for Electronic Records Management Systems Software (<http://www.naa.gov.au/records-management/publications/ERMS-specs.aspx> (2007))
- ▶ Archives New Zealand's Electronic Recordkeeping Systems Standard (<http://continuum.archives.govt.nz/files/file/standards/s5.pdf> (2005))
- ▶ Victoria's Victorian Electronic Records Standard (<http://www.prov.vic.gov.au/vers/standard/> (1999–2007))

While there are usually good administrative and legal reasons why individual jurisdictions need to issue their own statements of software requirements, the cumulative impact of this proliferation on the global software industry can be counter-productive. Vendors understandably say that it is difficult, if not impossible, for a single software product to comply with so many different statements of requirements. This is not withstanding the fact that many of the statements of requirements are often heavily based on pre-existing requirements issued by other jurisdictions.

By 2005, therefore, it seemed clear to the National Archives of Australia (NAA) that there was a strong business case for the world's leading archival institutions to work together to develop a single globally harmonised statement of requirements that all of our jurisdictions could endorse and use as the basis for developing or revising jurisdiction-specific requirements

where necessary. The NAA sounded out colleagues in a range of counterpart institutions internationally and established that these colleagues understood the need to work together and were prepared to commit resources to such a collaboration.

The NAA submitted a formal project proposal to the International Council on Archives' Program Commission, which was promptly endorsed and allocated to its Electronic Records and Automation Priority Area, responsibility for which rested with Scottish National Archivist George Mackenzie. Indeed, so enthusiastic was George Mackenzie that he offered to host the first meeting of the project team at the National Archives of Scotland in Edinburgh.

As well as securing endorsement for the project by the International Council on Archives (ICA), the NAA also sought involvement and sponsorship by the Australasian Digital Recordkeeping Initiative (ADRI). ADRI is an initiative of the Council of Australasian Archives and Records Authorities (CAARA), which includes the ten public records institutions in Australia and New Zealand:

- ▶ National Archives of Australia
- ▶ Archives New Zealand
- ▶ Public Record Office Victoria
- ▶ State Records New South Wales
- ▶ ACT Territory Records
- ▶ Archives Office of Tasmania
- ▶ Northern Territory Archives Service
- ▶ Queensland State Archives
- ▶ State Records South Australia
- ▶ State Records Office Western Australia.

The vision of ADRI is that all governments in Australia and New Zealand implement a uniform approach to making, keeping and using digital records to ensure accountability and the long-term protection of vital cultural heritage.

The members of the international project team represented the following archival institutions:

- ▶ National Archives of Australia
- ▶ Archives New Zealand
- ▶ National Archives and Records Administration (USA)
- ▶ Bundesarchiv (Germany)
- ▶ The National Archives (UK)
- ▶ National Archives of South Africa
- ▶ National Archives of Malaysia
- ▶ National Archives of the Netherlands
- ▶ National Archives of Sweden
- ▶ Archives Directorate of France
- ▶ Cayman Islands National Archives
- ▶ Queensland State Archives.

At its first meeting in Edinburgh in September 2006, the project team defined the scope of the project and agreed on lead agencies for individual modules of work, with attendant timeframes. It was agreed that there should be three main modules of work that should be finalised for publication before the ICA Congress in Kuala Lumpur in July 2008. The three modules and their lead agencies were as follows:

1. overview document and statement of principles (NARA and NAA)
2. high-level requirements and guidelines for electronic records management system software (Archives New Zealand)
3. guidelines and requirements for managing records in business systems (NAA and Queensland State Archives).

We agreed that the lead agencies should spend up to ten months developing drafts of the various modules and that the team would meet again in Australia in September 2007 to discuss and revise the drafts. The aim then was to finalise exposure drafts for web release in early 2008, with a comment period lasting for about eight weeks so that the project team could meet again in April 2008 (in Koblenz, Germany) to consider the comments and finalise the drafts for editing and publication.

During the initial meeting in Scotland the project team spent a lot of time discussing consultation and liaison strategies

with stakeholder groups. Obviously the memberships of both the ICA and ADRI were primary stakeholders. Other important stakeholders included:

- ▶ software vendors/industry groups
- ▶ governments
- ▶ private sector organisations
- ▶ International Standards Organization
- ▶ International Records Management Trust.

We agreed that every effort should be made to reach out to these different groups, not just to make them aware of our project, but also to seek their expert input and comment. The International Standards Organization's Records Management Committee (TC46/SC11) was identified as an especially important liaison – not just because we were basing our work squarely on the foundations of the ISO standards mentioned above, but also because we envisaged that the products of our project could, in time, be considered for possible adoption as ISO standards. Project Team member Hans Hofman of the Netherlands, who is also a member of ISO TC46/SC11, agreed to be a formal means of liaison between the two groups.

Another very important liaison was with the European Union's MoReq2 project. In 2006 the EU announced major project funding for the development of a second edition of its Model Requirements for the Management of Electronic Records. Governance of the MoReq2 project was the responsibility of the EU's DLM (Digital Lifecycle Management) Forum, with the work being guided by the DLM Forum's Scoping Report for the Development of MoReq2 (2006).

Clearly, there was no point in the ICA endeavouring to compete with MoReq2 – a project that was bound to exert a major influence on the software vendor community, not just within Europe. Fortunately, the ICA had been identified by the DLM Forum as a key stakeholder in the MoReq2 project. As such, our project team was granted formal liaison status in the bureaucratic

apparatus built by the EU to support the MoReq2 process. ICA project team member Göran Kristiansson from the National Archives of Sweden was appointed by the ICA as the formal liaison person between the two projects. In addition, a number of other European members of the ICA Project Team (notably members from Germany, the United Kingdom and France) were also active members of the DLM Forum. In effect we decided that providing input into the development of MoReq2 would be a fourth module of work for our ICA Project Team.

While not wishing to develop a statement of requirements that would compete in the same space as MoReq2, the ICA project team was nevertheless acutely aware that Europe could not pretend to (nor was it trying to) speak for the whole world. We determined that the wider ICA membership, which consists of a large number of developing countries in Africa, Asia, Central America, the Caribbean and the Pacific, needed a statement of requirements for electronic document and records management systems (EDRMS) that were fit for the purposes and realities of less wealthy countries. While it was clear to us that MoReq2 would be highly technical and granular, we wanted to produce an ICA set of requirements that were more principles-based and less daunting for the ICA membership at large. For that reason we agreed that Archives New Zealand's Electronic Recordkeeping Systems Standard represented an appropriate high-level set of model requirements that could be used as a starting point for our deliberations.

With the aim of adopting a principles-based approach to our work, Module 1 (Overview and Statement of Principles) provided an important foundation for the more detailed statements of requirements and guidelines that can be found in Modules 2 and 3. We identified twelve principles that should guide the development of all software applications that are intended to be used to make and keep records. The first four of these principles relate specifically to records, while the remainder relate more to systems:

1. Electronic business information has to be actively managed and maintained as evidence of business activity.
2. Business information has to be linked to its business context by metadata.
3. Business information has to be kept and remain accessible to authorised users for as long as required.
4. Business information has to be able to be disposed of in a managed, systematic and auditable way.
5. Systems for capturing and managing business information have to rely on standardised metadata as an active, dynamic and integral part of the recordkeeping process.
6. Systems have to ensure interoperability across platforms and domains and over time.
7. Systems should rely as far as possible on open standards and technological neutrality.
8. Systems should have the capacity for bulk import and export using open formats.
9. Systems must maintain information securely.
10. Most metadata should be system generated.
11. Systems should support business information management as an organic part of the business process.
12. It should be as easy as possible for users to create/capture records of business activity.

In Module 1 we also devoted a lot of attention to implementation issues. Good software is only one component of successful electronic business information management in organisations. Other components include: policy frameworks; business process analysis; project management; change management; risk management; sustainability; capability development; quality management; configuration management; and corporate culture.

While Module 2, led by New Zealand, represented a high-level consolidation and statement of consensus based on a decade

or more of work done in different jurisdictions, Module 3 was the piece of work that our ICA project team felt was breaking new and exciting ground. The focus of both our Module 2 and MoReq2 was on electronic document and records management software products. It was the view of the ICA project team, however, that many organisations will legitimately wish to capture and manage their records in line-of-business applications rather than in stand-alone records management applications. In other words, rather than expecting organisations to create records in one application and then manage them in a separate application, it is logical for organisations to want to do both within a single business system.

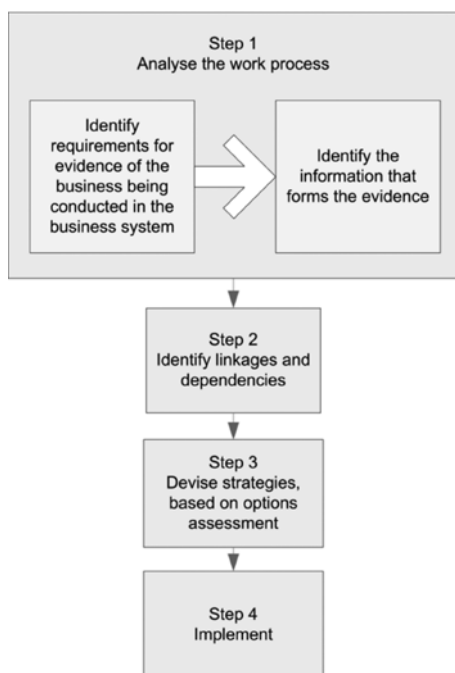
We defined business systems as 'automated systems that create or manage data about an organisation's activities'. These include applications whose primary purpose is to facilitate transactions between an organisational unit and its customers, for example:

- ▶ an e-commerce system
- ▶ client relationship management system
- ▶ purpose-built or customised database
- ▶ human resources systems.

The challenge, as we saw it, was to provide the designers of business systems with guidance on the essential records-specific functionality that they need to build into such systems if they are to achieve both good business and good recordkeeping outcomes within a single system. Most statements of requirements for EDRMS aim to be comprehensive. That is, they aim to list all of the functional requirements necessary for a fully functional EDRMS application. Our project team determined that guidance for records functionality in business systems did not need to be comprehensive – it only needed to focus on those aspects of functionality that are uniquely essential for recordmaking and recordkeeping. As such, our aim for Module 3 was for a much smaller set of functional requirements than would be the case for our Module 2, and indeed MoReq2.

Business systems often have characteristics that provide serious recordkeeping challenges. They often hold data that is frequently updated, able to be transformed (ie manipulable) and is non-redundant (ie only current data is held, while old data is overwritten). In comparison, records have to be fixed at a point in time and need to be inviolate. Traditional records management processes often do not sit comfortably within business systems – they are often seen as hindering rather than supporting the conduct of business.

The most important part of Module 3 for the key target audience of ICT professionals and designers of business systems is, therefore, an explanation of what records are and how to determine what the record should comprise within the context of a given line of business system. Answering the question 'what does the record need to be and what should it consist of' necessarily requires dialogue between business owners, records staff and business systems developers/administrators. Work process analysis is absolutely critical.



Having determined what records need to be captured during the work processes, the next set of questions involves essential systems functionality for recordkeeping. This functionality falls into four broad areas as follows:



Scoping, drafting, consulting on and then finalising three substantial modules of work in addition to liaising with the MoReq2 project, all in less than two years, was a substantial achievement. All the more so when this required consensus and input from twelve different archival institutions on five continents. Sixteen sets of detailed comments on the exposure drafts were received from eight countries. These comments came from a variety of sources including national archives, software vendors, standards committees, private consultants and other peers and experts. The three modules are now available on both the ICA website: www.ica.org and the ADRI website: <http://www.adri.gov.au/>

Future work currently under consideration by the ICA and its members includes:

- ▶ actively engaging software vendors
- ▶ developing an international software testing regime based on the modules
- ▶ developing an interactive web-based self-assessment tool
- ▶ developing testing scripts for the functional specifications

- ▶ developing process mapping and data modelling
- ▶ developing the modules as ISO standards
- ▶ ongoing refinement of Module 3
- ▶ developing more detailed implementation guidance
- ▶ mapping the ICA requirements to MoReq2 and US DoD 5015.2.

Allies or aliens? What is the relationship between academic and practice-based research?

Caroline Williams

■ Caroline Williams, is an Independent Archival Consultant, and Senior Research Fellow at the University of Liverpool. She was formerly Head of Research and Collections Development at The National Archives (UK). Current areas of research interest and publication include the history and diplomatic analysis of the record and the interface between theory and practice. A recent publication is *Managing Archives: Foundations, Principles and Practice* (2006).

This paper discusses the relationship between academics and practitioners in their approaches to research. It considers how the mission, aims and objectives of their respective employing organisations influence the nature and methods of the research they undertake. It argues that the best model of the research relationship between academics and practitioners is one that is collaborative, interactive, and iterative. It explores some current examples of international collaborative projects and describes how the UK National Archives, as a major practitioner and one of the UK's seven Independent Research Organisations, is repositioning its strategy on research. It finishes by highlighting some of TNA's current research projects, including the Semantic Web, archiving Web sites, conservation science and climate change, understanding online users, and developing a wiki for users of the National Archives.

Current definitions of research

In the UK academic context there are two current definitions of research, formulated in order to guide the Research Assessment Exercise (RAE) that universities are regularly subjected to. The first, from 2001, describes three types of research: basic research, applied research and experimental development. Basic research is “experimental or theoretical work undertaken ... to acquire new knowledge of ... phenomena and observable facts, without any particular application or use in view”—what is sometimes referred to as “blue skies” research. Applied research is the generation of new knowledge “directed primarily towards a specific practical aim or objective”—particularly germane in practice-based disciplines such as ours. Experimental development draws on existing knowledge gained from research in order to produce new or improved materials, products, systems, or services.¹

The second definition in the 2008 RAE simply says, “Research ... is original investigation undertaken to gain knowledge and understanding ... It includes work of direct relevance to the needs of commerce, industry, and to the public and voluntary sectors.”

It is clear that these are useful definitions, both for archival academics and practitioners.

In the international archival community, over the last ten to fifteen years, increasing attention has been paid to what research actually means for our community. Eric Ketelaar, Ann Pederson, Anne Gilliland, Sue McKemish, and others have all helped supply an international definition of research in archivistics, or archival science; this provides a comprehensive approach to

what areas might be considered to come within its scope.²

In relation to the UK’s research agenda, the universities of Liverpool, Northumbria, Aberystwyth, Glasgow, Dundee, London, and Dublin, which comprise the Forum for Archives and Records Management Education and Research (FARMER), drafted the following description of the scope of research in Archives and Records Management.

Research in archives and records management investigates the creation and capture of records, their organisation as the “corporate” memory within the creating organisation, and ultimately their access beyond that original context. Within this framework archives and records management has both cultural and evidential roles both of which are severely underrepresented in the research environment. Valid areas for investigation include professional methodologies, models, frameworks and standards, ethics and professional practice, user needs, roles and responsibilities, compliance and governance issues, metadata, data integrity and preservation management.

This gives quite a lot of scope for applied research—more perhaps than for “blue skies”—but how has the research relationship between practitioners and academics developed over the years?

Approaches to archival research

There has been a range of approaches to archival research within the profession. Some of these have been quite polarised because they derive from specific academic and practitioner stances.

We can recall the late 1980s and early 1990s views of Americans John Roberts and Frank Burke—if for no more reason

¹ Organisation for Economic Co-operation and Development, *Frascati Manual: Proposed Standard Practice for Surveys on Research and Experimental Development* (Paris, 2002).

² KETELAAR E. ‘Archivistics Research Saving the Profession’ <http://www2.sis.pitt.edu/~gaeconf/ketelaar.doc> [viewed 10 July 2008]; Gilliland, A. and McKemish, S. ‘Building an Infrastructure for Archival Research’ in *Archival Science* 4, 3-4 (2004) 149-197.

than to measure how far we have come since then. Roberts, a practitioner who denied that recordkeeping had a theoretical base and said it was “all about shelving,” stated, “Archival theory [read ‘research’]—when it goes beyond a point of diminishing returns—is inflated, pretentious, and virtually useless. It mimics academic methods without producing worthwhile scholarship. It offers scientific generalizations that are neither scientific nor generally applicable. It seeks to create an illusion of archival professionalism, while threatening to dilute the professionalism and authority of the line archivist.” Roberts further states, “Theory also plays a role in the struggle over who will dominate the profession and set its agendas. It is fuelling the expansion of a profession within a profession: archival theorists and scholars who would seek to analyze issues that require no analysis, to develop models that serve no purpose, and to explain concepts that are self-evident.”³

In contrast, Frank Burke, then director of the funding body the National Publications and Records Commission, said

If the profession is to progress, certain archivists must make the move from the workplace to the academy, not just for one day a week, or one week a year, but as a permanent career commitment. And, once there, they must realign themselves with the academic historians and those in related disciplines that touch on the nature of information, the management dynamics of corporate bodies [...] and meld their concepts into the new philosophy of archives as records of human experience. Ultimately, given enough courses in enough good academic settings the study of archives will produce a body of basic principles, a system of immutable laws, a litany of theory and dogma. Like all other theories, each hypothesis will engender counter-hypotheses; but at least there will be intellectual discussion of the questions involved, linkage with sister disciplines in the discovery of transcendent concepts, a

³ ‘Practice makes perfect, theory makes theorists’ *Archivaria* 37, (1994) 111-121.

*body of literature and counter literature that will ultimately support challenges, heuristic exercises, paradigmatic explications and unimpeachable antitheses leading to further Hegelian progressions.*⁴

These statements are dated, dogmatic, distant, and extreme, with Roberts refusing to acknowledge the value of research, and Burke acknowledging the value of research—at least blue skies research—but apparently seeking a complete distancing from practice. Nonetheless, we know today that there is still a tension: academics and practitioners are bound to take different standpoints.

The academic/practitioner relationship

There is a symbiotic relationship between academics and practitioners. However, there will always be the potential for tension between them, in archives as elsewhere. Is it not the job of academics to develop research, and the job of practitioners to get on with doing the day job? Clearly they have different roles, missions, objectives, and constraints. Arguably, academics seek out significant problems or issues that they might attempt to understand and explain through research. Results may (or may not) offer solutions to be considered in the light of practice, and are extremely likely to result in some kind of peer-reviewed publication.⁵

Practitioners, on the other hand, do not go looking for problems; they come along only too frequently, as a result of operational practice. These need a tangible and measurable solution within a given timescale, availability of models to guide practice, and success or failure can be

⁴ BURKE F. ‘The Future Course of Archival Theory in the United States’ *American Archivist* 44, (Winter 1981), 45; ROBERTS J. ‘Archival Theory: Much Ado about Shelving’ *American Archivist*, .50, no.1 (Winter 1987), 70.

⁵ WILLIAMS C.M. ‘Studying reality: the application of theory in an aspect of UK practice’, *Archivaria* 62 (Fall 2006), 77-101.

quite visible.⁶ Because such problem-solving is less likely to be considered explicitly as “research,” resulting experiences, successes, and failures may not be fed into the knowledge and experience base of the wider professional canon. Publication of findings and claims for innovation in research are less likely to take place.

Tensions are most noticeable at the extreme ends of the spectrum, where blue skies research might encourage creative, imaginative thinking but will not offer a useful methodology to practitioners; and where practice-based generalizations confined to a narrow practical arena give rise to conclusions of limited interest to academics. But that is at the extremes. There is, of course, a very broad middle ground in the spectrum of archival enterprise, as there needs to be in any predominantly applied discipline. It is here that both practitioners and academics may become involved in collaborative research.

We know that the best solution (for many kinds of research) is collaborative, interactive, and iterative. Previously I presented an illustration of how such a model might work, in discussing the relationship between theory and practice.⁷ It is a model suggested by Gilles Deleuze in a conversation he held with fellow philosopher Michel Foucault in 1972.⁸ He said that “practice is a set of relays from one theoretical point to another, and theory is a relay from one practice to another” and “no theory can develop without eventually encountering a wall, and practice is necessary for piercing this wall.” This idea of theory and practice, of thinking and doing, and making progress incremen-

tally as each bounces off the other, has been illustrated even more graphically by Australian archivist Chris Hurley:

We didn't stay on the ground until a company named Boeing had the design concept for a 767. In the development of winged flight, conceptual thinking and trial-and-error experimentation went hand in hand. What was learned from ballooning and gliding was very much part of the conceptual development undertaken by the Wright Bros. They had to experiment and try-out their ideas (as well as thinking it through) to get a solution: thinking and tinkering at the same time. It was all very iterative. It was only in retrospect that you could say theirs became the right solution at some point.⁹

In our own discipline we can see really good examples of this happening—where bridges are built between academia and practice in applied research.

The latest in the series of large research projects run by Luciana Duranti at the University of British Columbia, InterPARES 3, “Implementing the theory of preservation of authentic records in digital systems in small and medium-sized archival organizations,” is a case in point. This builds on the findings of InterPARES 1 and 2 in considering issues of authenticity, reliability, and accuracy of records in a range of complex digital environments. It specifically aims to be of practical use to small and medium sized archives, aiming to put theory into practice and involving those organisations in the underpinning research.

The Clever Metadata project hosted by Monash University involved Australian and American academics working alongside the National Archives of Australia and the State Records Authority of New South Wales in developing a prototype to demonstrate how standards-compliant metadata can be created once in a particular application environment and then used many times for

6 FRANKEL T. 'Of Theory and Practice', *Chicago-Kent Law Review*, (2001) 77:5, 14, 27.

7 WILLIAMS C.M. 'Studying reality: the application of theory in an aspect of UK practice', *Archivaria* 62 (Fall 2006), 77-101.

8 This discussion was recorded March 4, 1972; and was published in a special issue of *L'Arc* (No. 49, pp. 3-10), dedicated to Gilles Deleuze. Reproduced on the Interactivist Info Exchange: Collaborative Authorship, Collective Intelligence website <http://info.interactivist.net/print.pl?sid=03/01/13/0056200> [accessed 5 November 2005].

9 E-mail from Chris Hurley to the Mailing List for Australian Archivists, subject 'Digital Archives and Communities', 21 October 2005 cited in Williams, C. 'Studying reality'.

multiple purposes across business applications and in different settings.¹⁰

And in the UK, Northumbria University is engaging with a range of practitioners in Accelerating Positive Change in Electronic Records Management, a project focusing on people, working practices, and technology issues to develop a deeper understanding of how to design and implement an organisational-centred architecture for e-records management.¹¹

The academic and the practitioner research environments

Academic researchers are more vocal in their views of research than practitioners are. This is not surprising since it is central to the “day job”; it is usually academics who lead collaborative research projects, and publication of their findings is the main outcome of their work.

Research is a core function for academics, and applying for funding is central to carrying out that research. UK academics, to prove their worth, must apply to research councils, such as the Arts and Humanities Research Council and the Economic and Social Research Council, and their performance is often judged by the number of applications they submit (and not just whether they are successful). Research councils generally expect the funding they disburse to be allocated to universities, with academics as principal investigators. There is, of course, a wide variety of funding streams, but in all of these, including those that are practice-based, the expectation is that they will be led by academics.

Plans for dissemination are one of the most important aspects of successful applications. And although output is

becoming increasingly varied (e.g., contemporary dance) it is still the case that the monograph, the article in a peer-reviewed journal, is the acme of research output. So an integral part of research lies in its dissemination. We might consider these questions: What is the value of research to academics without dissemination? Is it perhaps the publication that is the real product rather than the application of the research itself?

Fewer reflections of research come from practitioners in organisations, because the product of research is the solution to the problem, rather than a publication. Solving the problem—not reflecting about it—constitutes success. There is far less commitment—or imperative—to share the knowledge gained during the process of solution, or even to recognise that what has been done constitutes research at all. Conceptual and retrospective analysis of findings is not important to success in many applied projects. Dissemination and self-conscious additions to knowledge beyond the organisation through publication is a luxury rather than a necessity.

In addition to these issues, it is harder for practice-based organisations to fit into traditional research frameworks. This is partly because research councils set standards for research; their standards and frameworks are set up to suit university systems and processes, and research council timescales can undermine practice-based research. That is not to say that good research cannot go on outside of a university setting; clearly it does. However, for practice-based organizations this can be constraining. Academic models require literature research and recognised methodologies. In a practical environment methodologies have to be equally robust, but will be different, and may, for example, translate into project management methods—like Prince2.

Universities are able to set up departments to deal with all the complications that arise from applying for funding, for

10 GILLILAND A. and McKEMMISH S. 'Building an Infrastructure for Archival Research', *Archival Science* 4, 3-4 (2004) 149-197, 160.

11 Accelerating Positive Change in Electronic Records Management <http://www.northumbria.ac.uk/sd/academic/ceis/re/isrc/themes/rmare/erm/ent> [accessed 29 September 2008].

example, full economic costing, and become expert at it. Independent research organizations such as the National Archives, where research is likely to be a by-product rather than central to the mission of the organisation, cannot be expected to invest in the same way that universities do—there is no academic research assessment exercise looming, and really any research done is an “extra.”

Applying for funding and undertaking the subsequent research takes time. From initial planning to receiving funding will take a year—that is before research can begin. And by the time you have finished it and disseminated your outputs the world has moved on, your question has changed, and the answer no longer as relevant as it was. For example, you might do an amazing piece of research on how staff in government departments use Web 2.0 technologies to support policy development—wikis, blogs, and other manifestations of social software—only to find that Web 3.0 or 4.0 has come along and you are yesterday’s news.

In the words of Bernard Loomis, the Star Wars toy marketer, “The trouble with research is it tells you what people were thinking about yesterday, not tomorrow. It’s like driving a car using a rearview mirror.” I believe this is a real issue for organizations like ours. And yet it is managed in industry, where products depend on their research and development departments to keep ahead of the game. At The National Archives we currently have very good relationships with a number of research councils, and are pursuing these issues, alongside our peers in allied independent research organizations.

The National Archives in the UK

As head of research and collections development at the UK National Archives, I can present an example of a large practice-based organisation that is becoming “self-conscious” about its research role.

In 2005, the National Archives was awarded Independent Research Organisation status by one of the UK funding councils, the Arts and Humanities Research Council. This meant that, rather than being dependent on invitations from universities in partnership applications for research funding, we could now lead our own research applications—an opportunity to be proactive as well as reactive. Seven other institutions gained similar status at the same time: the British Library, the British Museum, the Victoria and Albert Museum, the National Maritime Museum, the National Portrait Gallery, the Tate Gallery, and the Royal Commission on Ancient and Historical Monuments of Scotland. The purpose is to provide funding “to help support the wide range of research activities taking place in museums and galleries”—and, of course, archives.

Over the years we have received substantial research council funding, mainly for resource enhancement projects in partnership with universities. Our most recent successes in exploiting our new status as lead partner came in 2008 when we received £38,000 (in collaboration with the Institute of Historical Research) to train doctoral students and future policy makers in the relevance of using archives to help frame future government policy, and £96,000 to catalogue the records of naval medical officers.

Nature of research at the National Archives

But what is the nature of research at the National Archives? I recall some of the definitions of research presented at the start of this article. Reflecting on these, is the National Archives a “blue skies” research type organization? Is it in the business of developing research based on top-down scientific deductive models, relying on certain assumptions to produce logical and unchanging outcomes and conclusions? Is it intent on producing lasting theories as the

main outcome of investigations? Not really, although conservation science is clearly working to establish scientific models to guide preservation practice.

Or rather is the National Archives a “learning by doing” kind of place? Never mind the theory, just get some results? Social sciences depend on this kind of empirical inductive approach, where observation leads to possible rather than certain conclusions. Does our practice-led environment make this even more the case—where the goal is to find a solution to an immediate problem?

When considering the term research in relation to the National Archives, it is usually research into the records that are held there that first comes to mind—“interpretive” research, if you like. Our Web site has a section headed “Research, education and online exhibitions” that provides guidance on how to do military, house, and family as well as “academic” research. Research is something that is undertaken by a wide range of users from school children to postdoctoral academics and beyond, as part of their quest to “add to knowledge” about the past. Our role is to support such research through the reader services department, now called “Advice and Records Knowledge.” Underpinning this support into archives held at the National Archives is of course the knowledge—the product of research—that resides in its staff, particularly its records specialists, our experts in interpretive research.

In fact, when the National Archives applied for and received the award of Independent Research Organisation status, it was on the basis of the expert knowledge of these specialists in English history. Indeed, of eleven staff curriculum vitae submitted with that application, eight were from historians. Two were from conservation scientists; collection care has huge research potential at the National Archives. Only one came from an information and

records manager.

However, core activities at the National Archives are now, and were then:

- ▶ taking forward new developments in the management and exploitation of digital information and guaranteeing its survival as future archives;
- ▶ engaging with government in the way it creates and maintains records in order to make it accountable to its citizens;
- ▶ providing expert knowledge in the preservation of digital and analogue information;
- ▶ understanding how users access archives and information sources of many kinds, and how they are now doing so in the Web 2.0 world; and
- ▶ information policy from creation and preservation to reuse.

It is perhaps surprising that given the proportion of staff at the National Archives with expertise in these areas, evidence of research appears less well developed. Why is this expertise not expressed in “academic” terms? Why is professional, cutting-edge knowledge and practice not being disseminated more widely—as applied research? Is it because those doing this important work don’t actually view it as research? Is it something to do with the nature of research that it is not easily undertaken by those engaged in an applied discipline? Is research not a natural feature of their landscape?

The research policy and strategy of the National Archives

In 2007, Chief Executive Natalie Ceeney created the research and Collections Development Department. One of the department’s core aims is to develop and maintain the preeminence of the National Archives as an originator and supporter of research—and, as is customary, one of our first actions was to publish a research policy and strategy.

Echoing the discussion above of the

nature of research in a practice-based environment, the policy stated that the role of research is to: “support decision-making in The National Archives through developing and testing new ideas, and through the interpretation of information and research findings for the benefit of government, the information community, The National Archives staff and a wider constituency.”

In order to do this we will engage in the development of a distinct research agenda that aims to

- ▶ position the National Archives as the leading pioneer practitioner in the UK;
- ▶ underpin the National Archives’ vision and other business objectives through the application of research findings to business-critical questions;
- ▶ fulfil the National Archives’ status as a research council-recognized Independent Research Organisation; and
- ▶ ensure that the National Archives’ current research activities are explicitly articulated, developed, and promoted.

We see that the role of research must be to support the business of the National Archives in all its aspects, but also acknowledge a commitment to disseminate the results of research. This involves supporting both the interpretive and applied research agendas.

The Research and Collections Development Department

In July 2008 we held our first “Celebrating Research at The National Archives” event, and launched our first research e-bulletin. What kind of research are we currently doing? And celebrating? And disseminating?

The following five pieces of research have been driven by business need. Only one is supported by research council funding, but there is no doubt about their innovation and their research value.

1. Semantic Web. Governments often

hold very rich data, and while much of this information is published and available for reuse by others, it is often trapped by poor data structures or locked up in legacy data formats or in fragmented databases. One of the great benefits that Semantic Web technology offers is facilitating the large-scale integration and sharing of distributed data sources. Within the National Archives, the Office of Public Sector Information (OPSI) is the part of the UK government charged with enabling the greater reuse of public sector information. It has initiated a project to integrate Semantic Web standards into a major UK public sector information asset, the *London Gazette*, which is the government’s official journal. This will enable the release of information in the *Gazette* in a reusable form so that others can be creative in developing or extending new services to their audiences. It means that anytime that legislation says information must be published in the *London Gazette*, it will in effect be ensuring that information is made publicly available in a consistent way and in a reusable form.

2. Web sites. How do you maintain links from Web sites to other Web sites or associated documents? It had been found, for example, that Web site URLs quoted in *Hansard* (the official record of the UK parliament) in response to parliamentary questions were sometimes broken after a period of time (between 1997 and 2006 this occurred at a rate of about 60%).

We consulted with others, including the British Library (which has an interest in the legal deposit of e-publications) and the House of Commons librarians. Data was gathered through analysis of government Web sites through Google Webmaster and of broken links in *Hansard* over a period of time, software was built that enabled thousands of Web pages to be viewed, and possible solutions were identified: Might digital object identifiers be the answer? Should the solution be a central repository? The solutions plan is still going through various iterations, while stakeholders are being consulted and customer require-

ments tested.

3. Conservation science. Research in our Collection Care Department includes projects that focus on the issues surrounding the impact of climate change on local environments in the National Archives, and archival collections globally, and consider how we can reduce our carbon footprint while still keeping collections in optimum conditions. Existing models such as life-cycle costing, risk assessment, and predictive modelling protocols are being applied to evaluate and define sustainable energy solutions and to optimise current preservation practices.

4. Your Archives wiki. Archival professionals have always known that their readers know much more about the archives in their care than they themselves do, but have never really known how to garner all this unstructured knowledge in a methodical way. The advent of Web 2.0 technology—and of wikis—has enabled the setting up of the Your Archives wiki, which enables users of the National Archives to share comments and information about their knowledge of the archives with us and with other users. This is another example of an idea followed by trial and error—or thinking and tinkering—and a product whose development we are now sharing with archives in other countries.

5. Customer insight: understanding online research behaviours. We have just completed a research project to discover more about the people who use our records online. Qualitative research methods were used to investigate in particular their motivations, attitudes, goals, behaviours, and the constraints they operate under when conducting research.

The research identified three types of researcher: Ramblers, Trackers and Explorers.

► Ramblers follow well-travelled routes, focusing on sources that are easy to use and accessible. They are most likely to be researching as a hobby and have lower levels of expertise.

► Explorers are the most intrepid researchers, relishing untravelled and difficult terrain. They want to extend human knowledge or tell a story properly, and they go to great lengths to find the information they need.

► Trackers specialise in one or two subject areas and know their terrain well. Typically they are researching on behalf of others, aiming to answer the question quickly, efficiently, and with a high degree of confidence.

Using these types as a basis, the findings have been distilled into a set of six user personas—fictional characters who represent the behaviours, needs, and expectations of real users of the National Archives Web site. Staff involved in designing or developing online services can use these personas to help them focus on the needs and expectations of specific customer groups and how these groups would use the proposed services.

In all these examples of research undertaken at the National Archives we defined a problem; suggested a hypothesis; gathered evidence; perhaps slightly altered the hypothesis as a result, leading to a range of solutions and discussions with stakeholders. In other words, each piece of research represents a conceptual solution followed by the building of a proof of concept within a controlled environment to demonstrate that it worked.

This is very good work; it is real research and development, innovative and ground breaking. To have the greatest impact it needs to be widely publicized and reused by others seeking similar solutions. A spin-off is in reputational gains, nationally, and internationally too.

We thought that this was research worth celebrating. Our celebration event enabled staff at the National Archives to recognise the research value of what they and their colleagues do, and to acknowledge that they are doing more than just solving problems. We are now encouraging more effective dissemination of this research. We have

just launched our first research bulletin,¹² and have set up an award for the best peer-reviewed article published by a member of staff.

I think there is work to be done in altering the mindset of some practitioners to encourage them to appreciate the value of research, and promote its dissemination and addition to knowledge through publication and other means. Certainly it took me, as a practitioner, a while to value research. Having moved from being a practitioner in local authorities, to eleven years as an academic, I have now returned to a practitioner environment—albeit in a research-related role—as head of research and collections development at the National Archives. My intellectual stance has moved accordingly too. In my early career I disregarded research: there was a job to do, and not much time to spend reflecting about it. In the university environment, charged with the postgraduate programme at the University of Liverpool, I taught nascent practitioners. Over time, the nature of my role required an increasing engagement with and commitment to research and publication. I now cannot believe that I ever conceived that one could practise (beyond the most basic level) without acknowledging the absolute necessity of engaging with the kind of conceptual, theoretical, and practice-based research necessary for the development of an autonomous recordkeeping discipline. My contention today is that for the profession to thrive, both academics and practitioners must proactively engage with “research”; if they don’t, its knowledge base and its research credentials will suffer.

¹² The National Archives Research e-bulletin <http://www.nationalarchives.gov.uk/research-enewsletter/summer2008.htm> [accessed 29 September 2008].

Educational offers for business archivists: means of creating an archival profession

Peter Blum

■ Peter Blum gained his doctorate in 1986. He was vice director of Mannheim Municipal Archives before becoming director of Heidelberg City Archives in 1992. He has lectured at the University of Mainz and at the University of Jewish Studies in Heidelberg. Since 2000 he has been a member of the Association of German Business Archivists (VdW) and since 2004 a Steering Committee member of ICA-SAE. He has spoken throughout the world (especially in China and Latin America) and written or edited around 30 publications.

The VdW (Association of German Business Archivists) offers specialized vocational training and advisory services for business archivists in Germany. The training program consists of three to five day training courses held two to three times each year for a maximum of twenty students for each course. One of the aims of the training is to encourage business archivists to develop and project a positive image, one that supports the business needs of their employers. Particular emphasis is placed on developing public relations, public speaking and time management skills.

Alternative, unexpected solutions are again and again coming as a surprise for us! Sometimes they are even convincing! But in any case they will extend our horizon and thus open up a variety of new opportunities for action. As this is so, I would like to tell you about some maybe unfamiliar steps, concepts, and experiences in the field of further training for business archivists.

Archival education in Germany - How to become VdW¹-Instructor

In Germany, there are three national training centers for the profession of archivist. Essentially, they provide training for employment in public, especially state or municipal archives. The curriculum is tailored to 'historian-archivists'. Trainees usually have a university degree in history. Archivists' activities in business are but a 'secondary issue' in the curriculum, especially since several thousand positions at public archives are matched by only a few hundred at business archives. The decision to entrust me as a municipal archivist with the education and further training of business archivists may have been based on the following reasons:

- ▶ my 'traditional' archival education in Marburg where I became familiar with the entire spectrum of the classic training contents, although with a focus on the duties in public archives;
- ▶ my university teaching assignment on the history of social and economic affairs, which has made me aware of the needs and interests of research at business archives and has provided me with experience in adult education; and
- ▶ many personal contacts with archivists working at different types of archives (which is particularly helpful when searching for competent lecturers).

¹ VdW = Vereinigung deutscher Wirtschaftsarchivare (Association of German business archivists).

The VdW - a short introduction

VdW is a cross-border representation of interests of archives in business enterprises in the Federal Republic of Germany. It tries to promote the interests of business archives, to enhance studies concerning company history, and to perform education and further training measures. The VdW also offers advisory services when new archives are set up. Our work within VdW is based on cooperation among colleagues, mutual assistance, help for self-help. VdW has no full-time staff. The VdW is not an economically strong, wealthy technical association – but it is rich in human ties and valuable technical exchange across all types of archives.

Offering training courses - traditional topics

The VdW further training program consists of three- to five-day intensive courses for a maximum of twenty participants. Training courses are held two to three times every year. Each course is a self-contained unit. In order to facilitate attendance of the courses for our colleagues, tuition fees are deliberately kept low and hardly ever cover our own expenses: For example, a five-day course, including hotel accommodation, bus transfers to the various venues of the courses, lunch and coffee breaks costs approximately € 1,000/\$ 1,500.

Business archivists in Germany - heterogeneous participants

Very few business archivists have only undergone the traditional course of training for public archivists. As there is no classic training course for business archivists, many colleagues entered the archives at very different points during their careers. Many of them previously worked in various, often entirely different jobs. You can find:

- ▶ a diversified age structure (from 20-year-old students and 25-30-year-old university graduates up to 'late joiners' more than 40 years old up to the 63-year-old company

employee relocated to the archives - that is the reality!);

- ▶ totally inexperienced newcomers up to persons with most diverse, yet rich life and work experience (such as trained, graduated pharmacists, chemists, historians with a PhD degree); and
- ▶ not only various educational careers, but also different levels of education.

When I assumed the education and further training department of the VdW in 2000, I thought and acted along the familiar, narrow paths of archival science, probably also because of my own classic education as a public archivist. But apart from the structures encountered, I first identified the need to strengthen practical aspects, for example, by different training locations each day, and of more practical exercises instead of academic lectures that might stimulate participants to do more than just sit quietly on their chairs.

New accents

Another important goal, which was usually taken on positively by the participants, and was considered to at least broaden their horizon, was the 'view across the borders' of one's own archives into foreign countries. Thus, a so called 'international guest speaker' from abroad assists each course now. This may be 'the first step beyond'.

This first-time contact is often considered to be extremely enriching and motivating. The foreign colleague cannot always give us the key to the improvement of our own archival work. However, knowing that - and possibly how - he meets certain comparable challenges creates a feeling of togetherness and a collegial network, and it is an encouraging experience.

Step by step

The experiences I have had with more than 15 training courses for which I was responsible, with more than 200 participants and some 50 speakers were the main reason

for the changes I have introduced over time. Of benefit for me was the general lack of binding specifications as to how exactly training issues for archivists should be adapted to the specific requirement profile of the heterogeneous group of business archivists.

This has always enabled me to respond quickly and flexibly to these practical needs. This freedom in the design of further training measures, which tries to follow very closely the practical needs expressed by the target group, necessarily had to raise the issue of the external image of our profession, and the image archivists have of themselves and of their profession. This development not only indicates the change of our professional image, but also takes me to the part of my report in which I want to describe different training contents.

Out of the dust...

People in general do not really understand much about archives and archivists. They think of our work as being antiquated, because our job is thought to consist only of handling old and dusty documents. Therefore, archivists are seen as very academic people who not only work but live in history. In an open society, however, knowledge and knowledge transfer are of special importance especially since the rapid progress of information technology has made a lasting impact on the classic image of the archivist.

Nevertheless, one could ask how far the administration and the public are aware of the changes affecting archives and archivists? Diverse concepts of what actually happens in archives are still dominant. Furthermore, the lengthy, often highly specialised university and/or technical education of archivists and the sometimes excessive study of historical sources have promoted a rather introverted type of archivist - at least in the past and in Germany.

It was long considered that such an archivist's activities focused on history, research, and a predominantly academic group of users. This shows it is high time for

us to finally get rid of a largely stereotyped image and proactively promote a modern image of archives in the administration and in society. This is an important step towards improving our image, in order to reach a wider public and at the same time ensure that the administration provides the archives with adequate accommodation, technical equipment and personnel.

Therefore, a realistic, positive, modern image of archives and archivists will also improve our standing in society and administrations and improve our effectiveness. Thus, the point is not our changing profession alone, or the question as to whether or not we perform our tasks at the archives well and professionally by the technical standards for archives.

What we are talking about is the image of the archivist, combined with a better standing in society.

Existential aspects

Our colleagues in private enterprises are normally subject to a considerably higher, existential pressure of expectations. Business archives and archivists mainly are without legal establishment and backup! Therefore, the business archivist not only has to perform proper archival tasks, he also has to justify his existence at all times through his work.

Striving for professionalism is thus combined with vital aspects. Especially since the colleague at the business archives is often forced to take on duties of a 'handyman' in respect of all questions of culture. He frequently also has to take care of a company museum or the company's own product or art collections. In many cases, he is the company's contact person with respect to the company history or even general historical matters.

This takes me to the part of my report that shows some examples of amended training concepts that serve professionalism and a sustainable improvement of our image. That requires:

Video-Training

Practising short statements, interviews, etc. exclusively concerning archive-specific issues in front of a video camera provides the opportunity of observing oneself critically and working specifically on more professional behaviour. This training unit takes quite a lot of time. It also includes a sort of mental tuning and the topics sometimes force the participant to take an unpopular stance which he/she still has to defend credibly. Also integrated are role plays (keyword 'crisis communication'), where two participants have to take contrary positions.

Text-communication by professional journalism-trainers

In most cases, the archivist is trained or biased to preparing academic tests or editing professional literature. Deficits become obvious when texts have to be written in a generally understandable way, for example, for an exhibition or for media work. However, archivists should also be able to express themselves concisely, clearly and understandably in in-house communication.

A special handicap for archivists is their familiarity with texts from earlier periods which may have a negative impact on their writing style and the understandability of what they have written. In general, archivists should not only read century-old recordings, but also modern literature in order to adjust their writing skills to current standards. VdW employs professional journalists' trainers to improve so called 'text communication-skills'.

Highlights - Workshops with popular television journalists

Sometimes, a workshop with television-experienced VIPs is also quite helpful. The secret of Dieter Kürten's - a famous German sports show host - great popularity and persuasiveness is his authenticity. He does not play the role of a host, he simply

is himself, quite natural, maybe with some rough edges, but always authentic - just like our recordings. But much more lively, of course!

His descriptions of how he remains calm even in difficult situations during live broadcasts and completes his job convincingly, naturally, and self-confidently were of special interest to the participants of that course.

Professional public relations training

Professional public relations in the form of speeches, exhibitions, publications, media work etc. is something not every archivist has learned from the cradle. Whether or not the archivist's efforts are actually honored by the company and the public depends on the professionalism exhibited by the archivist. The archival means employed for appropriate public relations can also be conveyed by professional trainers and by the example of successful colleagues.

Speech-practice and breathing-exercises

Exercises on speech training (speech-practice and breathing exercises) of the type offered to any actor are conducted by an actors' teacher in the case of the VdW, but have a double purpose: One is the integration of all participants, who in most cases have never met before. Therefore, this training unit is dealt with on the first day of the course. After all, anyone who refuses to join in breathing and speech exercises cuts an absolutely poor figure. Hence there is no 'spoilsport', and everyone participates more or less cheerfully. And besides, people can't make a greater fool of themselves in the course of the training than with these exercises. So, once they have passed this part, participants have 'broken the ice', and collegial familiarity has been established among the participants based on process very much involving group dynamics. Afterwards, each participant will have the courage to actively contribute to the

individual course elements and to persistently ask the individual speakers in case of any uncertainties.

As well, participants learn:

- ▶ to better control their body through the breathing and speech exercises;
- ▶ to reduce 'stage fright';
- ▶ to improve their articulation; and mainly
- ▶ to gain in self-confidence and self-assurance.

These capabilities are of great advantage for all types of public relations, for example for contact with media representatives, but also for all kinds of company negotiations, for example when trying to obtain more funds for the archives.

Special further vocational training for archives executives

First supposition: Only if the input of knowledge is not exclusively contributed by speakers/teachers will the level of the course itself achieve the highest degree of perfection, or a level, considerably higher than a course in basic skills for beginners.

Second supposition: It must be the aim to offer courses of further education and training from basic to higher levels and to engage archivists of different grades in productive discussion. Training courses are as good as the degree to which they involve executives as participants and not only as speakers within the courses.

Despite some initial difficulties we have succeeded in overcoming that kind of 'status thinking', which is not unfamiliar even for heads of business archives, and to make special courses for staff members with higher qualifications an integrated part of our course offer.

The program for archives executives includes questions of current trends and challenges as well as practical examples of output-oriented controlling models, process and project management, conflict and crisis management, strategy management and global partnership.

Time-management

Last but not least to mention: A workshop with the 'international guru of time-management' or what does this have to do with our archival work?

- ▶ Do you have a lot of leisure time?
- ▶ Or have you noticed that more and more frequently you have been spending more time at the office in the past few years, have been taking work home with you, and are still ever less satisfied with the output of your time-consuming efforts?
- ▶ Have we simply grown older?
- ▶ Are we no longer working as efficiently as we used to?
- ▶ Or do we get bogged down with the increasing duties piled up on us?

If you feel this way - and many of our colleagues reached this point a long time ago - then you should reconsider your life planning and professional outlook and preferably use your efforts for the real 'big points of archival business'. This is the only way to build up your strength, accomplish significantly more and concentrate on those tasks that are actually necessary. And you will start to be happy again with your work!

Changing role of archives and archivists in the digital age - stand up and fight!

Archives are no longer the 'playground' only for the 'historian-archivist' type. Pure scientific works by archivists are losing their significance. The question has long been raised whether archives, that is the physical, institutional body, are still up-to-date and necessary - in view of the fact that modern communication science is making updated knowledge available online everywhere and at any time! Rather, we will have to fight to fulfill our tasks also in the 'digital age'.

For information has become a commodity, and only its evaluation makes the material in the archives interesting. In the competition with new professions, archives

are gaining importance as 'profit centers'. But we also have to justify our existence economically, and meet the rising demands of the fast-moving fun society.

An archivist is a highly specialized generalist. However, his duties have already been massively expanded today and demonstrate a high degree of specialization once again. This requires: Knowledge management; customer and target group orientation; economic thinking; presentation and communication skills; openness and flexibility for building up networks; and interdisciplinary cooperation. In short, management and leadership qualities are needed as well as an outstanding sense of courage to actively and creatively control the imminent changes in the way we want.

These are the requirements we need to meet today, and even more so in the future. And that is why such subject-specific 'soft skills' must be given greater consideration in the training and further training (not only) of business archivists.

Re-figuring the archivist - one step beyond

We often act like amateurs in these fields of activities, which are mostly new to us and require some familiarization. I expressly want to include our efforts for modern further training of business archivists by the VdW in this statement! Management skills and 'soft skill-professionalization' in this sense - I emphasize - nowadays means so much more than only the narrow traditional training archivists have so far received.

Incomparably more important is: With each one of us these changes will start in our heads. And they require that we approach the different target groups within the administrations both of the body responsible for the archive and of society and that in this context we will be perceived as partners of equal value.

Electronic records management in China: present and future

Wang Liangcheng

■ Mr. Wang Liangcheng is currently Head of Technique Division of the State Archives Administration of China (SAAC), since 1999. He graduated from Wuhan University in 1982 and thereafter received training in archives conservation and preservation in UK and obtained his MSc degree in 1990 and his doctorate in 1993.

Two recent surveys by the State Archives Administration of China (SAAC) have demonstrated the extent to which electronic records account for a majority of records in central government agencies and other organisations. However China faces serious challenges in the management and preservation of electronic records. While a comprehensive legal and regulatory environment for information management and security is enabling the country to build a well-functioning modern information society, an overall national strategy for electronic records management is still lacking. The SAAC is taking a leading role in the development of national standards and regulations and it is expected that a national electronic records centre will be established.

The Current Situation

The effects of the rapid growth of electronic records

With the rapid development of information technology, there has been a steady increase in the creation of electronic records in both public and private sectors resulting in their increasing influence on individuals' daily life. Indeed, electronic records have become an important source of information for the whole society and a vital component of the nation's heritage not inferior, in some respects, to that of analog records.

In 2006 the State Archives Administration of China (SAAC) carried out a survey which found that about 80% of Central Government agencies had adopted office automation systems or electronic governance, and had produced some 200 million electronic records of different types. The creation and utilization of electronic records has played an important role in helping improve the efficiency of administration and in creating reliable records.

Early in 2008 the SAAC carried out another specific survey into the state of electronic records management in dozens of organisations in Beijing, Zhejiang and Guangdong. In 55 central government agencies, their electronic records accounted for 72.7% of all documents. Among these, an on-site survey of 24 government agencies and state-owned enterprises showed that their electronic records totaled around 18.5 million in number, or 870 terabytes. Government officials use e-mail regularly and over 87% of them rely on the office automation system of their departments or the internet to send and receive documents on a daily basis. For the 210 million registered users of the internet in China, it has become part of their daily life to access information electronically.

Businesses have benefited from using electronic records and their use far outstrips traditional paper records. The Shanghai Municipal Labor and Social Security Bureau

completed building its information system early in 2002, and by the end of the year, the system had completed more than 13 million business transactions with the number of visits to the system totaling 50 million. In Spring 2008 the electricity grid of southern China suffered an unprecedented loss from the damages caused by the serious blizzards that hit the area. In a race against time, the design institute of the Guangdong Electric Grid Company succeeded in restoring the grid to normal operations by making use of a huge amount of electronic engineering design records, thus greatly reducing the financial impact of the damage.

The policy environment

A good legal environment is a prerequisite for the healthy development of open information practices of government administration. As the process of building an information-oriented society in China speeds up, the role of legislation in this respect has come onto the agenda and China has promulgated a series of laws and government regulations on government electronic records management, information security, public access to government information and the building of an information network. Some of these deal with various elements of the administration of electronic records such as the Law of Electronic Signatures, the Regulations Concerning Opening Government Information to the Public, etc.

The SAAC has also produced a series of administrative rules and industrial standards for the management of electronic records, the most important being *Provisions for the Management of Filing Electronic Records* (Order No. 6, 2003), *Rules for the Filing and Management of Government Electronic Records* (DA/T32-2005), *Standards for the Filing and Management of Electronic Records* (GB/T18894-2002), and *Norms for the Management and Protection of Documents on Magnetic Carriers* (DA/T15-1995).

Some archive departments at local government level have also made a number

of rules and standards for electronic records management. For instance, Beijing has issued *Provisions for the Filing and Management of Electronic Records*, *Interim Procedures for the Filing of Electronic Records and the Management of Electronic Archives* and the *Working Rules of the Beijing Municipal Government for the Filing of Electronic Records of State Institutions (for Trial Implementation)*. Sichuan Province has issued *Interim Procedures for the Filing and Management of Electronic Records* and the Ningxia Hui Autonomous Region has issued *Rules for the Filing and Management of Electronic Records* (for trial implementation).

Enforcing standards and rules for the filing and management of electronic records is a prerequisite for public access to information in the internet environment as is provision of relevant laws and decrees. The enforcement of that legislation marks an important step forward with regard to building a modern information society in China. In addition, the enforcement and implementation of that legislation is bound to enhance the work of standardizing the management of electronic records and the gradual creation and perfection of an orderly policy environment.

The SAAC pilot project and the establishment of local centres for the management of electronic records

The rapid growth of electronic records is posing many challenges to archive management institutions. In particular there is no common recognition of the lead body responsible for the management of electronic records and the SAAC is still handicapped, in a legal sense, in the effective management of electronic records. Therefore in order to do a truly good job of collecting, managing and using electronic records, it is necessary to find a new management mechanism to allow all new developments made in the area of electronic records management to be dealt with properly. In view of this situation,

the SAAC proposed setting up electronic records management centres at all levels of archive departments and together with the Information Work Office of the State Council started some pilot projects for electronic records management. Archive departments at various levels across the country have accumulated experience and achieved practical successes. In April 2007 the SAAC called a meeting to exchange experiences and conduct an initial review of the building of centres for the management of electronic records. This work is at present developing throughout the country.

A national strategic policy on electronic records management has been issued and the initial stage of research has begun

In 2006, experts of the Chinese People's University made a proposal urging the development of a national strategy for electronic records management. A state strategy will help strengthen the control of the electronic resources themselves but also resolve fundamentally a number of key issues. These key issues are: the protection and permanent retention of the evidence contained in electronic records; the issue of controlling the inexpert or duplicated attempts at electronic records management across different government institutions and localities; drastic improvement in the efficiency of archive management institutions in their research and development work; and resolution at the outset of the issue of the so-called "information silos" of electronic records. Overall the strategy will strengthen China's international influence in the field of electronic records management, bringing the country abreast of the prevalent international practice as quickly as possible. The initial proposal for a national strategy has furnished a strategic framework for the development of electronic records management. It marks a turning point in the work in this field in China. It is a significant milestone.

Future Trends

The work of drawing up a set of regulations governing the management of electronic records has begun

Early in 2008 the leadership of the SAAC called a meeting attended by people in key positions in the technical and legal departments to discuss drawing up Regulations for the Management of Electronic Records. In March 2008 the SAAC appointed a working team of specialists to draw up such regulations, marking the official start of the project. The team drew up a scheme for making investigations and conducted its investigations at central, provincial and municipal levels. Based on their findings, a first draft of the Regulations was produced which was distributed nationwide for comments.

The drafting of the Regulations marked the start of the top-level development of a decree for the management of electronic records. It is the first step in the task of building an electronic records management system, with the SAAC leading and guiding, and including all localities, trades and institutions nationwide. The project thus begins with a general framework for the study, and implementation of concrete policies and will ultimately result in an overall strategy for the comprehensive management of electronic records throughout China.

Establishment of a standards framework

For the management of paper documents, China has promulgated 12 sets of national standards and 35 sets of professional standards for archive work which form a relatively complete system. Since the SAAC set up its lead group and research team in electronic records management in 1996, research and practice in this area has been continuing and progress has been made in laying down norms and standards and a number of national and industrial norms have been issued.

However, some problems remain to be solved in the work of standardizing electronic records management. These are, for instance, lack of relevant standards, their inferior quality, the lack of a comprehensive system, and the rather low number of internationally-accepted norms adopted in this area. What is more, those adopted are mostly related to the process of filing. We still need to establish standards for the creation, maintenance, permanent retention and use of electronic records. Given the needs arising from the development of electronic applications for administration and business, there is a serious shortage of norms, limitations in their scope and a huge vacuum in the management of electronic records. The SAAC therefore organised research into making a systematic diagram of standards for electronic records management and the work is now (2008) at the final approval stage. The creation of this standards framework will facilitate the setting of norms in an orderly way in keeping with actual needs, and lead to the gradual perfection of the standards.

Resolutions at the National People's Congress and the Chinese People's Political Consultative Conference demonstrate national attention given to electronic records management. It is expected that a national electronic records centre will be established

At the Tenth National People's Congress and the National Council meeting of the Chinese People's Political Consultative Conference (2008), NPC Deputies and CPPCC council members gave close attention to the work in electronic records management. Mr. Mao Fumin, a CPPCC Council Member, tabled his Proposal Regarding the Need to Include the Management of Electronic Records in the National Strategy for the Building of a Modern Information Society, in which, based on an analysis of the present state of electronic records management in China, he proposed that, "... first the management of electronic

records be included in the framework of the national strategy of building a modern information society so as to enhance the interaction between the management of electronic records and the work of building a modern information society, to further update our country's management of electronic records and ensure a healthy and sustained development of the work of building a modern information society"; and "... second, in order to earnestly strengthen the management of electronic records at the level of central government and simultaneously to standardize this management from a single source, it is proposed that the General Office of the Central Committee of the Chinese Communist Party and the General Office of the State Council in cooperation with the Information Work Office of the State Council establish a national centre of electronic records."

Conclusion - an arduous task and numerous challenges

With the rapid growth of electronic records, continuous expansion in the scope of their use, their increasing complexity, and the constant increase in dependency on electronic records in all fields of work, China is facing serious challenges and problems in the operation and preservation of electronic records. For example, there still needs to be an institution providing an operational lead, a clear division of responsibilities, powerful management and sufficient specialized personnel, all of which call for steady but sure improvement and perfection.

El Macrodiccionario de Terminología Archivística: una herramienta para la normalización en el ámbito de la lengua española

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Desde la Universidad Carlos III de Madrid se ha desarrollado un proyecto para la creación de una herramienta común, un Macro Diccionario de Terminología Archivística, para los más de 20 países que comparten el español. El equipo de investigación está formado por personas de diferentes áreas (Derecho, Archivística, Lingüística). El Macro Diccionario está concebido como una base de datos lexicográfica del conocimiento archivístico, con un fichero basado en textos archivísticos, de los que se habrán extraído los términos.

Los resultados concretos de este trabajo serán:

- ▶ *Publicación de un diccionario al uso de Terminología archivística, y de un Macro Diccionario de Archivística*
- ▶ *Desarrollo de la página web dinámica del proyecto.*
- ▶ *Un fichero terminológico de referencia de la archivística española a texto completo. Ya se ha desarrollado una base de datos terminológica, un fichero terminológico a texto completo, y se encuentra en elaboración un diccionario con alrededor de 500 términos, extraídos de entre los cerca de 3.000 con los que se está trabajando.*

Orígenes

En el año 2004 comenzaba a tomar forma el Macrodiccionario de Terminología Archivística, gracias a la financiación de 40.600 € obtenida del Ministerio de Ciencia y Tecnología, a través del programa en concurrencia competitiva de I+D (2004-2007). El equipo de investigación, dirigido en su primer año por el Dr. José Ramón Cruz Mundet, profesor de Archivística, y en los tres siguientes por la Dra. Carmen Díez Carrera, profesora de Análisis documental, ambos de la Universidad Carlos III de Madrid, está compuesto además por los doctores Manuel Martínez Neira, profesor de Derecho de la misma universidad, Miguel Muñoz Rubio, profesor de Historia económica de la Universidad Autónoma de Madrid, y Julio Cerdá Díaz, profesor de Archivística de la Universidad de Alcalá de Henares. Equipo que se reforzó con la contratación de dos investigadores más: Isabel González Corral, licenciada en Derecho, y Santiago Morán Medina, licenciado en Historia, y ambos Master en Archivística por la Universidad Carlos III de Madrid.

Objeto

La finalidad de este proyecto es la creación de un macrodiccionario de terminología archivística concebido como una gran base de datos lexicográfica de dicha área de conocimiento, en la que se carece de una herramienta normalizadora. En esta primera fase está referido en principio al español peninsular, para que sirva de base para su posterior ampliación a las demás lenguas españolas y al español de América. Se plantea como un gran repositorio de conocimiento archivístico que sea accesible en línea a través de una página web y del cual se extraerá un diccionario de terminología concebido como instrumento normalizador terminológico del área de conocimiento concernida. Asimismo se pretende sentar las bases metodológicas y de trabajo para la posterior colaboración con grupos

de trabajo a escala internacional.

La finalidad de este proyecto es la creación de una gran base de datos lexicográfica de conocimiento archivístico. No se trata de elaborar un corpus, ni mucho menos, sino de un fichero basado en textos archivísticos, cuyo acceso no plantea problemas especiales. Ello representaría para la comunidad profesional un repositorio de conocimiento para el desarrollo de dicho campo con el fin de conseguir diversos productos descritos más adelante. La hipótesis de partida, una realidad contrastada, es la carencia de obras terminológicas en esta área, tampoco hay estrategias elaboradas para su propuesta, lo que pretendemos realizar. Teniendo en cuenta la aplicación práctica de la archivística en las relaciones documentadas de individuos y organizaciones, el entorno normalizador que requieren las tecnologías, condición ya de posibilidad para la creación, uso y conservación de esos documentos, y la importancia que tiene mejorar el acceso e incrementar el uso de la información, constituyen en sí mismos objetivos marco a los que se quiere dar respuesta con el proyecto.

El proyecto de Macrodiccionario de Terminología Archivística nació con la pretensión de lograr el avance científico en un ámbito de conocimiento que se está conformando como disciplina, la archivística, y al mismo tiempo un desarrollo técnico aplicable a la práctica profesional, el trabajo de los archivos, y a la actividad de las organizaciones que los soportan.

El punto de partida es la necesidad de normalizar y controlar el vocabulario de la archivística, para la que constituye una necesidad apremiante. Como se verá más adelante no existe un diccionario como el que planteamos, ni se han puesto en marcha estrategias para su propuesta. Además del avance científico, el proyecto está orientado a satisfacer las necesidades terminológicas de la práctica profesional, los archivos y los archiveros; así como las de las organizaciones públicas

(Administraciones) y privadas (empresas, fundaciones, etc.), y de los ciudadanos, que precisan un vocabulario normalizado en el que basar sus relaciones documentales como responsables/productores y como usuarios de los servicios de archivo.

La utilidad del proyecto es amplia por la diversidad de instituciones, tanto públicas como privadas, que se pueden servir de esta sistematización. Por otro lado, la amplia repercusión territorial, más de 20 países de habla hispana, así como poblacional, más de 440 millones de hispano-hablantes. Esta trascendencia le da una gran proyección en un futuro inmediato.

Este proyecto aborda problemas metodológicos y terminológicos derivados de la creación de un diccionario de conceptos archivísticos. El diccionario se quiere convertir en referente para el uso y la gestión en archivos de cualquier tipo: archivo de oficina, central e histórico. Para que tenga una utilidad práctica cuenta con el respaldo y la evaluación crítica de profesionales de este campo que validarán los resultados y solucionarán problemas que se presenten desde el planteamiento empírico de la investigación. Asimismo, aspira a dotar a las organizaciones y a la sociedad en general de un sistema estable de referencias para la gestión de los documentos.

El proyecto se materializa en una serie de objetivos específicos:

1. La creación de un macrodiccionario de terminología archivística concebido como una gran base de datos lexicográfica de dicho campo de conocimiento. La novedad es absoluta por cuanto se parte del planteamiento de macrodiccionario elaborado por la Profesora Doctora Carmen Díez Carrera en su tesis doctoral¹ aplicado al campo de la archivística. Es asimismo un

resultado relevante que se incorporará, tal es la intención del grupo de investigación, mediante acuerdo a sistemas terminológicos y del español de más amplio alcance.

2. La obtención y publicación de un Diccionario de Terminología Archivística, primero en ser elaborado de acuerdo con las normas de la lexicografía y de la terminología, que sirva de elemento para la normalización del lenguaje científico-técnico de la archivística.

3. La depuración de una metodología y de una base para su posterior ampliación a las demás lenguas de España, así como al español de América. Se trata en este sentido de un aspecto cuya relevancia proviene de la ausencia de precedentes y de la amplitud de la comunidad beneficiaria de los resultados.

4. La puesta en servicio de una página Web dinámica de información terminológica, que se irá alimentando y creciendo en el tiempo, dirigida de manera fundamental a los investigadores y especialistas en la materia, como interface de acceso al macrodiccionario. Además de ser la primera en este campo, implicará una fórmula avanzada para la difusión de la investigación y de la práctica archivística española a nivel internacional.

5. Poner las bases para la futura ampliación, a medida que se desarrolle el proyecto, de una comunidad científica internacional centrada en la normalización terminológica en este campo de conocimiento, así como fomentar la realización de investigaciones orientadas a su materialización en forma de tesis doctorales.

Antecedentes y estado actual de los conocimientos científico-técnicos

En el ámbito de la lengua española y, más concretamente, en el nacional, los antecedentes son varios, aunque desde un punto de vista científico podemos asegurar que se trata de un territorio de nadie o prácticamente despoblado. Hasta finales de

¹ DÍEZ CARRERA Carmen, *Industrias de la lengua. Planteamiento de elaboración de un macrodiccionario automático aplicado al léxico de Tierra de Campos*, UNED, Madrid, 1992. Una parte de la misma apareció publicada en su obra: *Las industrias de la lengua: panorámica para los gestores de información*. Madrid, Biblioteca Nacional, 1993.

los años ochenta y principios de la década de los noventa del siglo XX el desarrollo de los trabajos terminológicos en archivística son escasos, característica atribuible así al ámbito español como al internacional. En 1952 encontramos la primera referencia en el vocabulario de Domingo Buonocore², si bien se trata de una obra de más amplio alcance que el de ámbito archivístico, como lo serán obras sucesivas de este autor y que son claves en la materia. Algo más tarde, en línea con la tradición paleográfico-diplomatista que entiende la archivística enmarcada dentro de las ciencias y las técnicas historiográficas, Pernia³ publica su diccionario; que como el anterior es americano, por ser aún en estos momentos las escuelas americanas las más activas desde finales de los años treinta en materia archivística, como lo fueron en tantos otros campos del saber. Sólo a partir de la década de los setenta empiezan a ver la luz algunos estudios rigurosos, entre los que cabe destacar de forma muy notable la obra de Carmen Crespo, especialista e integrante del grupo de trabajo de terminología del Consejo Internacional de Archivos, y que ofrecerá algunas obras relevantes en el futuro⁴.

En el panorama internacional se observan las mismas características en cuanto a amplitud de alcance inicial, si bien las primeras obras son anteriores en el tiempo⁵. Asimismo cabe destacar la aparición más temprana de obras lexicográficas orientadas al objeto que nos ocupa y elaboradas de

acuerdo con la metodología científica del momento, destacadamente el diccionario Elsevier⁶, que muy pronto será dirigido por el Consejo Internacional de Archivos⁷.

Podemos asegurar, sin temor a equivocarnos, que la década de los ochenta señala el comienzo de una serie sostenida de obras terminológicas que se caracterizan por ser resultado de grupos de trabajo, salvo las obras de los autores de las décadas anteriores que continúan incrementando su producción⁸. Asimismo, la difusión de las obras internacionales en nuestro país es muy rápida procediéndose tanto a su incorporación como lengua de referencia en las obras más importantes⁹, como a la traducción casi simultánea a la edición en lengua original, en otras¹⁰. A partir de ahora la producción es de una relativa abundancia como para continuar reseñándola a pie de página.

Es asimismo característico a partir de los ochenta el mantenimiento de la archivística en diccionarios y glosarios de más amplio alcance, tanto de ciencias de la documentación¹¹, como de ciencias histo-

2 BUONOCORE Domingo, *Vocabulario bibliográfico: términos relativos al libro, al documento, a la biblioteca y a la imprenta, para uso de escritores, bibliotecarios, archivistas, libreros, editores, encuadernadores y tipógrafos*, Castellví, Santa Fe, Argentina, 1952.

3 PERNIA Humberto, *Diccionario de archivología: términos relativos a la archivología, paleografía, diplomática y materias afines*, Caracas [San José], 1970.

4 CRESPO NOGUEIRA Carmen. ASOCIACION NACIONAL DE ARCHIVEROS, BIBLIOTECARIOS Y ARQUEOLOGOS, *Terminología de Archivos: Instrumentos de trabajo*, ANABAD, Madrid 1973.

5 MONTAGUE HARROD Leonard, *Harrod's librarians' glossary: terms used in librarianship and the bookcrafts*, Grafton & Co., London, 1938.

6 *Elsevier's lexicon of archive terminology*. Elsevier Publishing Company, Amsterdam, 1961.

7 *Elsevier's Lexicon of archive terminology/compiled and arranged on a systematic basis by a Committee of the International Council on Archives*, Elsevier Publishing Co., Amsterdam, 1964.

8 BUONOCORE Domingo, *Diccionario de Bibliotecología: términos relativos a la bibliología, bibliografía, bibliofilia, biblioteconomía, archivología, documentología, tipografía y materias afines*, 1ª ed. 1976, 2ª ed. aum., Marymar, Buenos Aires, 1984.

9 EVANS Frank B., WALNE Peter, HIMLY François-Jacques, (comp.), *Dictionary of Archival Terminology: English and French with equivalents in Dutch, German, Italian, Russian and Spanish. Dictionnaire de terminologie archivistique*, Ed. Peter Walne, K.G.SAUR, ICA Handbook Series, Munchen, 1984. - *Glossary of basic archival and library conservation terms: English with equivalents in Spanish, German, Italian, French and Russian*, Carmen Crespo Nogueira Ed., compiled by the Committee on Conservation and Restoration, International Council on Archives, Saur, München, 1988.

10 CONSEJO INTERNACIONAL DE ARCHIVOS. COMITÉ DE AUTOMATIZACIÓN, *Terminología elemental para la automatización de archivos*, Koblenz, 1983.

11 A modo de ejemplo: PRYTHERCH Ray (comp.), *Harrod's librarian's glossary: 9.000 terms used in information management, library science, publishing, the*

riográficas¹²; sin embargo, son las obras de alcance pura y exclusivamente archivístico las que marcan la nota, de manera especial los del Consejo Internacional de Archivos que se constituirá en referencia internacional a partir de entonces. Asimismo, aparecen los primeros trabajos centrados en aspectos concretos del proceso archivístico, como pueda ser la automatización¹³ o la conservación¹⁴, por citar unos ejemplos.

Si lo dicho hasta aquí es igualmente atribuible al panorama español, es fuerza señalar que la producción terminológica y los trabajos lexicográficos no terminan de despegar de unos niveles de producción bastante bajos, así como de una metodología de trabajo desfasada; llevada a cabo por profesionales del medio, pero sin una planificación metodológica adecuada como la que hemos desarrollado en el presente proyecto¹⁵. En este sentido existe una excepción, bien que circunscrita a la lengua catalana y que constituye la referencia más inmediata.

Entre los grupos nacionales o internacionales que trabajan en la misma materia o en materias afines destacamos:

► En el campo internacional cabe destacar el Consejo Internacional de Archivos (<http://www.ica.org>) que a través del Comité de Terminología encargado de la elabo-

ración y mantenimiento del Dictionary of Archival Terminology ya citado, así como en conjunto con comités de trabajo especializados (automatización, conservación...) viene dando lugar a lo más granado de la producción internacional. Asimismo en prácticamente todos los países existen grupos de terminología archivística que trabajan en estrecho contacto con organismos nacionales de la materia, como puede ser el caso de Francia entre la Association des Archivistes Francaises y la AFNOR.

► En España los trabajos son resultados de grupos de trabajo de ámbito más extenso, como TERMESP, grupo dependiente del CSIC (Consejo Superior de Investigaciones Científicas), TERMCAT, grupo catalán, EUSKALTERM, del país Vasco, y TERMIGAL, grupo gallego.

Metodología

A la vista del reto se ha establecido una metodología de trabajo basada en los conocimientos implicados: la archivística y la terminología, cuyos expertos están presentes en el equipo de investigación. Se han previsto y aplicado unos procedimientos de trabajo basados en el método terminológico aplicado a la archivística, a fin de separar lo técnico de lo no técnico, distinguiendo los tecnicismos de los tecnicismos banales. Asimismo, como quiera que los contenidos sobre los que se trabaja implican diversos conocimientos: archivística, lingüística, historia y derecho fundamentalmente, se han incorporado en el equipo de investigación. Para que el resultado sea directamente aplicable, es preciso contar con el asesoramiento de otros expertos en la materia, versados fundamentalmente en la práctica profesional, y llamados a ajustar la adecuación de las propuestas a la realidad; para lo que se ha establecido un grupo de especialistas de alto nivel, cuya composición se prevé aumentar en el tiempo, que analice las propuestas y los resultados de la investigación y formule objeciones que permitan mejorarlas. Por último, para canalizar la transferencia de esos resulta-

book trades and archive management, 8th ed. Gower, cop., Aldershot, 1995.

¹² *Vocabulaire des archives: archivistique et diplomatique, contemporaines*, Les Dossier de la Normalisation.

¹³ CONSEJO INTERNACIONAL DE ARCHIVOS. COMITÉ DE AUTOMATIZACIÓN, *Elementary Terms In Archival Automation. Termes elementaires d'informatique appliquée aux archives. Terminología elemental para la automatización de archivos. Grundbegriffe der Datenverarbeitung in archiven*, Koblenz, 1983.

¹⁴ INTERNATIONAL COUNCIL ON ARCHIVES. COMMITTEE ON CONSERVATION AND RESTORATION (com.), *Glossary of basic archival and library conservation terms: English with equivalents in Spanish, German, Italian, French and Russian*, Carmen Crespo Nogueira Ed., Saur, München, 1988.

¹⁵ SUBDIRECCIÓN GENERAL DE LOS ARCHIVOS ESTATALES, *Diccionario de Terminología Archivística*, Segunda edición/revisada, corregida y aumentada por Rosana de Andrés Díaz, María Luisa Conde Villaverde y Concepción Contel Barea, Madrid, 1995.

dos a la sociedad, se cuenta con las declaraciones de interés de diversas empresas que han manifestado su intención de explotar los resultados del proyecto, además de la puesta a disposición de la comunidad por parte de los organismos de investigación implicados.

La metodología aplicada es la propia de los trabajos terminológicos y que se encuentra sistematizada y recogida en las publicaciones de autoridades en la materia. Hemos seguido fundamentalmente las escuelas de dos autoras de reconocido prestigio y experiencia investigadora en terminología: las profesoras María Teresa Cabré¹⁶ y Bertha M. Gutiérrez Rodilla¹⁷, así como la referencia del profesor J. C. Sager¹⁸.

Las fuentes de las que se han extraído los textos para la elaboración del macrodiccionario las podemos agrupar en los siguientes apartados:

1. Obras terminológicas en español, en inglés y en francés: diccionarios, vocabularios, glosarios...

2. Textos archivísticos extraídos de obras escritas en español, tanto de monografías, como de artículos de revistas científicas.

3. Textos de obras de disciplinas afines tales como la informática, el derecho, la restauración y la conservación, la paleografía y la diplomática...

4. Textos normativos: leyes, decretos y reglamentos con referencia a materias relevantes para la Archivística.

Sobre la base de una serie de textos seleccionados y tratados se pretende crear

un fichero terminológico elaborado a partir del método filológico comparativo con estudio de frecuencias. En esencia se trata de confrontar una relación de términos seleccionados con textos archivísticos para deducir su significado, el concepto, en sus distintas acepciones y contextos, separando lo técnico de lo no técnico, y los tecnicismos, de los tecnicismos banales. Para ello el equipo de investigación se divide en dos grupos: uno reducido de archiveros/filólogos encargados de la elaboración de las propuestas, y uno ampliado en el que se incorporan investigadores de las áreas con las que la archivística mantiene una fuerte trabazón, a saber el derecho y la historia.

El procesamiento terminológico pasa en diversas fases por el tamiz de los expertos externos que analizan las propuestas y lanzan sus objeciones y propuestas de mejora, que sirven para corregir y analizar nuevamente los resultados provisionales, antes de elevarlos a definitivos.

Las normas que se han seguido en el transcurso de la investigación son las específicas de la materia publicadas por ISO hasta el momento y las que en adelante puedan ser incorporadas, a saber:

UNE 1070:1979 Regula el vocabulario de la terminología.

UNE 1072: 1982 Regula la presentación de los vocabularios sistemáticos multilingües.

UNE 1068:1981 UNIFICACION INTERNACIONAL DE LAS NOCIONES Y DE LOS TERMINOS

ISO 704:2000 Terminology work — Principles and methods

ISO 860:1996 Terminology work — Harmonization of concepts and terms

ISO 1087-1:2000 Terminology work — Vocabulary — Part 1: Theory and application

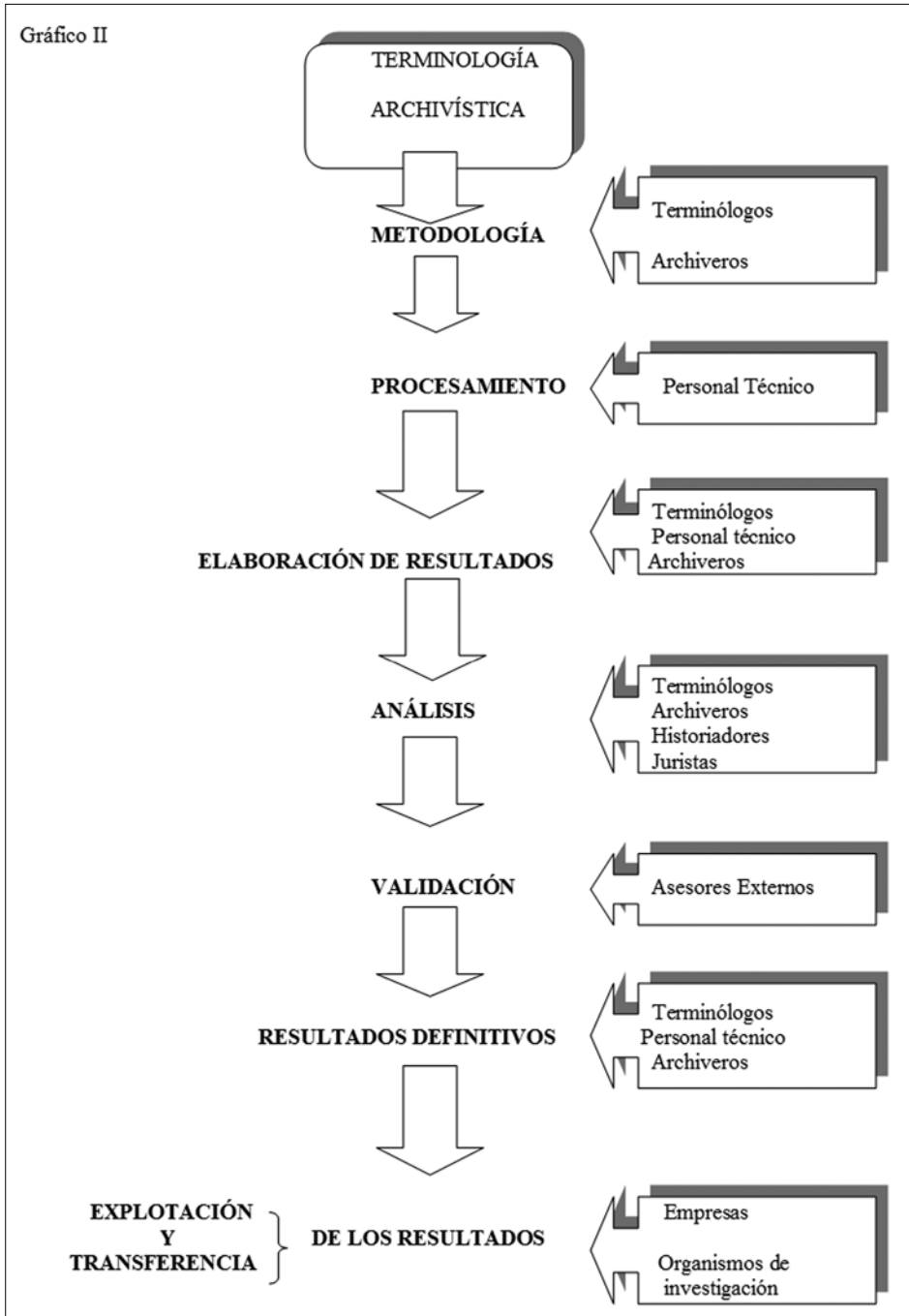
ISO 1951:1997 Lexicographical symbols and typographical conventions for use in terminography

ISO 6156:1987 Magnetic tape exchange format for terminological/ lexicographical records (MATER)

¹⁶ Entre su abundante producción científica cabe destacar desde el punto de vista metodológico y didáctico, *La terminología. Teoría, metodología, aplicaciones*, Editorial Antártida, 1993.

¹⁷ Cabe destacar la edición del curso *Aproximaciones al lenguaje de la ciencia*, Instituto Castellano u Leonés de la Lengua. Colección Beltenebros, Burgos, y especialmente, *La ciencia empieza en la palabra. Análisis e historia del lenguaje científico*, Ediciones Península, Barcelona.

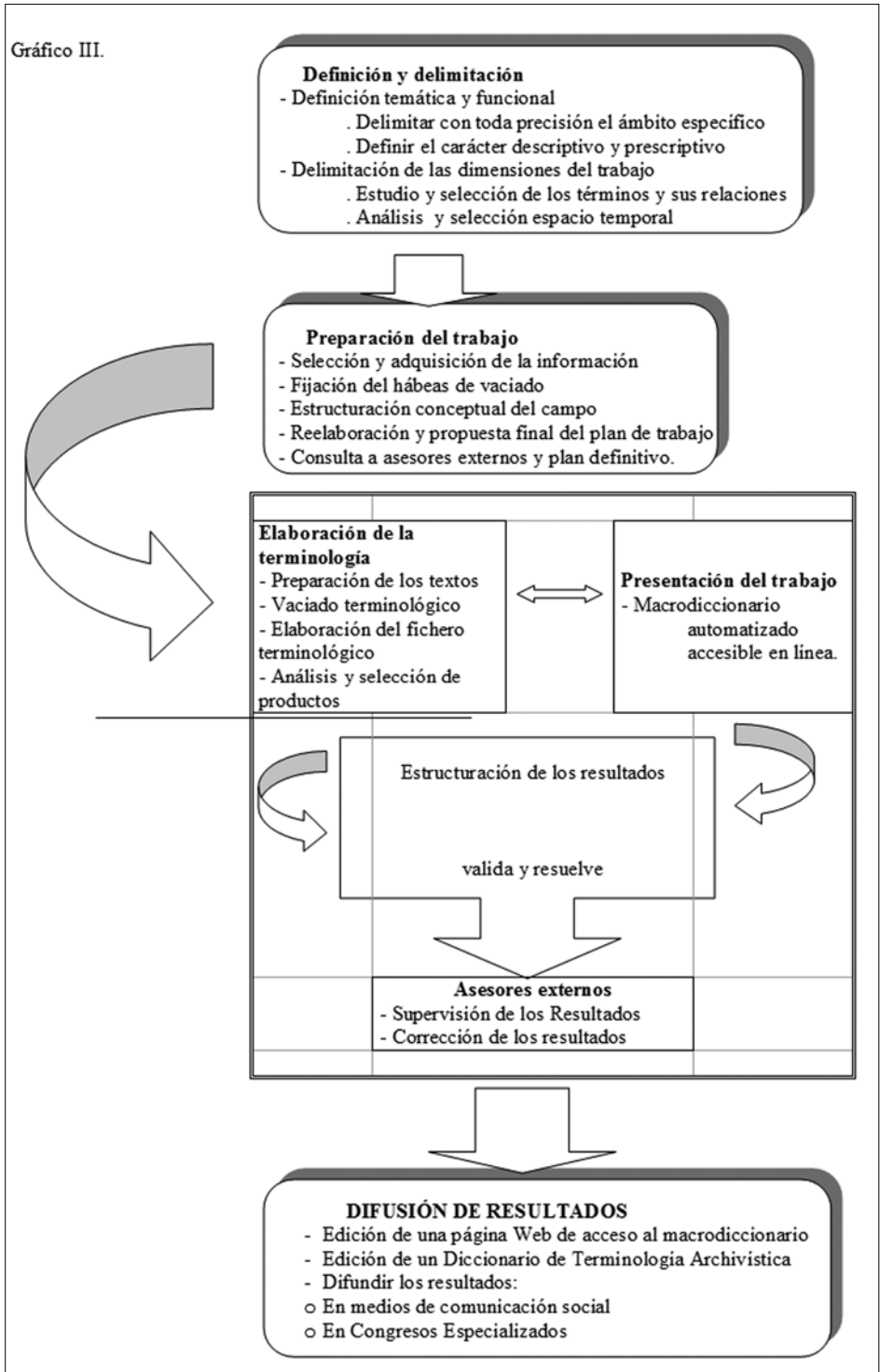
¹⁸ SAGER J.C., *Curso práctico de procesamiento de la terminología*, Fundación Germán Sánchez Rui Pérez, Madrid, 1993.



Cada una de las actividades planificadas se ha dividido en paquetes de trabajo, que constituyen la realización de tareas

concretas y mensurables ejecutadas por el personal adscrito al proyecto, el cual queda así definido (v. gráfico III):

Gráfico III.



Los resultados del proyecto son productos en sí mismos directamente transferibles a la sociedad en general y a la comunidad científica en particular, beneficios en definitiva tangibles que se concretan en:

1. Un macrodiccionario de archivística que servirá como base para la configuración mediante ampliación de otro relativo a las demás lenguas españolas, incluido el español de América, directamente utilizable por parte de los investigadores que obtendrán información relevante sobre cuestiones terminológicas, diacrónicas, etimológicas, de autoridad...

2. Un fichero terminológico de referencia de la archivística española a texto completo.

3. Un diccionario de terminología archivística que normalice el tecnicismo de los archiveros, usuarios e investigadores de los archivos.

4. Una metodología de trabajo aplicable a otros ámbitos de actividad de este campo de conocimiento.

Se trata en definitiva de beneficios tangibles y razonables que entran dentro de la doble característica de un proyecto fundamentalmente aplicado, con una parte de investigación básica en cuanto se refiere a la metodología terminológica en archivística.

La difusión y explotación de los resultados se ha planificado en varios niveles:

1. Publicación de análisis de los procesos de trabajo y resultados parciales, así como de las conclusiones finales en revistas especializadas relevantes.

2. Presentación de ponencias y comunicaciones en congresos, simposios y jornadas. Los congresos, simposios y jornadas científicas difunden la investigación de un modo inmediato. En este canal de comunicación, la investigación se pone en contacto con especialistas en esta área de conocimiento.

3. Publicación de un Diccionario de Terminología Archivística por parte de una de las dos grandes editoriales españolas

especializadas en la materia y con las que trabajan habitualmente los miembros del equipo de investigación.

4. Edición y puesta en servicio de una página Web del proyecto.

5. Formación de una futura red iberoamericana de terminología archivística.

6. Formación de una futura red europea de terminología archivística multilingüe.

Los resultados obtenidos hasta el momento, después de tres años de proyecto, son una base de datos terminológica que constituye el núcleo originario del macrodiccionario, un fichero terminológico a texto completo, y un diccionario al uso en avanzado estado de elaboración con una selección de términos en torno a los 500, extraídos de entre los cerca de 3.000 con los que se ha venido trabajando.

A continuación, se adjuntan a modo de ejemplo, dos de las entradas del diccionario, archivo y ciclo vital de los documentos, realizadas en base a lo expuesto en este artículo:

ARCHIVO

(Del lat. *archivum* y éste del gr. *αρχεῖον*, residencia de los magistrados.) m. Sistema corporativo de gestión que contribuye de manera efectiva mediante una metodología propia a la definición de los procesos de producción administrativa, garantizando la correcta creación de los documentos, su tratamiento, conservación, acceso y comunicación. 2. Órgano o unidad responsable de la coordinación de dicho sistema. 3. Centro donde se ubica el depósito permanente o transitorio de documentos y elementos vinculados a los mismos. 4. Acción y efecto de archivar. 5. Tradicionalmente se equipara al concepto de fondo y en tal sentido es el conjunto orgánico de documentos producidos y recibidos por una persona, familia u organización, pública o privada, en la gestión de sus asuntos, negocios o competencias, y conservados como prueba de los mismos, por la información que contienen y por su

valor para la historia y el conocimiento. 5. En la tradición norteamericana y de algunos países de habla inglesa el concepto de archivo (*archive*) se circunscribe a los documentos seleccionados por su valor permanente, equiparable al de archivo histórico. **Archivo Administrativo.** Gen. El que conserva y gestiona los documentos que contienen todas las actuaciones administrativas y son indispensables para el buen funcionamiento de la Administración, y por extensión de cualquier organización, y para el ejercicio del derecho de los ciudadanos al acceso a los mismos. 2. Referido a los documentos con validez administrativa. 3. Todo archivo que reúne los documentos que corresponden a cualesquiera de las tres primeras etapas del ciclo vital de los mismos (archivo de gestión, archivo central, archivo intermedio) (MCU 93, 95). **Archivo central.** En las grandes organizaciones compuestas por organismos y entidades con autonomía en su actuación, p.e. ministerios, consejerías, entes públicos... se refiere al que administra el subsistema archivístico de un organismo o entidad, así como al lugar donde se conservan y gestionan los documentos y expedientes concluidos de dicho organismo o entidad sobre los que haya recaído resolución y ésta haya sido ejecutada, o hayan producido todos sus efectos. **Archivo de corporaciones locales.** El propio de la Administración provincial (diputaciones), municipal (ayuntamientos y otras entidades locales menores) y cualesquiera otros órganos de gobierno y administración local, así como de las entidades titulares y de los organismos de ellas dependientes. **Archivo de distrito.** Es aquél cuyos fondos documentales han sido producidos o reunidos por un solo órgano judicial o administrativo con demarcación territorial específica, o por los que le hayan sucedido en su jurisdicción o competencia exclusiva, y por lo tanto ofrecen interés administrativo e histórico para todos los territorios incluidos en dicha demarcación. Son, entre otros, archivos de distrito los Archivos de las

Reales Chancillerías de Valladolid y Granada. (MCU 93, 95). **Archivo de empresa.** El referido a una organización mercantil o industrial. **Archivo de gestión o de oficina.** Es el propio de las unidades administrativas de una organización, de ahí que sea también conocido como archivo de oficina, y está compuesto por los documentos y expedientes en fase de tramitación, con plena vigencia administrativa y jurídica, así como los que son de uso frecuente para la gestión de los asuntos corrientes. **Archivo de Protocolos o notarial.** El producido como resultado de la actividad de la fe pública de uno o más notarios de un mismo distrito. Por extensión referido a los **históricos de protocolos**, donde se custodian las escrituras de más de cien años de antigüedad y forman parte de los Archivos Históricos Provinciales. **Archivo de seguridad.** Aquel que observa estrictas y especiales medidas de control medioambiental y de seguridad física, que garantizan condiciones de almacenamiento idóneas para placas fotográficas, película fotográfica, microfilm, soportes magnéticos, electrónicos y ópticos fundamentalmente. 2. (TIC) Reproducción de documentos vitales, sea en el mismo o en diferente soporte y medio del original, para asegurar su recuperación en caso de pérdida, deterioro o destrucción; diferenciándose de la copia de seguridad, realizada de manera sistemática a todo tipo de información electrónica. **Archivo eclesiástico.** El propio de toda organización de una confesión religiosa, particularmente de la Iglesia Católica. **Archivo electrónico.** El que está integrado por documentos y expedientes creados, recibidos, utilizados y conservados por medios electrónicos; entre los que se consideran incluidas las copias o reproducciones electrónicas de originales de otro tipo. **Archivo familiar.** El relativo a una familia o grupo de familias emparentadas y resultado de su gestión patrimonial, personal y social; si pertenece a la nobleza recibe la denominación de **archivo nobiliario**. **Archivo general.** Término empleado habitualmente en Iberoamérica en sustitución

ción del de Archivo Nacional o Archivos Nacionales, pues poseen la misma característica de conservar los fondos de todas o diversas instituciones nacionales. En España, recibieron esta denominación los archivos heredados del antiguo régimen (de Simancas, de Indias y de la Corona de Aragón), así como los creados en el siglo XX (de la Administración, y de la Guerra Civil), quedando bajo la misma consideración el Archivo Histórico Nacional. Por mimetismo, muchas Comunidades Autónomas han adoptado la misma denominación para referirse al que reúne los fondos de los órganos centrales de sus administraciones. **Archivo Histórico Provincial.** Categoría crea en virtud del Decreto de 12 de noviembre de 1931 por el que se dispone que los protocolos notariales de más de cien años se reúnan en estos archivos. En posteriores disposiciones se amplían las competencias para reunir la documentación judicial, de los Registros de la Propiedad, de las Delegaciones de Hacienda, etc. culminando con el Decreto 914/1969 por el que se establece que toda la documentación producida por organismos de la Administración Central en la Provincia se envíe a los Archivos Históricos Provinciales. A partir de los años ochenta del siglo XX su gestión ha sido transferida a las Comunidades Autónomas, salvo los de las tres provincias de la Comunidad Autónoma Vasca. **Archivo histórico.** Aquel donde se conservan los documentos seleccionados por su valor permanente, en condiciones que garanticen su integridad y transmisión a las generaciones futuras, por cuanto constituyen parte del patrimonio histórico de las naciones y, por ende, de la humanidad. También se considera el que posee fondos cerrados de personas físicas o jurídicas que han dejado de existir. **Archivo intermedio.** Aquel donde se asegura la instalación masiva y a bajo coste de documentos ya valorados, o que van a ser objeto de valoración, selección y eliminación parcial o total, de modo que se libera a las organizaciones de los documentos que ya no son necesarios para su

trabajo diario, y se evita colapsar los archivos históricos con documentos que o bien todavía no son de libre acceso para el público, o bien una parte considerable de los mismos está destinada a ser destruida transcurridos ciertos plazos de tiempo. **Archivo Nacional.** Preferiblemente en plural Archivos Nacionales, es la denominación dada al sistema archivístico de las instituciones centrales o federales de un país, que suele incluir un archivo histórico que recibe la misma denominación que el sistema que lo incluye. **Archivo privado.** El relativo a una persona física o jurídica de carácter privado. **Archivo público.** 1. El relativo a una entidad de derecho público. 2. Aquél que está definido legalmente como público. 3. Aquél que está abierto al libre acceso del público. 4. El integrado por fondos resultantes de la actividad de la Administración General del Estado, de las Organizaciones e Instituciones públicas del Estado, de las Administraciones públicas de las Comunidades Autónomas, de las Entidades que integran la Administración Local, o de las Entidades de Derecho Público con personalidad jurídica propia vinculadas, adscritas o dependientes de cualquiera de las entidades públicas citadas anteriormente. **Archivo regional.** Denominación bajo la que se reconoce al sistema archivístico de una región o Comunidad Autónoma, así como a su archivo intermedio e histórico.

CICLO DE VIDA DE LOS DOCUMENTOS

m. Traducción literal del término norteamericano *Records lifecycle* 1. Periodo comprendido entre la creación de un documento –incluido su diseño– y su eliminación o, en su caso, conservación permanente. 2. Principio establecido en los años 30 en los Estados Unidos, según el cual el documento tiene una vida similar a la de un organismo biológico, el cual nace (fase de creación), vive (fase de mantenimiento y uso) y muere (fase de expurgo).

Une nouvelle norme internationale pour décrire les fonctions des producteurs d'archives : ICA-ISDF

**Claire Sibille-de Grimoüard,
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Le principal objectif du classement et de la description archivistiques est de préserver le contexte de production, la valeur de preuve et l'authenticité des archives. Les notices d'autorité conformes à ISAAR(CPF) permettent de collecter toute information importante sur les producteurs d'archives, collectivités, personnes ou familles. L'élaboration de descriptions séparées mais liées des archives et de leurs producteurs permet ainsi le développement de systèmes d'information dynamiques et multidimensionnels.

Les fonctions sont souvent transférées d'une collectivité à une autre. Il sera donc beaucoup plus difficile pour les utilisateurs de reconstituer le contexte de production des archives, s'ils n'ont à leur disposition que des notices d'autorité décrivant des producteurs ayant exercé la même fonction. Des descriptions séparées mais liées de fonctions peuvent être utilisées en conjonction avec des descriptions conformes à ISAD(G) et des notices d'autorité conformes à ISAAR(CPF) permettant ainsi un meilleur accès aux descriptions des documents et de leurs producteurs dans les systèmes de description archivistique. Cette approche constitue la base de la nouvelle norme internationale pour la description des fonctions.

Au sein du Conseil international des archives (ICA)¹, le Comité des normes et bonnes pratiques (CBPS) coordonne l'élaboration et l'adoption des normes, recommandations, et règles professionnelles, en ce qui concerne l'archivage électronique, la conservation matérielle, l'évaluation, la description archivistique et la numérisation. Dans le domaine de la description archivistique, les activités du Comité ont été marquées ces trois dernières années par l'élaboration de deux nouvelles normes internationales qui sont le prolongement de la *Norme internationale sur les notices d'autorité utilisées par les archives pour les collectivités, personnes ou familles* ou ISAAR(CPF). Le premier projet concerne la description des fonctions des producteurs d'archives, le deuxième a trait aux institutions de conservation des documents d'archives.

Les deux nouvelles normes ont été présentées officiellement à la communauté internationale lors du 16e congrès international des archives de Kuala Lumpur (Malaisie), les 21-27 juillet 2008. Cet article ne traite que de la première de ces deux normes, la *Norme internationale pour la description des fonctions*, ou ISDF. Seront successivement envisagés les concepts sur lesquels repose la norme, le processus de son élaboration, sa structure et ses principaux éléments, ainsi que des exemples d'application dans différents systèmes descriptifs archivistiques.

Pourquoi une norme internationale pour décrire les fonctions des producteurs ?

Le principal objectif du classement et de la description archivistique est de préserver le contexte originel de production des documents, en sauvegardant leur valeur de preuve et leur authenticité. Ce principe a été réaffirmé avec force par la *Norme générale et internationale de description archivistique ISAD(G)*, qui définit la provenance comme « les relations entre les archives et les organismes ou les individus qui les ont créées, rassemblées et/ou gérées et utilisées dans la conduite d'une activité individuelle ou collective »². De même, d'après la norme ISO 15489 sur le records management, « les archives sont les informations produites ou reçues et gérées comme preuve par un organisme ou par une personne dans l'accomplissement de leurs obligations légales, dans la gestion ou dans la conduite d'affaires ». Il est donc fondamental de documenter les archives dans leur contexte et de restituer leur provenance.

Les notices d'autorité conformes à ISAAR(CPF) permettent de recueillir toute information importante sur les producteurs d'archives, collectivités, personnes physiques ou familles (dates d'existence, histoire, lieux d'existence ou d'activité, attributions, relations avec d'autres entités intervenant d'une manière ou d'une autre dans la constitution du fonds et sa gestion, etc.). De plus, des descriptions séparées mais liées des archives et de leurs producteurs permettent d'élaborer des systèmes descriptifs dynamiques et multidimensionnels. Les archives peuvent ainsi être reliées à plusieurs organismes producteurs, ce qui évite de rattacher artificiellement à un seul producteur une suite de documents.

¹ Cet article est issu de la présentation des deux normes internationales développées par l'ICA en 2005-2008, au 16^e congrès international des archives de Kuala Lumpur, 21-27 juillet 2008 (le descriptif de la session de présentation est disponible à : <http://www.kualalumpur2008.ica.org/fr/sessions/les-normes-ica-isdf-and-ica-isiah>). Ce texte est dédié à Per-Gunnar Ottosson (Archives nationales de Suède), décédé en août dernier. Impliqué dans les travaux de normalisation de ICA depuis 2000, Per-Gunnar contribua également à l'élaboration de la norme ISDF.

² Conseil international des archives. *ISAD(G) : norme générale et internationale de description archivistique. Deuxième édition. Adoptée par le Comité sur les normes de description, Stockholm, Suède, 19-22 septembre 1999. Ottawa, 2000. 93 p.*

Toutefois, les notices d'autorité peuvent ne pas donner toute l'information contextuelle nécessaire.

Parfois, les relations des archives avec les fonctions dont elles résultent sont plus importantes que les relations avec les organismes qui les ont produites. En effet, au cours de son existence, tout organisme peut voir supprimer une de ses attributions parce que celle-ci ne correspond plus à un besoin. Inversement, des fonctions nouvelles peuvent être attribuées à un organisme pour répondre à de nouveaux besoins, par exemple pour l'application d'une nouvelle législation. Il arrive souvent que des attributions soient transférées d'un organisme à un autre, ou d'un bureau à un autre au sein d'un organisme. Ces diverses formes de variations de compétence se traduisent généralement par la création ou la suppression de bureaux au sein d'un organisme, par la création d'organismes nouveaux rattachés ou subordonnés aux organismes existants, etc. De multiples producteurs peuvent être ainsi à l'origine d'un fonds ou d'une série organique.

Il sera donc beaucoup plus difficile pour l'utilisateur de reconstituer le contexte de production d'une série organique si on met simplement à sa disposition plusieurs notices d'autorité décrivant les organismes ayant exercé une même fonction. Cela peut aussi conduire l'archiviste à répéter de mêmes informations, notamment dans l'élément « Fonctions et activités » (5.2.5) de la norme ISAAR(CPF). D'où ce projet de nouvelle norme internationale pour la description des fonctions des producteurs d'archives, destinée à compléter les descriptions archivistiques conformes à ISAD(G) et les notices d'autorité conformes à ISAAR(CPF).

La nouvelle norme offre ainsi un cadre pour la création de descriptions de fonctions, descriptions séparées mais liées aux descriptions des archives et des producteurs d'archives. Le glossaire figurant au début d'ISDF définit les fonctions comme « toute fin ou tâche de haut niveau relevant

des responsabilités d'une collectivité en vertu d'une loi, d'une politique ou de son mandat. Les fonctions peuvent être subdivisées en ensembles d'opérations coordonnées, telles que des sous-fonctions, procédures opérationnelles, activités, tâches ou transactions » selon la terminologie utilisée dans chaque pays ou internationalement. Les descriptions des fonctions des organismes peuvent expliquer comment, pourquoi et par quel organisme une fonction a été exercée, du début à la fin de l'exercice de cette fonction par l'organisme. Les descriptions de fonctions peuvent expliquer comment et pourquoi les documents d'archives ont été produits et utilisés et montrer leurs relations avec la fonction dont ils résultent et avec d'autres documents d'archives. Elles peuvent également donner accès à des documents d'archives produits ou utilisés en relation avec une fonction donnée. Maintenir ces informations séparées des descriptions de documents d'archives et des notices d'autorité signifie moins de répétitions d'informations et permet la construction de systèmes descriptifs plus dynamiques et multidimensionnels. Dans le cas d'une utilisation conjointe d'ISAAR(CPF) et d'ISDF pour décrire le contexte de production des documents d'archives, une partie de la zone de la description d'ISAAR(CPF) perdra de son sens et l'élément « Fonctions et activités » ne devra pas être renseigné.

La connaissance des fonctions offre de multiples avantages. Elle permet d'évaluer, de classer et de décrire les archives, rejoignant en cela l'approche des records managers, qui utilisent les fonctions pour analyser et classer les archives, de préférence à une structure organisationnelle. Ainsi, parmi les huit étapes identifiées par la norme ISO 15489 pour la mise en œuvre d'un programme de records management³, l'une d'elles consiste à mener une analyse approfondie des structures, fonctions, procédures et activités d'un organisme, afin

³ ISO 15489 - *Information et documentation - Records management, parties 1 et 2*, Genève, Organisation internationale de normalisation, 2001.

de permettre une meilleure compréhension des documents d'archives et de la manière dont ils sont produits et utilisés. L'approche fonctionnelle permet également aux utilisateurs de retrouver et d'analyser les archives. Si elle est particulièrement bien adaptée au caractère mouvant de l'administration contemporaine, la description séparée des archives et des fonctions dont elles sont issues peut s'appliquer à des époques plus anciennes. Par exemple, les séries modernes du cadre de classement des Archives territoriales françaises sont calquées sur les grands domaines d'intervention administrative. De même, aux Archives nationales (Paris), les archives ministérielles du XIXe siècle sont réparties entre des séries méthodiques qui correspondent aux différents secteurs d'intervention de l'État.

Le processus d'élaboration de la norme, des travaux préparatoires à l'appel à commentaires

Le groupe de travail chargé d'élaborer la norme pour la description des fonctions a été créé lors de la réunion de la Section provisoire des normes et bonnes pratiques professionnelles (SPS) à Berne, Suisse, en juin 2005⁴. En 2006, SPS est devenue le Comité des normes et bonnes pratiques.

Le premier travail a consisté à conduire une analyse comparative entre différents modèles de données, de manière à identifier les éléments requis pour la description d'une fonction. Les modèles de description fonctionnelle existants ont donc été rassemblés et évalués afin de parvenir à une première version de la norme, rédigée, discutée, amendée et enrichie au cours de la réunion du groupe à Paris, en mai 2006.

La réunion de Paris fut en grande partie

consacrée à la terminologie à employer. Les termes de « fonction », « activité » et « transaction » furent provisoirement adoptés, tandis que ceux d'« opérations » et de « sous-fonctions » n'étaient pas retenus. Il fut décidé de ne pas utiliser le mot « entité » pour désigner les fonctions/activités, ce terme ayant déjà été employé dans la norme ISAAR(CPF) pour les collectivités, les personnes et les familles. De même, la notion de « notice d'autorité » renvoyant aux descriptions de collectivités, de personnes et de familles conformes à ISAAR(CPF) a été écartée au profit de celle de « description », bien qu'une « description » puisse également s'appliquer aux documents d'archives. Le champ de la norme fut limité à la description des fonctions de collectivités associées à la production et à la gestion des archives. Les fonctions des personnes physiques agissant en tant que personnes morales sont également concernées. A l'issue de la réunion de Paris, le titre provisoire de la norme était : « Norme internationale pour les fonctions/activités des collectivités » (« International Standard for Activities/Functions ») ou norme ISAF.

Dès le départ, il fut décidé que la future norme aurait une structure analogue à celle d'ISAD(G) et d'ISAAR(CPF) : une courte présentation sur l'objet de la norme, une liste des normes et directives associées, un glossaire, un chapitre sur la structure et l'utilisation de la norme, un ensemble d'éléments regroupés dans différentes zones de description, et des règles spécifiques indiquant comment établir des liens entre la description de fonctions, la description de documents d'archives et des notices d'autorité (après la zone du contrôle de la description, deux chapitres spécifiques concernaient les relations).

La version provisoire de la norme fut ensuite diffusée auprès de la communauté internationale pour commentaires, de janvier à avril 2007⁵. Plus de trente pages

4 Les pays impliqués dans le projet étaient l'Allemagne (Jenny Kotte), le Brésil (Vitor da Fonseca), la Côte d'Ivoire (Padré Baroan), l'Espagne (Beatriz Franco Espiño), la France (Claire Sibille), la Suède (Per-Gunnar Ottosson et Torbjörn Hörnfeldt) et la Suisse (Baerbel Foerster).

5 Voir site du Conseil international des archives : www.ica.org/fr/node/549 (pages consultées en octobre 2007).

de commentaires furent reçus du comité technique TC 46 de l'ISO, d'Australie, de Belgique, du Brésil, du Canada, d'Espagne, des États-Unis, de France, de Lettonie, du Mexique, des pays nordiques, de Roumanie, du Royaume-Uni et de Suisse.

Lors d'une nouvelle réunion à Dresde, en Allemagne, en mai 2007, le groupe de travail examina comment ces commentaires pourraient être pris en compte. De nombreux commentaires concernaient la terminologie, les niveaux du schéma de classification fonctionnelle et les définitions des termes « fonction », « activité » et « transaction » qui provenaient de plusieurs sources, chacune avec ses propres concepts intellectuels. Par ailleurs, les termes « fonction » et « activité » avaient des définitions distinctes dans la norme, mais tout ce qui s'appliquait à une fonction pouvait s'appliquer en fait à une activité et vice versa.

Le groupe de travail a choisi de n'utiliser que le terme « fonction ». Dans le glossaire, il est désormais établi que « les fonctions peuvent être subdivisées en sous-fonctions, procédures, activités, tâches, transactions, etc. selon la terminologie utilisée ». Le nom de la norme a également été changé en « Norme internationale pour décrire les fonctions » ou ISDF (International Standard for Describing Functions).

D'après plusieurs commentaires, la zone relative aux relations entre fonctions n'indiquait pas assez explicitement la possibilité d'établir des relations multiples. Une définition des types de relations « hiérarchiques », « temporelles » et « d'association » était également nécessaire. Enfin, les exemples de types de relations demandaient à être explicités.

Plusieurs suggestions concernaient les relations avec les normes ISAD et ISAAR, qui étaient quelque peu dispersées dans le texte. La norme devrait donc comprendre une représentation graphique des relations des fonctions avec les organismes et les archives, inspirée des schémas de modèles de données de l'université

de Monash (Australie). Par ailleurs, une révision d'ISAD(G) et d'ISAAR(CPF) est prévue pour le prochain mandat quadriennal du Comité (2008-2012), pour introduire un groupe d'éléments permettant de relier les descriptions de documents d'archives et les notices d'autorité aux descriptions de fonctions.

Suite à plusieurs commentaires portant sur la structure de la norme, le groupe de travail a décidé de regrouper dans un seul chapitre les recommandations pour établir des relations avec des descriptions de documents d'archives et des notices d'autorité. Les noms d'éléments peu explicites ou redondants avec le nom de la zone où ils se trouvaient ont été modifiés. Un nouvel élément « Forme(s) parallèle(s) du nom » a été ajouté dans la zone d'identification, sur le modèle d'ISAAR(CPF).

Trois éléments au lieu de deux dans la précédente version sont à présent considérés comme essentiels :

- ▶ Type (élément 5.1.1)
- ▶ Forme(s) autorisée(s) de nom (élément 5.1.2)
- ▶ Code d'identification de la description de la fonction (élément 5.4.1).

Des exemples ont été fournis dans les différentes langues des membres du groupe de travail en annexe et dans toutes les sections de la norme. Les exemples suivant les descriptions d'éléments sont plus concis.

Le texte définitif a été soumis pour approbation et validation à la Commission de programme puis au Comité exécutif du Conseil international des archives, avant d'être présenté à la communauté internationale en juillet 2008. Par ailleurs, un cycle de révision de cinq ans pour ISDF a été prévu. Les commentaires et propositions complémentaires d'amendements et de modifications pourront donc être adressés au Comité des normes et bonnes pratiques et seront pris en compte au cours de ce processus de révision.

Structure de la norme et principaux éléments

Les éléments de la norme sont répartis entre quatre grandes zones.

La zone d'identification sert à identifier de manière univoque la fonction en cours de description et à définir un point d'accès normalisé. Elle comprend cinq éléments :

- ▶ 5.1.1 Type : indiquer si la description est une fonction ou une de ses subdivisions.
- ▶ 5.1.2 Forme(s) autorisée(s) de nom : établir un point d'accès normalisé qui identifie de manière univoque la fonction décrite.
- ▶ 5.1.3 Forme(s) parallèle(s) de nom : indiquer les différentes formes sous lesquelles la(les) forme(s) autorisée(s) de nom apparaissent dans d'autres langues et systèmes d'écriture.
- ▶ 5.1.4 Autre(s) forme(s) de nom : indiquer tout autre nom pour la fonction décrite.
- ▶ 5.1.5 Classification : classer la fonction conformément à un cadre de classement.

La zone du contexte contient les informations propres à la nature et au contexte de la fonction décrite. Elle est composée des éléments suivants :

- ▶ 5.2.1 Dates : identifier la date ou les dates extrêmes de la fonction.
- ▶ 5.2.2 Description : fournir des informations sur les finalités de la fonction.
- ▶ 5.2.3 Histoire : donner un résumé de l'histoire de la fonction.
- ▶ 5.2.4 Législation : identifier la base légale de la fonction.

La zone des relations sert à enregistrer et à décrire les relations avec d'autres fonctions. Elle contient cinq éléments répétables à chaque fois que l'on veut créer une relation avec une autre fonction :

- ▶ 5.3.1 Forme de nom autorisée/Identifiant de la fonction associée : fournir la forme autorisée de nom et tout identifiant univoque de la fonction associée.
- ▶ 5.3.2 Type : indiquer si la fonction avec laquelle la relation est établie est une

fonction ou une de ses subdivisions.

- ▶ 5.3.3 Catégorie de relation : identifier la nature générale de la relation entre la fonction décrite et une autre fonction (hiérarchique, temporelle, d'association).
- ▶ 5.3.4 Description de la relation : donner une description précise de la nature de la relation entre la fonction décrite et la fonction avec laquelle cette relation est établie.
- ▶ 5.3.5 Dates de la relation : indiquer les dates de la relation avec une autre fonction.

La zone du contrôle de la description est analogue à celle d'ISAAR(CPF), avec le numéro international d'identification de la description de fonction, et les informations précisant comment, quand et par quel service cette description a été créée et mise à jour.

A ces quatre zones s'ajoute un chapitre, avec des règles pour relier les descriptions de fonctions aux notices d'autorité décrivant les producteurs et/ou aux descriptions des archives. Trois éléments sont disponibles dans le chapitre 6 :

- ▶ Code d'identification et/ou forme autorisée de nom : identifier de manière univoque la collectivité avec laquelle les relations sont établies et/ou la ressource associée et créer des liens avec la notice d'autorité décrivant la collectivité associée ou la description de la ressource associée.
- ▶ Nature de la relation : identifier la nature de la relation entre la fonction et la collectivité associée et/ou la ressource associée.
- ▶ Date de la relation : indiquer les dates d'existence des relations avec la collectivité considérée et/ou la ressource associée.

Exemples de modèles conceptuels mettant en œuvre une description des fonctions de producteurs

Plusieurs projets et réalisations mettent déjà en œuvre une description séparée mais liée des fonctions et des documents d'archives en résultant.

Ainsi, les Archives nationales

d'Australie ont élaboré une méthodologie permettant de concevoir et de mettre en œuvre un système de gestion des documents, DIRKS (acronyme de "Designing and Implementing Recordkeeping Systems", ou « Concevoir et mettre en œuvre des systèmes de gestion des documents »)⁶. Le manuel DIRKS rejoint la méthodologie en huit étapes recommandée par la norme australienne pour le records management, AS 4390 : A (analyse préliminaire), B (analyse des activités d'affaires), C (identification des besoins de gestion de documents), D (évaluation des systèmes existants), E (stratégies pour la conservation), F (conception d'un système de gestion de documents), G (mise en œuvre d'un système de gestion de documents) et H (examen après la mise en œuvre). Dans l'étape B, on doit analyser les sources documentaires et les interviews (recueillis dans la phase A) pour identifier : les objectifs d'un organisme et les stratégies pour atteindre ces objectifs ; les fonctions remplies par l'organisme pour soutenir ces objectifs et stratégies ; les activités qui contribuent à remplir ces fonctions ; et les groupes de transactions ou procédures récurrentes composant chacune de ces activités. Il s'agit d'établir un schéma de classification opérationnelle, hiérarchie de fonctions, activités et transactions qui peut être utilisée pour étayer différents processus de gestion des archives. Un thésaurus des fonctions gouvernementales ou thésaurus AGIFT est également en ligne⁷. AGIFT a été développé par un groupe de travail créé par les Archives nationales d'Australie et composé de représentants du Commonwealth, d'Étatset d'administrations territoriales et locales, et d'acteurs du monde de l'industrie. Il comprend des notes de contenu pour chacune des fonctions. Les Archives nationales d'Australie ont

également utilisé AGIFT comme base d'un projet de macro évaluation où différents indicateurs et sources servent à déterminer la signification des fonctions environnementales pour le gouvernement australien et pour la population sur les 30 dernières années.

Le portail des archives de l'enseignement supérieur en Écosse ("Gateway to Archives of Scottish Higher Education" ou GASHE) offre des règles générales pour préparer des descriptions d'activités conformément à un ensemble d'éléments d'informations, ainsi que des recommandations sur la manière dont ces éléments doivent être utilisés⁸. Les éléments sont regroupés au sein de quatre zones d'information : identité, contexte, documents associés, notes. La première zone comprend un identifiant, le nom de l'organisme exerçant l'activité, le nom de l'activité et celui de la fonction auquel cette activité est rattachée, informations considérées comme obligatoires pour identifier l'activité.

A partir de la liste des fonctions majeures exercées par les établissements d'enseignement supérieur, il est possible de voir les activités dérivant de cette fonction. Par exemple, si l'on choisit la fonction de gestion des étudiants, on peut voir les activités qui dérivent de cette fonction, et en cliquant sur « Recrutement des étudiants », on accède à des descriptions d'activités liées à des organismes. On peut ainsi accéder à la description de l'activité de recrutement des étudiants exercée par le Collège Atkinson aux XVIII-XIXe siècles, puis par l'université de Glasgow à partir de 1970. Cet exemple montre qu'il peut y avoir des changements dans l'histoire d'une fonction liée à un organisme déterminé.

On trouvera en annexe un exemple de description de fonction conforme à la norme ISDF.

⁶ Le manuel DIRKS est disponible à : <http://www.naa.gov.au/records-management/publications/dirks-manual.aspx> (site consulté en septembre 2008).

⁷ Le thésaurus AGIFT est consultable à : <http://www.naa.gov.au/records-management/create-capture-describe/describe/agift/index.aspx> (site consulté en septembre 2008).

⁸ Le portail est consultable à l'adresse suivante : <http://www.gashe.ac.uk/> (consulté en septembre 2008).

Développements futurs

Il ne suffit pas de recenser et de définir les éléments de données. Organiser les informations pour construire un réseau de relations entre les éléments de données constitue l'étape suivante, afin de proposer un modèle générique permettant l'interopérabilité. Le Comité des normes et bonnes pratiques de l'ICA est conscient d'élaborer un modèle conceptuel décrivant les entités (archives, agents, collectivités, individus, familles, fonctions) et les relations qui existent entre ces entités (les archives sont produites, gérées, conservées ou utilisées par les agents qui exercent des fonctions qui sont reflétées dans les documents).

Ces travaux permettraient de se rapprocher d'autres communautés qui ont appliqué cette approche avec succès. Ainsi, le modèle FRBR est un modèle conceptuel élaboré par un groupe d'experts de l'IFLA (Fédération internationale des associations de bibliothécaires et des bibliothèques). De même, le modèle CIDOC CRM est un modèle sémantique de référence élaboré par le Groupe de normalisation documentaire du Comité international pour la documentation du Conseil international des musées, et visant fondamentalement à fournir un langage commun à des gisements d'information hétérogènes et à permettre leur intégration, par delà leurs éventuelles incompatibilités tant sémantiques que structurelles.

Enfin, un comité de l'ISO (ISO TC46/SC4) travaille actuellement à la révision d'une norme visant à faciliter l'échange d'informations entre bibliothèques, archives et professions apparentées. Une vision d'ensemble des normes et des projets menés par les différentes instances de normalisation est donc à développer, afin de les articuler au mieux pour favoriser l'interopérabilité tout en respectant les spécificités de chacun.

Annexe : exemple de description conforme à ISDF

5.1 ZONE D'IDENTIFICATION		
5.1.1 Type		Fonction
5.1.2 Forme(s) autorisée(s) du nom		Contrôle de légalité
5.1.3 Forme(s) parallèle(s) du nom		
5.1.4 Autre(s) forme(s) du nom		
5.1.5 Classification		
5.2 ZONE DU CONTEXTE		
5.2.1 Dates		1982 - ...
5.2.2 Description		Ensemble des procédures garantissant que les actes administratifs pris par les collectivités territoriales sont conformes à la légalité
5.2.3 Histoire		Avec la loi de décentralisation du 2 mars 1982, le contrôle de légalité a remplacé la tutelle administrative (contrôle a priori).
5.2.4 Législation		Constitution du 4 octobre 1958 Loi n° 82-213 du 2 mars 1982 Code général des collectivités territoriales (CGCT) Décret n° 93-1080 du 9 septembre 1993
5.3 ZONE DES RELATIONS		
5.3.1 Forme(s) autorisée(s) du nom/Identifiant de la fonction associée		Contrôle administratif des collectivités locales et des organismes publics
5.3.2 Type		Fonction
5.3.3 Catégorie de relation		Relation hiérarchique
5.3.4 Description de la relation		Le contrôle administratif des collectivités locales comprend à la fois le contrôle de légalité et le contrôle budgétaire de leurs actes et ceux de leurs établissements publics.
5.3.5 Dates de la relation		1982 - ...
5.4 ZONE DU CONTROLE		
5.4.1 Identifiant de la description de fonction		FR/DAF/0000000001
5.4.2 Identifiant du ou des services		FR/DAF Direction des Archives de France
5.4.3 Règles et/ou conventions utilisées		ISDF – Norme internationale pour la description des fonctions, 1re éd., Conseil international des Archives, 2008.
5.4.4 Statut		Description validée
5.4.5 Niveau de détail		Description complète
5.4.6 Dates de création, de révision ou de destruction	ISO 8601	2008-09

5.4.7 Langue(s) et écriture(s)		français
	ISO 639-2	fre
	ISO 15024	latn
5.4.8 Sources		Site de la Documentation française : http://www.ladocumentationfrancaise.fr/dossiers/collectivites-locales/index.shtml (consulté en septembre 2008)
5.4.9 Notes relatives à la mise à jour de la description		Notice rédigée par Claire Sibille (Direction des Archives de France)

6 RELATIONS DES FONCTIONS AVEC DES COLLECTIVITES, DES DOCUMENTS D'ARCHIVES ET D'AUTRES RESSOURCES

Première relation

6.1 Identifiant et forme(s) autorisée(s) du nom/intitulé de la ressource associée	Forme(s) autorisée(s) du nom	Préfectures
	Identifiant	
6.2 Nature de la relation		Le préfet s'assure de la conformité à la loi des actes pris par les collectivités territoriales et certains établissements publics.
6.3 Dates de la relation		1982 - ...

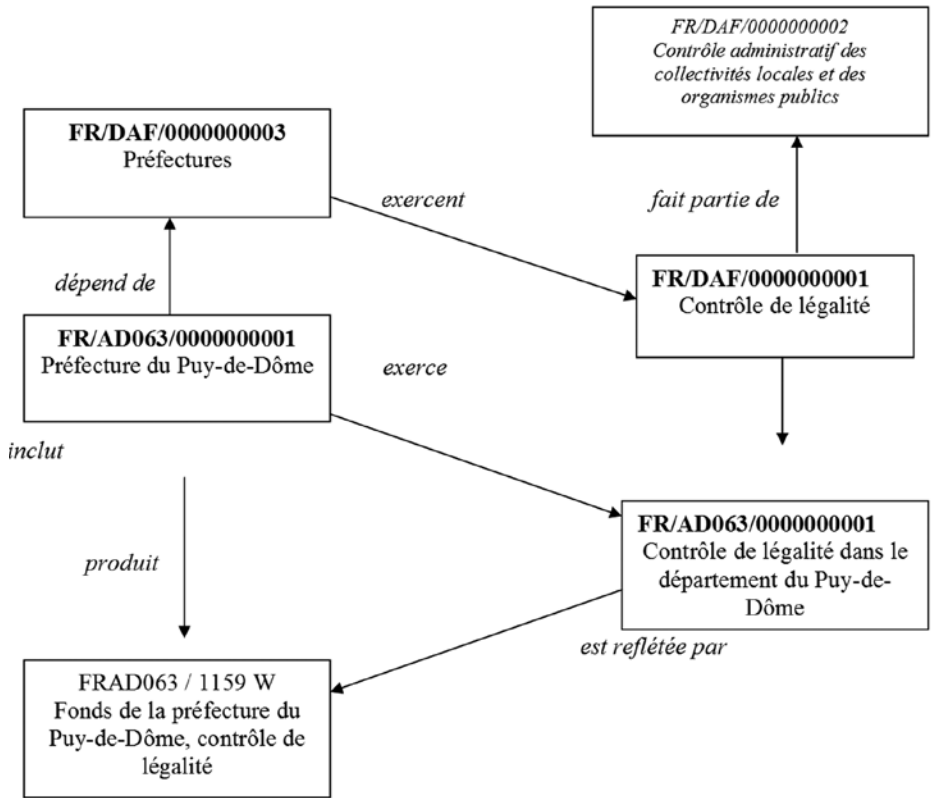
Deuxième relation

6.1 Identifiant et forme(s) autorisée(s) du nom/intitulé de la ressource associée	Forme(s) autorisée(s) du nom	Pôle interrégional d'appui au contrôle de légalité
	Identifiant	
6.2 Nature de la relation		Le Pôle interrégional d'appui au contrôle de légalité aide les préfetures pour l'examen des actes des collectivités locales.
6.3 Dates de la relation		2002 - ...

Troisième relation

6.1 Identifiant et forme(s) autorisée(s) du nom /intitulé de la ressource associée	Intitulé	Fonds de la préfecture du Puy-de-Dôme, contrôle de légalité
	Identifiant	FRAD063 / 1159 W
6.2 Nature de la relation		Ces documents correspondent à la mission de contrôle de légalité dévolue au représentant de l'État dans le département par les lois de décentralisation de mars et juillet 1982
6.3 Dates de la relation		1982 - 2006

Schéma des relations entre fonctions, collectivités et documents d'archives



A new approach to appraisal: Building blocks for a new appraisal method for archives

Robbert Jan Hageman, Charles Jeurgens and Ruud Yap

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■ Charles Jeurgens worked for several years as editor of sources of the Batavian-French period in the Institute of Netherlands History in The Hague and was director of the municipal archives of Schiedam and Dordrecht. He is currently head of the developing section on appraisal and selection of the Dutch National Archives and professor of archivistics at Leiden University.

■ Ruud Yap has been working in the selection and acquisition department of the Dutch National Archives since 2006. He is a member of

a team of researchers carrying out pilot projects that should eventually lead to a new appraisal method in the Netherlands. He is also an editor for the Dutch Archives Magazine: het Archievenblad.

Two archival problems faced by government organizations are the backlog of paper documents and the ephemeral quality of digital information. In 2006, the Dutch government came up with an eight point plan to deal with these problems. One of its proposals was a different approach to archival selection. 'Past Appraised', the Committee for Appraisal and Selection, was set up by the Dutch National Archivist to formulate a new vision for appraisal and selection. Comprising archivists, historians, and information specialists, it first of all critically examined the objectives of the current method of appraisal and selection, called PIVOT. The committee formulated a much broader objective in comparison to the existing selection objectives, one that better suits the principle that the archivist's primary goal is to document a certain period for the whole of society, not just government. This new objective implies that in the systems for appraisal and selection there is no difference between archives created by government bodies and those created by private institutions or persons.

We had the opportunity to present the new Dutch approach to appraisal to a broad international audience at the ICA 2008 international congress in Kuala Lumpur. In that presentation Ruud Yap described how, due to both fundamental and instrumental criticism in the Netherlands, the need for a new appraisal system had arisen.

Change began in 2007 with the installation of the Appraisal and Selection Committee by the Dutch National Archivist. The committee was chaired by Prof. K.J.P.F.M. Jeurgens, Professor of Archival Sciences at Leiden University, and its goal was to formulate a new vision toward appraisal and selection. Other participants of the committee included: A.C.V.M. Bongenaar, PhD; P. Diebels; P.K. Doorn, PhD; R.J.B. Hageman; Prof. L. Heerma van Voss; J. Jonkers; M.A.M. Laqueur; Prof. L.A.C.J. Lucassen; A.C.M. Kappelhof, PhD; H.D. Tjalsma; H. Waalwijk; and M.C. Windhorst. All are archivists, information specialists, and historians.

In September 2007 the committee submitted its final report, *Past Appraised. Building Blocks for a New Appraisal Method for Archives*, to the National Archivist.¹ The committee urged for a radical change in the way appraisal and selection should be approached and carried out. The objective of appraisal should no longer be limited to the safeguarding of those government records that are necessary for reconstructing the main features of government policy and implementation in relation to society; the objective should include the appraising, selecting, and acquisition of records that enable individuals, organizations, and social groups to discover their own history and to reconstruct the history of state and society as a whole.

This article serves as an abstract of *Past Appraised*.

¹ The Appraisal and Selection Committee report can be downloaded at: http://www.nationaalarchief.nl/images/waardering_en_selectie.pdf.

Archives as memory

Almost twenty years ago, the French historian Pierre Nora said that the modern memory has become primarily a memory of archives.² Never before in history has a civilisation become so dependent on archives as our Western civilisation. We not only produce more archival materials than ever before, but we also have an almost supernatural appreciation for anything that is documented. It is therefore no wonder that the issue of appraisal and selection, as indeed history itself, has become a never-ending discussion. It would be an illusion to think that we can come to a definitive conclusion on the subject. In fact, that would be very undesirable, because appraisal and the attendant selection are inherently normative activities, and their principles and methods should regularly be reevaluated. When we examine the role of archivists in the field of appraisal, selection, and acquisition of archives over the past one hundred years, we see that the closer we come to the present, the more archivists have wrestled with this subject and the fewer certainties they have been able to lean on.

PIVOT

As in the rest of the world, in the last quarter of the twentieth-century archivists and records managers in the Netherlands were faced with an overwhelming flood of information. The traditional, craftsman like manner of appraisal and selection of individual documents became a hopeless enterprise as hundreds of kilometres of unprocessed archival material began to pile up within government agencies. The quantities involved demanded a thorough review of the methods for appraisal and selection. In the traditional way, selection was geared toward documents appraised in their documentary context. The documents' contents were appraised according to their

² NORA Pierre, 'Between memory and history: les lieux de mémoire' in *Representations*, 26, 1989.

value as evidence or as research sources. In the new methods, appraisal was geared toward the activities of government that brought about the creation of the documents within their institutional context.

Appraisal no longer dealt primarily with documents and their content, but with activities and institutional context.³ So far, no one has better expressed the change from the traditional method than David Bearman when he whispered the following to Terry Cook: "The secret to appraising records is to put a bag over them, and focus on the context of their creation. Ignore the physical and concentrate on the conceptual: forget the recorded 'products' and focus on the 'process' of their creation and contemporary use. Understand the creation and authorship of records, their animating functions and activity, their transmission and system interconnections [...] and the importance or value of the resulting records will almost be self-evident."⁴

The Dutch answer to the looming information meltdown in the early 1990s was found in an approach that has become known under the acronym PIVOT (*Project Invoering Verkorting Overbrengings Termijn*, or Introduction of Abbreviated Transfer Period Project). This approach was based on the assumption that the most important sources for Dutch society and culture, inasmuch as they dealt with the actions of the government, should be preserved by basing the selection of government records on an appraisal of the government's "actions." If a government action is considered to be important enough, then the administrative trail of that activity is eligible for preservation in an archives.

In the spirit of Cook, appraisal according to PIVOT is not based on the value of infor-

mation in documents, but on the value of the action that has produced those documents. But unlike Cook, under PIVOT government actions were not to be appraised by reference to their societal functionality, from a governance point of view, but only from the perspective of the acting government itself in relation to its own policy objectives. In other words, actions were to be appraised as important for preservation if they could be regarded as such by government itself as a policy-making apparatus.

In practice, on the basis of empirical knowledge, PIVOT defined some 150 areas of government policy. Within each area all actions of all government actors were meticulously specified and recorded. This was done in particular by studying formal sources such as legislation, regulations and instructions. These (formal) actions for each policy area were then mapped out and framed on the basis of extensive contextual and institutional research. After this, and using all this formal and institutional information, a so-called Basic Selection Document (BSD) was drawn up, in which all actions of a set of government actors within the given area are recorded and evaluated for their importance, using a list of general and, if needed, specific criteria for preservation.

In this way, between 1995 and 2007 approximately 850 selection lists were drawn up, covering virtually all activities of the national government. However, the legalistic formulation of the actions, the multiplication resulting from repeating equivocal actions in many areas of policy, and the often high level of detail in defining and describing actions have created a system which requires a continued effort in maintenance. Added to this work load is the consumption of time resulting from the long-term legal procedures required to establish new and update existing lists. Apparent inefficiencies of the process and complexities of the system have acted as important stimuli to reevaluate the PIVOT selection method.

³ THOMASSEN Theo H.P.M., 'Werken aan een nieuwe verhouding tussen archief- en geschiedwetenschap' in *Nederlands Archiefblad*, 98, 1994.

⁴ COOK Terry, 'The impact of David Bearman on modern archival thinking: an essay of personal reflection and critique' in *Archives and Museum Informatics*, 11, 1997. Cook refers to a conference in Victoria in March 1986 where Bearman is supposed to have said this to Cook in a private conversation.

Another stimulus was the influence in the cultural debate from historians who continued to criticise the selection objective at the time. The original objective developed by PIVOT in the early 1990s stipulated that the material preserved should enable researchers to reconstruct the main activities of the government in relation to its environment. As a result of ongoing discussions, this primarily government-orientated objective was specified by adding that all this should also result in keeping safe the sources of knowledge of the most important historical and social events and developments, inasmuch as those are to be reconstructed from government archives. Although the objective was broadened, it is still considered too state centred and narrow. Over the past few years, the Council for Culture, an important advisory body of the Dutch government, has also taken up this critique of the goal statement.⁵

Necessity of a new concept for appraisal?

The first question to ask, of course, is this: do we really need to formulate a new vision? In 2006, the Dutch government published the vision document *Informatie op orde* (Information in order), which clearly stated that the existing procedures and regulations for archival selection are not attuned to the changed digital environment. *Informatie op orde* declared that the actual system of selection does not make adequate consideration of work processes, that responsibilities are not delegated clearly enough, and that the procedures for drawing up selection lists are long and complex.⁶

In that same year, the *Archiefinspectie* (Dutch Archive Inspectorate) also expressed its concern about the looming

unmanageability of the expanding universe of digital information objects, and argued for another approach to the problem in order to bring it under control. According to the Inspectorate, appraisal and selection in the digital age could not be done in retrospect any longer; instead, archival institutions should practise a more rigorous and proactive approach, with appraisal to be applied at or even before the moment of creation of information objects. The Inspectorate identified the problem as the autonomous increase in the flow of documents, and proposed that archivists should concentrate their efforts in that area.

In its recommendation entitled *Het tekort van het teveel* (The shortage of plenty), the Council for Culture had expressed criticism of the effectiveness and the quality of the current appraisal and selection policy. The Council suggested the National Archives are wont to preserve too many government documents unnecessarily. And with central government retreating more and more from the public domain over the last decades, wouldn't it be wise to review the balance between the selection of government records and the acquisition of nongovernmental archives? This sort of question has given another dimension to persistent opinions of historians and other archives researchers about the supposed one-sidedness of the National Archives toward government records and government values and principles in selecting and appraising historical sources. Finally, the ministries, big suppliers of archives themselves, complain (whether justifiably or not) that the current Archives Law 1995 gives too much priority to culture and does not take the interests of administration into consideration, to the point of forming an obstacle to good information management. As the Archives Law 1995 regulates the flow of government information "through the rear-view mirror," the law is not very helpful in getting the government on the path of governance.⁷

⁵ See for instance Raad voor Cultuur (Council for Culture), *Het tekort van het teveel. Over de rijksverantwoordelijkheid voor cultureel erfgoed*, The Hague, 2005.

⁶ *Informatie op Orde. Kabinetvisie op vindbare en toegankelijke overheidsinformatie*, The Hague, 2006.

⁷ *Erfgoedinspectie Archieven, Verslag over het*

A new objective for selection

The first thing that the committee did was to critically reevaluate the PIVOT selection objective. A number of parties had expressed fundamental criticism of the scope of the objective, as it gives direction to the actions of appraisal and selection. Without a clearly formulated objective, any discussion about appraisal and selection would be pointless. The committee had a number of discussions on this issue, which repeatedly emerges in archival literature: should archivists appraise and select items to be archived, or should they document a society?⁸ The committee found inspiration in the words of David Bearman: "We will only be able effectively to appraise larger volumes of records if we focus on our appraisal methods, on selecting what should be documented rather than what documentation should be kept, and develop tactics for requiring offices to keep adequate documentation rather than trying to review what they have kept to locate an adequate record."⁹

archiefwettelijk toezicht in 2006, The Hague, 2007.

⁸ See for example: HAM F. Gerald, 'The archival edge' in *The American Archivist*, 38, 1975. According to Ham "Our most important and intellectually demanding task as archivists is to make an informed selection of information that will provide the future with a representative record of human experience in our time."; MENNE-HARITZ Angelika, 'Appraisal or documentation: can we appraise archives by selecting content?' in *The American Archivist*, 57, 1994. Menne Haritz stated: "The question of whether archivists should appraise archives or document society is another way of asking whether archivists should take a content-oriented or more formal approach in building and shaping archival fonds". COX Richard J., 'The documentation strategy and archival appraisal principles: a different perspective' in Randall C. Jimerson, (ed.) *American archival studies. Readings in theory and practice*, Chicago, 2005. See also the interesting articles written by Hans Booms and published in *Archivaria*: 'Society and the formation of a documentary heritage: issues in the appraisal of archival sources' in *Archivaria*, 24, 1987, and 'Überlieferungsbildung: keeping archives as a social and political activity' in *Archivaria*, 33, 1991-1992.

⁹ BEARMAN David, *Archival methods, archives & museums informatics technical report 3*, 1989.

The committee came up with a much broader objective than PIVOT. The new objective better accommodates the vision that the archivist's primary goal is to document a specific period in a society's history. The objective is stated as follows: "the goal of appraisal, selection and acquisition is to collect and preserve sources that make it possible for individuals, organizations and social groups to discover their history and reconstruct the past of the state and society, as well as the interaction between the two. In doing so, the records to be preserved must be:

- a. representative of what is recorded in the society,
- b. representative of the activities of the members (people and organizations) of that society,
- c. considered by observers to be important, unique or extraordinary as they reflect important developments, activities, people and organizations in that society."

The important concepts are the words *representative* and *unique*.¹⁰ They are both relative concepts that only have meaning in relation to a specific time and location. "Representative" documents display certain characteristics that are common to a group or a larger whole. The documents represent the greatest common denominator, the ordinary. They are perhaps even so common that they are difficult to notice. "Unique" items, on the other hand, are the unusual documents, deviating from the average; they are special. Both concepts are vital to the selection objective. Future historians trying to understand a society in a certain time period must be able to have access to the traces of daily life as well as the extraordinary phenomenon. This objective is not limited only to a portion of the society (such as the government), but to society as a whole.

¹⁰ Bearman describes the complex problem of the use of the term 'representativity' in archivistics in his *Archival methods, archives & museums informatics technical report 3*, 1989.

Appraisal and selection in a digital environment

According to some, worrying about selection and destruction of information is a waste of time and energy in our digital age, as it is increasingly easy and inexpensive to store digital information. Appraisal, selection, and destruction will all be unnecessary in the future. The committee is very clear on this subject. Appraisal and selection will remain a necessity, even in a digital environment. The committee has attempted to compare the costs of long-term preservation of digital archives with the costs of maintaining an analogue collection, and has come to the conclusion that there is currently no suitable cost model to come to a substantiated conclusion on the costs of long-term storage. The models that are available, however, uniformly suggest that the costs of administering digital archives are probably underestimated rather than overestimated, and that storage of digital materials is not any less expensive than storage of paper materials.¹¹ A more fundamental argument for the continued importance of selection in the digital environment is the disproportionate effort needed to make and keep digital archives accessible for future users. Some of the metadata crucial for accessibility can (and will) be added automatically, but the human factor will continue to be important, so labour costs will have to be taken into consideration. The explosive growth of the quantity of documentary information compared to the efforts necessary to make this information accessible leads us to the conclusion that selection in a digital environment is

¹¹ Recently, two important advisory bodies for the Dutch government (the Public Administration Council and the Council for Culture) referred to the high costs of administering digital information in a joint report: *Informatie: grondstof met toekomst-waarde* (Information: raw material worth investing in), The Hague, 2008. The report cites Jim Gray, Microsoft's director of research, who stated that the costs of accessing, administering, and maintaining one terabyte amounts to approximately three hundred thousand dollars per year.

a precondition for accessibility. There is then no reason, even disregarding all of the legal obligations, not to take selection just as seriously in a digital environment as in paper archives.

Integral approach

The committee has examined appraisal and selection from the perspective of an integral responsibility for archives. Although the governmental vision *Informatie op orde* is geared toward the national government's situation, the committee dealt with the issue of appraisal and selection from a professional archivist's point of view. The method developed is therefore in principle applicable for other levels of government as well.

But there is more. The new objective implies that in the system of appraisal and selection, there should be no substantial differentiation between government archives and nongovernment archives. Naturally, the toolkit differs between the two. What we call selection, the execution of appraisal decisions relating to government archives, is prescribed in legislation and regulations. The corresponding activity regarding the selection and safekeeping of important archives of private institutions is called acquisition. But currently there is no law in the Netherlands stimulating or regulating this process of acquisition of nongovernmental archives.

In the committee's opinion, selection and acquisition are two sides to the same coin, and should therefore be treated with the same consideration. The method to be developed should enable appraisal and selection along either of these two tracks.

Priorization and step-by-step appraisal

One of the most important changes to the previous method is that we no longer strive for an exhaustive overview of all functions and actors within government (or society) before starting to appraise

anything. Attempts at comprehensiveness have contributed to the inefficiency of the current system that we noted before. The committee proposes that the new approach will be primarily intended to actively seek out those parts of society to be documented, working top-down from society as a whole to working-processes within a single organization. The accountability for the choices made will require extra emphasis, and in conformity with PIVOT all those choices should be well documented.

In contrast to the current system, the committee has differentiated three levels of appraisal (at the macro level of society as a whole, at the meso level of actors and record creators, and at the micro level of work processes and archival documents). The twin concepts of representivity and uniqueness are to be applied to all three levels, creating a step-by-step appraisal system.

The step-by-step appraisal system is essentially very simple and is based on the principle of making choices of what is worth preserving due to its representivity or its uniqueness. At the level of society as a whole, the National Archives makes use of socio-historical analyses to decide which areas within society most deserve to be documented. This requires a thorough study of the most important trends, developments, and changes in society. The National Archives then performs an institutional survey (in which the reports and other sources of knowledge produced by PIVOT are a vital aspect) to identify the actors and record creators that are considered to be representative and/or unique within the social areas defined as important on the previous level. It should be noted that institutional research and knowledge remain vital, as part of the contextual information without which a well-founded appraisal and selection is impossible. Thanks to PIVOT, the National Archives possesses a series of Institutional Research Reports (IRRs) that deal with almost all of the government's activities, and these reports will remain a useful resource. An important challenge

lies in mapping out relevant nongovernmental organizations that are currently absent in the IRRs.

Finally, on the third level, for each of the actors identified as important, the National Archives must determine which of the work processes are producing information that is worth preserving - this appraisal again being based on representivity and uniqueness. In so doing, we look for specific "hot spots" described by Terry Cook: the citizen-state interaction in which the programme (function), agency (structure), and the citizen are involved.¹² For each level of appraisal the committee has developed a set of specific selection criteria. It should be stressed that the role of the archivist will become more active than in the current system. He or she plays an active part in the appraisal process at every step.

Future developments?

The method developed is still largely an exercise on paper. Some elements have been tested, either in the Netherlands or abroad, but other elements and some of the proposed instruments are completely new. At the moment, a team of researchers at the National Archives are carrying out pilot projects that should eventually lead to a translation of the vision to a workable system.¹³ Currently being addressed is how to make suitable for operational use our rather abstract concepts of *representative*, *unique*, and *hot spot*, as is the issue of which analyses we could use to discern important trends and developments within society. Another equally important issue to study is the possible integration of the step-by-step appraisal system with elements of risk management models. In the near future

¹² COOK Terry, 'Mind over matter: towards a new theory of archival appraisal' in *The archival imagination: essays in honour of Hugh A. Taylor*, Ottawa, Association of Canadian Archivists, 1992.

¹³ The members of this team are: Noor Schreuder, Robbert Jan Hageman, Ruud Yap, Pieter van Koetsveld, Karen. Zwart, Angela Dellebeke, Natasja Pels, and Charles Jeurgens.

we will be able to determine how and how far the recommendations of the Appraisal and Selection Committee can be applied to the practice of appraisal and selection at the National Archives, and what will be kept of our PIVOT method under new circumstances.

Green archives buildings: archive buildings and sustainable development

France Saïe Belaisch

■ France Saïe Belaisch is an architect in the French Ministry of Culture and Communication. She has worked for six years in the Directorate of the Archives of France where she has oversight of building projects for departmental and municipal archives. Previously she spent five years in the Centre of Research on Historical Monuments. In 2004 she co-authored a book about archives buildings in France built between 1986 and 2003.

There is a long tradition of building archives in France. Under the influence of Michel Duchein, many were built as towers between 1965 and 1985; many of these now require updating, specifically because of problems with thermal insulation. Subsequent building was lower-rise. A variety of approaches are in evidence today, taking different approaches to sustainability. Studies into conditions for storage areas have resulted in the revision of environmental control standards and studies into load-bearing have allowed economies in building material. Old buildings with thick walls often provide good conditions for archival storage and are sustainable because they reuse of existing materials. In addition users and staff benefit from the architectural merits of such accommodation. In contemporary buildings there needs to be a recognition of the differences between passive and positive energy buildings as well as the difference between solar and photovoltaic energy. It remains the case however that sustainable buildings must be buildings which we also wish to preserve; even today, architecture cannot be reduced to questions of sustainable development.

The topic of this article is archives buildings in France and more precisely the impact of sustainable development on their conception. Everybody knows what an archive building is and the importance of sustainable development: it saves energy, natural resources and our planet. In France we have had a long tradition of archives buildings, throughout the twentieth century. Those premises have been actively used for many years and a few of them are still in use. Of course they often have been renovated in order to conform to current standards.

Between 1965 and 1985 there was a substantial increase in the construction of archive buildings. Michel Duchein of the Directorate of French Archives had published a book on the subject of archival buildings in 1965. This book was the first of its kind and had an important influence in the area of archival building construction. Duchein proposed several models, including a tower-like structure that inspired the construction of many archives buildings which are now both symbols and landmarks in their cities and departments (e.g. Saône-et-Loire, Fig 1). Now, 30 years after their construction, many of these towers need updating for a variety of reasons. Sometimes more space is needed for storage or for work and cultural activities. But one of the main problems is the lack of thermal insulation.

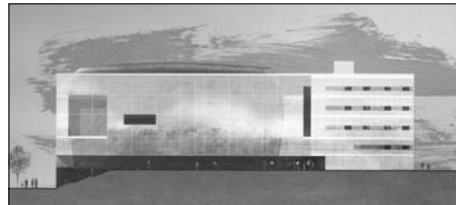
Architecturally speaking, the 'tower' solution was progressively dismissed in favour of lower-rise buildings. Following this period 1965-1985 many interesting and original archives buildings have been built, allowing archives to become more visible and fully recognized as a cultural service. The consideration of environmental questions is not a totally recent concept. For instance, the archives of the Aude Department, a new building opened in 2003, was designed with a very well isolated storage area. But the fact is that methods of building have changed a lot in the last few years, mainly for environmental reasons.

Fig 1: Archives départementales de Saône-et-Loire



Another recent project is the departmental archives building in Marseille (Fig 2). The storage areas were conceived within a sort of isolating shell to protect the documents from light and offer them stable climatic conditions. The red-tinted concrete shell behind the glass façades. This major project successfully blends both opaqueness and transparency.

Fig 2: Bâtiment des Archives départementales de Marseille



To understand the environmental context we need a few figures. In France, storage areas represent between 60% and 70% of the total area of archives buildings. Ninety-five per cent of our documents are on paper or parchment (but much less parchment than paper). Storage areas are divided into compartments of 200m² for fire safety reasons. A storage room measuring 200m² equipped with fixed shelving can hold 40 tons of paper and 4 tons of water. With mobile shelving this same storage area can hold 72 tons of paper and 7.2 tons of water.

One important step in making archives buildings sustainable in France resulted from a study conducted on floor resistance in 2004. This study, led by two groups of engineers under archival supervision, allowed us to optimize performance and to save material. Our recommendations are now 900 kg/m² for static shelving and 1300 kg /m² for mobile shelving.

Our former recommendations about environmental climate were:

- ▶ temperature : 18 ° C + or - 2°
- ▶ relative humidity : 55 % + or - 5 %

so a full air conditioning system was often considered the only answer. But this kind of system is expensive to install and maintain and energy-intensive to run.

We now recommend a level of flexibility to avoid expensive system of air conditioning and elaborate maintenance. We accept slow variations in temperature, within certain acceptable limits:

- ▶ temperature must be kept between 16°C and 22/23° C
- ▶ relative humidity between 40% and 57%

It is very important to:

- ▶ avoid large temperature deviation and thermal shocks
- ▶ correlate temperature and hygrometry
- ▶ control climatic conditions on a ROOM by ROOM basis

Our recommendations are now

- ▶ air intake: 0. 25 volume/hour or even reduce to 0.10 volume/hour
- ▶ air circulation: 3 volumes/hours

It is possible to

- ▶ use ventilation to refresh the atmosphere
- ▶ use humidifiers or dehumidifiers if necessary
- ▶ warm the store if necessary

In answer to the question "to air condition or not?" there is no single solution. It depends on the geographical region, on whether the building is a new or existing one, and on the existing or new building, and on the size of the archives service. A British specialist reflects our philosophy, saying, "Where the materials are boxed, it will not be the end of the world if, for a period of a week or two in summer, temperature in the repository peaks marginally above the upper limit recommended and then gradually readjust."¹

In a storage area, the distance recommended between the floor and the ceiling is 250cm. The height recommended for the racking is 220 or 225cm and the space between the tops of shelving and the ceiling is about 25cm to allow for good air circulation.

A good example of passive architecture is the Landesarchiv of Schleswig Holstein in the north of Germany. The old palace of princes accommodates public display areas, with a new building constructed specifically for the repositories. The main characteristics of the building are: a wall 86cm deep including 51cm of bricks, drying time: 3 years, the stores accessed four time a day. The air inside the building has remained stagnant since construction, except for when the doors are opened. This solution is not adaptable to France for many reasons, but in particular because access to storage areas is much more frequent due to the many requests for documents.

Converting historic buildings into archives allows us to benefit from the architectural qualities of these existing buildings. It also fits in within a context of sustainable development, since by making use of former buildings we can economize on materials. They usually have a very

¹ KITCHING Christopher, *Archive building in the UK 1993 – 2005*, Phillimore & Co., Chichester, 2007.

good thermal inertia because the walls are very thick. Additionally those premises are generally readily available.

For instance, the municipal archives of Marseille were placed in a former tobacco factory dating from 1930. Since it is now forbidden to smoke in all public spaces in France, we will have more and more tobacco factories to convert into archives buildings... This industrial building has allowed the architects to create very impressive public spaces; large public areas are decorated partly with tobacco leaves.. The big reading room is divided in two spaces according to different kinds of readers (traditional media versus online consultation).

At first sight a former water tank in Toulouse (Fig 3) was certainly a strange choice to keep archives for the city. But the water tank being dry, the result has been very good indeed. The storage areas are situated in the lower part of the former water tank and new premises have been built above for offices and public areas.

Fig 3a, 3b, 3c Archives municipales de Toulouse



Another example of a former textile factory in the north of France – a classified historical building – also shows that age is certainly not in itself a disadvantage. The architect has created a canopy for the entrance and the reading room is visible from the outside with a kind of big sloping bow window.

And if necessary, it is even possible to hide the storage area as was done in a conversion of historical buildings of a 17th century castle near Paris. The climatic conditions should have been good but they rely maybe too much on mechanical systems. The depth of the hole for the eight levels of storage is 32 meters.

Another example comes from the department of the Lot which converted a chapel in 1952 and built a new depository in 1992. It is architecturally very attractive but shows the limitations of such an exercise as it is now very difficult to find expansion space.

Last but not least, the very new archives building in the Landes (Fig 4) where an abandoned barracks was used as a shell to build new repositories, with a new building specifically constructed for the other

functions. The façade is a glass wall into which is integrated the text of a charter of the fifteen century. The architect has created a box in the box for the repositories and although the old military building has good thermal inertia, it is also fully air conditioned (a kind of 'belt and braces' approach).

Fig 4 Archives départementales des Landes



Other numerous rehabilitation projects have been completed or are planned, in particular for municipal archives: a former biscuit factory in Calais, in Dunkerque a former sugar warehouse, the former head office of a newspaper in Nouméa in New Caledonia.

For new buildings, what architectural methods are available? They include

- ▶ the orientation of the building
- ▶ the design of the building: compact and inert buildings, with thermal insulation
- ▶ façades with photovoltaic cells or solar cells
- ▶ planted terraces which constitute an excellent thermal insulation and hold back rainwater.

However we must pay attention to overly sophisticated façades that could create maintenance problems in the future. And solar cells might not be an ideal solution especially since the price of the silicon, one of the key component for making them, is currently rising faster than the price of oil!

It is important to recognize two differences:

- 1) the difference between solar energy and photovoltaic :
 - ▶ a photovoltaic cell produces electricity that will be sold to an energy company.
 - ▶ a thermal solar cell will be used for the heating or the production of warm water.

2) the difference between a passive and a positive energy building

- ▶ a passive building spends energy as little as possible.
- ▶ a positive energy building actually creates energy.

An early example was the departmental archives in the Yvelines near Paris, which was one of the first buildings built intentionally without an air-conditioning system. The storage areas are protected by what has been called a 'double skin' – a very thick and elaborated wall with a lot of insulation and air spaces between the various thickness in concrete and brick. In other examples not yet built but which are coming soon, we have another example of the belt and braces approach, i.e. compact, with high thermal inertia and air conditioning systems. In the south of France, at least for the time being, there is no other technical alternative.

The future archives building for Electricity of France (EDF), in the North East of France, will be an example of a passive building. One of the engineers in charge of the project has explained, "The contribution of renewable energies is indisputable (whether thermal, photovoltaic, solar energy, geothermal science, Canadian well, windmill). But these technologies, as with all the systems must not be ostentatious".

In terms of cost, the whole life cost is that estimated for a building's entire projected life, say 20/25 years. On this basis, heavy initial capital costs can be seen in a much more favourable light than might at first appear. For instance, high thermal inertia minimises mechanical intervention but is more expensive. A low maintenance cost of is now much more desirable. It is a decisive factor in architecture competitions, but often immediate cost still wins out. Pritzker prize-winning architect Jean Nouvel, sums up the feelings of many architects, "Everybody knows that in sustainable development, there is a relationship between the global cost and the investment cost. We shall not find a public or private

developer who is going to agree to pay 15 or 20% more for a building. It is still and always immediate profitability which drives choices..."

As far as interior arrangements are concerned, in storage areas we can now notice variations on open-work uprights for shelving and racking allowing the use of computers and other technology. (Fig 5).

Fig 5 Archives départementales des Landes



Not only do we have sustainable development, "Sustainable art", demonstrated by commissioned works of art in departmental archives. This is 'the cultural one percent', 1% being that part of the budget allocated to the creation of a specific work of art related to the archives. (e.g. Fig 6)

Fig 6. Le Passage by Michèle Forgeois (1992), Archives départementales de Dordogne



Another trend is the use of light, especially Light Emitting Diode technology, as on the refurbished tower for the departmental archives at Rouen in Normandy (Fig 7), or in the departmental archives in the Sarthe. Can we say that archives light up

the world? It might be a bit too much but why not in these cases!

Fig 7 Archives départementales de Seine Maritime



Building sustainable archives buildings is a complex issue, with no one-size-fits all answer. The archives for the department of Le Nord, coming soon, is an interesting example of a green archives building which deserves a presentation in itself.

To conclude, I will quote first Jean Nouvel, and then our French Minister of Culture Christine Albanel.² For our famous architect, "sustainable development is making buildings that we have the desire to preserve" and according to the Minister, "Architecture cannot be reduced, even today, to questions of sustainable development." I am convinced that it is true for every building with or without archives.

² Frederic Mitterand is now Minister of Culture but when this article was written Christine Albanel was in charge of this Ministry.

Disaster planning of electronic records management

Sungun Nam, Dai Hyun Yoon

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■ Dai Hyun Yoon is Director General of Archives and Records Management Department, National Archives of Korea

Because of an electronic government project in Korea, the number of electronic records has rapidly increased there, and archiving work has changed from paper records-based archiving to electronic records archiving. Disaster recovery planning is essential to protect important electronic records. A disaster recovery system for electronic records must allow for the efficient operation of electronic records management in normal circumstances, maintain business continuity under any circumstances, and recover required business records and data within a day of a disaster. The author analyses the nature of risk facing electronic records in Korea and how these influence archiving work. He explains the strategy of business continuity, systematic disaster response and procedures. As an example, the current disaster recovery planning procedure for electronic records in the National Archives of Korea in the Daejeon headquarters, and branches in Seongnam and Busan, is presented, followed by the plan for the architecture of the disaster recovery system (DRS) and an indication of future developments.

Introduction

This article describes the disaster prevention plan of electronic records undertaken by the National Archives of Korea in the Republic of Korea. It represents the full content of a presentation given at the 2008 ICA Congress.

The electronic government initiative of the Republic of Korea began in 1999 based on a "master plan of the electronic government," and enacted by "the law of electronic government initiative." The infrastructure buildup projects for the electronic government initiative were done in two stages, the first from 1998 to 2002, and the second from 2003 to 2007. There have been thirty-three detailed projects in six areas. One project was "digitization of all business processes," aimed at carrying out all affairs of government institutions electronically, promoted since 2002. With this, documents produced by government institutions as part of their business have been rapidly replaced with electronic documents. Thus, the paradigm of a records management system required a conversion of the existing paper-based records management system to an electronic records management system in which all processes of creation, preservation, and use are handled electronically.

In 2003, the records management system (RMS) standard model was developed, and was distributed to government agencies beginning in 2004. This RMS model was upgraded to version 2 in 2006 and was first applied to the system of central government agencies in 2007. In addition, the National Archives of Korea developed and operated the central archives management system (CAMS) in 2006 for efficient management of all records. This CAMS connects with the RMS through a network, and can be operated online. Thus, electronic records migration between the National Archives of Korea and government agencies can be processed online. In addition, beginning in 1998, the National Archives of Korea took over the management and service of the

inventory database buildup and the digitization of paper-based records. As a result, the volume of electronic records that are preserved and managed by the National Archives of Korea has increased rapidly and continuously.

These valuable long-term electronic records, including scanned image files, must be protected from accidental disasters and delivered to the next generation as community memories. This is why we have a need for a disaster recovery system for electronic records.

General purpose of a disaster recovery system

A disaster recovery system for electronic records must allow for the efficient operation of electronic records management in normal days, maintain business continuity under any circumstances, and recover required business records and data in one day when disaster happens. To achieve that we must have a data backup and distribution system, build data preservation and recovery infrastructure, and prepare emergency response organization processes for prompt reaction under disaster circumstances. Our ultimate goal is to continuously provide the safe preservation and access service of electronic records (archives).

Status of electronic records

Currently the National Archives of Korea holds about seven million paper and audio-visual records, all catalogs are data based, and about 30% of paper-based records have been digitized. The preserved digital media are magneto-optical disks (MOD) and digital versatile disks (DVD) and the total size of the data is about 14TB (MOD is 46%, DVD is 24%, and storage is 30%). Figure 1 shows the volume of holdings, the rate of digitization, and the recording rate of media.

Figure 2 shows the yearly increase of the volume of electronic records produced by government agencies and of the trans-

Figure 1 Holdings and digital medium preserved by the National Archives of Korea

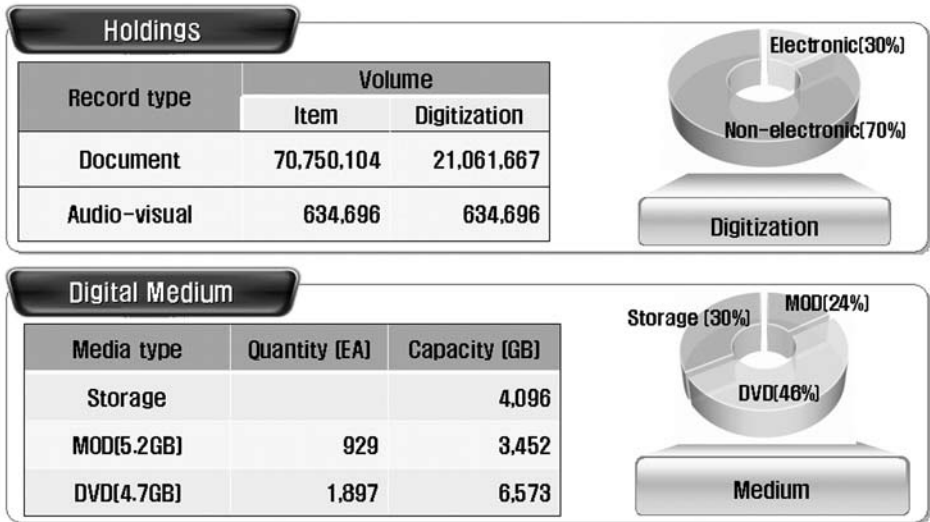
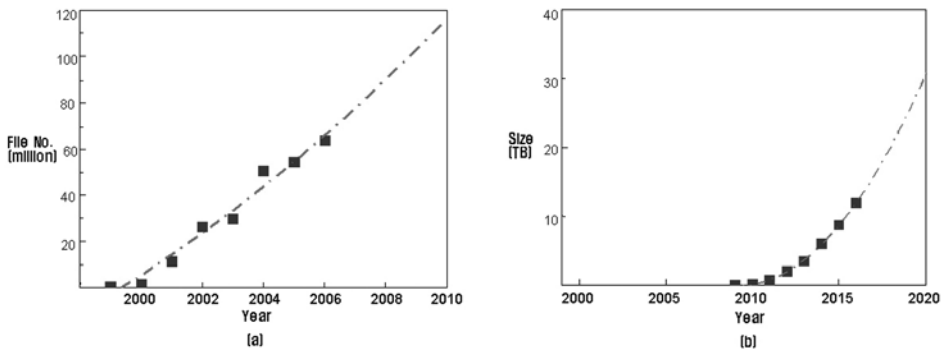


Figure 2 (a) The volume of electronic records produced by government agencies; and (b) the volume transferred to the National Archives of Korea



fer volume to the National Archives of Korea. Figure 2(a) shows the increase in the total volume produced by administration agencies of the central and the regional governments every year. For example, the total volume produced is expected to increase from 60 million in 2006 to 1 billion in 2010. Figure 2(b) shows the total file size that was transferred to the National Archives of Korea, which is expected to increase to 10TB in 2015. The results clearly show that electronic records management

will remain a primary job of the National Archives of Korea, and that their disaster prevention will be essential.

Analysis of risk and influence

There are various risk factors caused by natural, artificial, and technological disasters. Out of about fifty-three risk factors defined by the international disaster management standard (ISO/PAS 22300)

and the Korea disaster and safety management regulations, nine risks are identified as critical, considering the high possibility of occurrence and the extent of possible damage. Natural disasters include earthquakes, floods, and epidemics; artificial disasters include strikes/slowdown strikes, terrorism, and fire; and technological disasters include power failure, telecommunication network malfunction, and ventilation failure. The relationship between the nine risk factors and causing elements are outlined below:

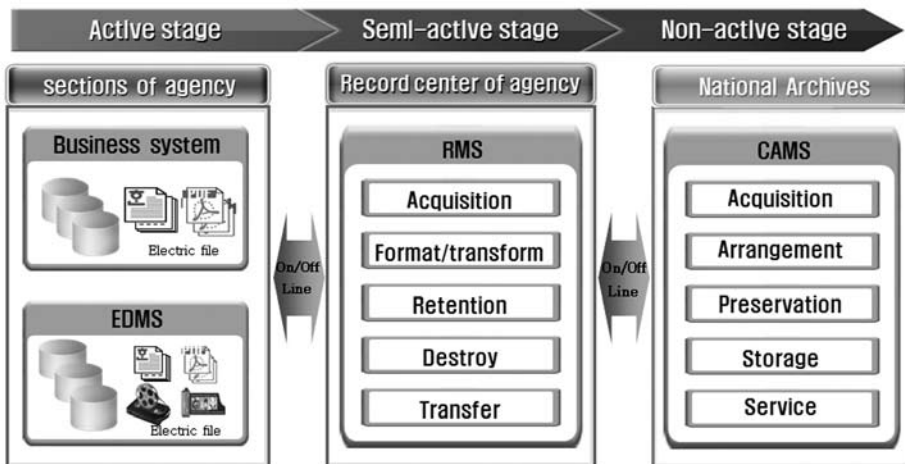
- ▶ Earthquakes: operational system destruction by building collapse
- ▶ Floods: system failure by flooding of common duct
- ▶ Epidemics: operation failure due to lack of workforce
- ▶ Strikes/Slowdown strikes: failure of operation and preservation/recovery by lack of workforce
- ▶ Terrorism: cyber, environment, nuclear, and biochemical risks
- ▶ Fire: loss of computer and telecommunication equipment
- ▶ Power failure: system operation failure by long-term power failure

- ▶ Telecommunication failure: backup and recovery risks
- ▶ Ventilation failure: operation system failure

To facilitate understanding of how the risk factors can affect records management at the National Archives of Korea, the work flow of the electronic records management and business system of the National Archives of Korea is addressed here. Electronic records management is built in a way that active, semi-active, and non-active stages are connected online to enable business to be handled. Figure 3 shows the work flow of electronic records. The electronic records are produced by the On-nara business system and the electronic document system of government agencies, and those are transferred immediately to the records management system (RMS) of the records center of the agency online or off-line. Ultimately the records can be transferred to the central archives management system (CAMS) of the National Archives of Korea online or off-line.

CAMS and the portal site are a core part among the various systems operated by the National Archives of Korea for records management. Figure 4 shows the relation

Figure 3 Diagram of the electronic records work flow of the agency, records center of agency, and the National Archives of Korea



between each business system of the National Archives of Korea and the interface with them. The National Archives of Korea deals with various archives management functions electronically; acquisition of collections, transfer registration, preservation management, storage management, description, and access utilization are managed through the CAMS. The archives processed and preserved in this way are provided to the government and public through the NARA archives portal system. Through various search functions such as government agencies, subjects, business function, and collection/topic retrievals, it is possible to search the appropriate archives and to use the access service. To assure the integrity and authenticity of electronic records, a long-term validation system of digital signatures is in use.

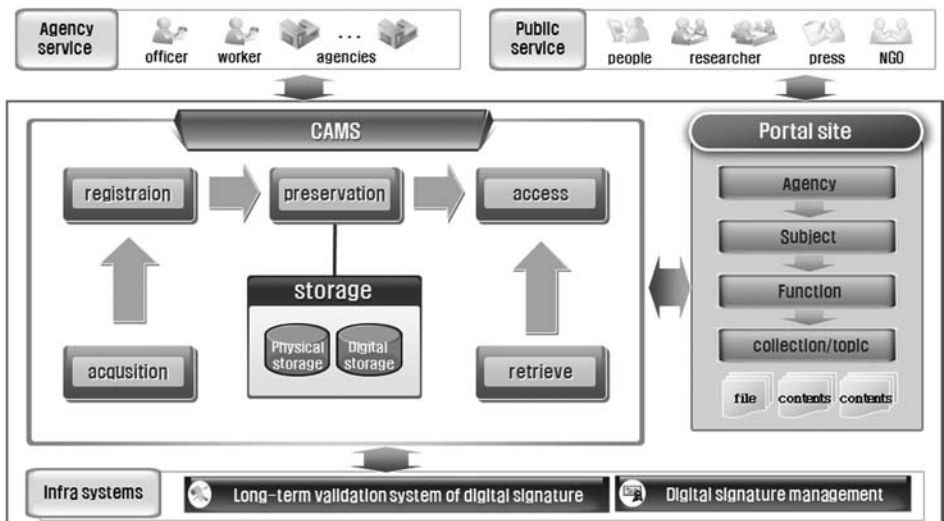
To assess the impact the analysis of risk factors had on our work, we carried out loss evaluation, loss level calculation, application to work relation, and evaluation of work impact in that order. Analysis shows that CAMS, which comprehensively deals with the National Archives of Korea's archives management, is the number one priority of

recovery. Detailed analysis for each major function of archives management is as follows. The first level is transfer registration, arrangement, recording on medium, repository management, and storage access and search management, with the recovery time objective being one day and the recovery system level hot-site/online replication. The second level is contents management, long-term validation systems of digital signatures management, and management of records disposal authority, with the recovery time objective one week and the recovery system level hot-site/online replication. The third level is acquisition, reformatting, and radio frequency identification (RFID) management, with the recovery time objective one month and the recovery system level cold-site.

Business continuity planning

Business continuity planning (BCP) strategy has been established to ensure the safe preservation and service of important electronic archives of the National Archives of Korea. To realize this vision,

Figure 3 Diagram of the electronic records work flow of the agency, records center of agency, and the National Archives of Korea



three strategies and detailed objectives are in place, as shown in figure 5. The first is to build an organizational system for disaster management by bolstering the organization in charge of disaster response, and by conducting training and education in a real environment. The second is to put a disaster management process in place by establishing business procedures in case disaster occurs and by conducting regular mock-up training to make related personnel learn by experience. The third is to build a real-time backup system and infrastructure that enables one-day recovery by setting up a site dedicated to Daejeon-Seongnam disaster recovery.

The steps of disaster management are prevention, preparation, response, and recovery. The system currently in place for each step is outlined below:

1. As a prevention step, the repository building where the computer room is located is designed to be earthquake-proof. As a preparation for possible blackout, power cables have been doubled, and multi-level security equipment is installed against possible terrorism.

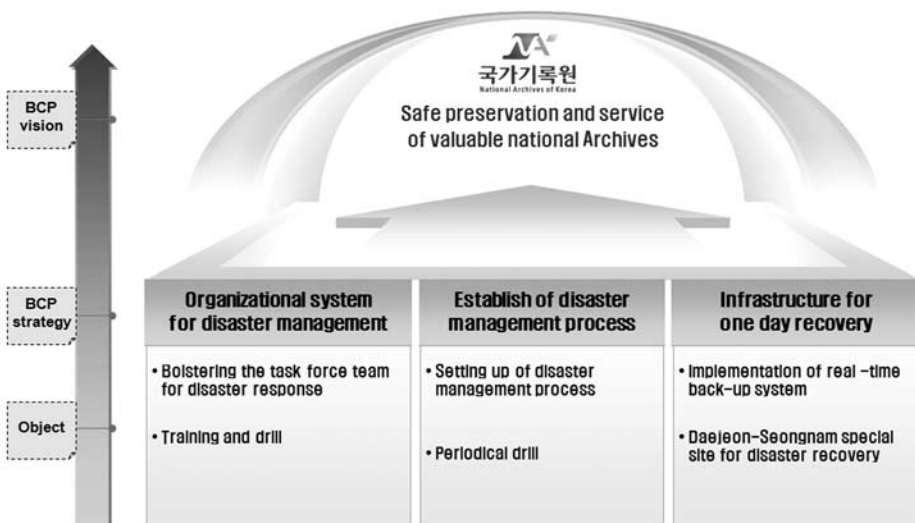
2. As a preparation step, a reformatting function for preservation is performed in order to protect electronic archives content. Also, the backup of systems and data and recording in a portable medium make remote and dispersed preservation possible. In addition, we are training experts for the recovery of electronic medium and files.

3. As a response step, emergency organization and contact lists are set up and running to enable organized activity and emergency contacts, without confusion, if an emergency situation should occur. Also, a system is running to ensure assistance from an outside specialized company.

4. As a recovery step, the recovery team is established to enable the recovery of data and system components damaged by disaster. For example, the electronic medium recovery center is currently in operation for diagnosis and recovery of electronic medium including damaged CDs, DVDs, hard disks and tapes. In the future, DRS, which will enable real-time remote backup, will be built and run.

Importantly, we now operate the

Figure 5 Vision, strategies, and objectives of the business continuity planning strategy



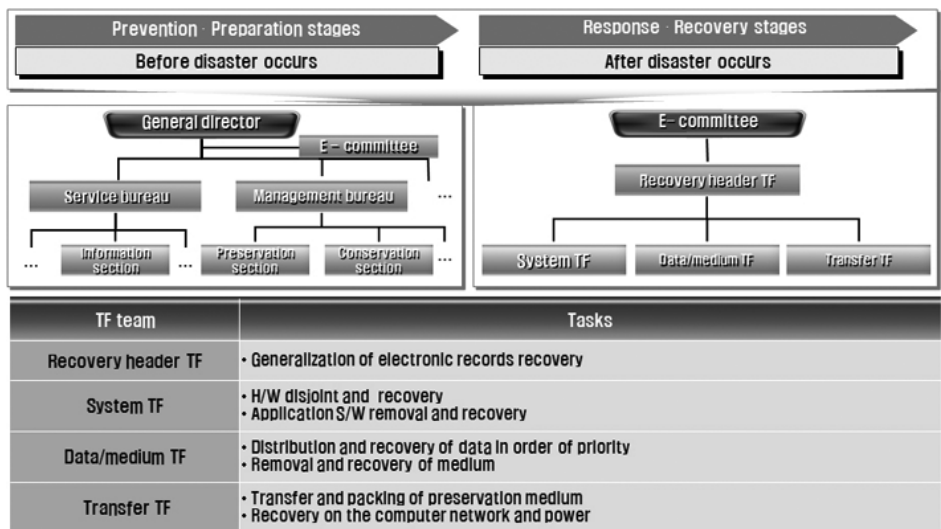
emergency management organization for efficient response in disaster situations, as shown in figure 6. Before disaster occurs, this organization would conduct business under the normal organizational system. When disaster occurs, it will be switched into the emergency organization for response to and recovery from disaster. As described in the chart, there is a department in charge of electronic archives recovery under the emergency management committee, under which there are three teams. The first is the system recovery team, the second is the data/medium recovery team, and the third is the medium dispersion/transfer team. The system recovery team will recover systems including hardware and software. The data/medium recovery team will disperse and recover data and medium, in order of priority. The medium dispersion/transfer team will transfer the preservation medium into a safe place, and recover facilities including other computer networks and power.

Considering the characteristics of the medium which holds electronic archives, the disaster recovery process can be classified into online and off-line methods. See

Figure 7 overleaf. There is a step-by-step management procedure for online electronic archives in case a disaster hits. The preservation storage of the National Archives of Korea includes electronic text files, image files, and audio-visual files, among others. In ordinary days, prevention and preparation are at work through data backup. In a disaster situation, the electronic archives recovery team is put into operation, and the disaster recovery system (DRS) is activated, making preparations to ensure normal operation of this system. If there is loss of data or medium, the electronic medium recovery team runs recovery work. When the state of disaster ends, the operation of this system is analyzed for possible problems, and accordingly the availability of recovery through the DRS is assessed, and this system is put back in normal operation.

There is a step-by-step management procedure for electronic archives which are stored off-line, in a portable medium, when affected by disaster. The National Archives of Korea has held and preserved digitized image files, video files, and voice files of paper-based archives and audio-visual

Figure 6 Emergency management organization and role of recovery task force

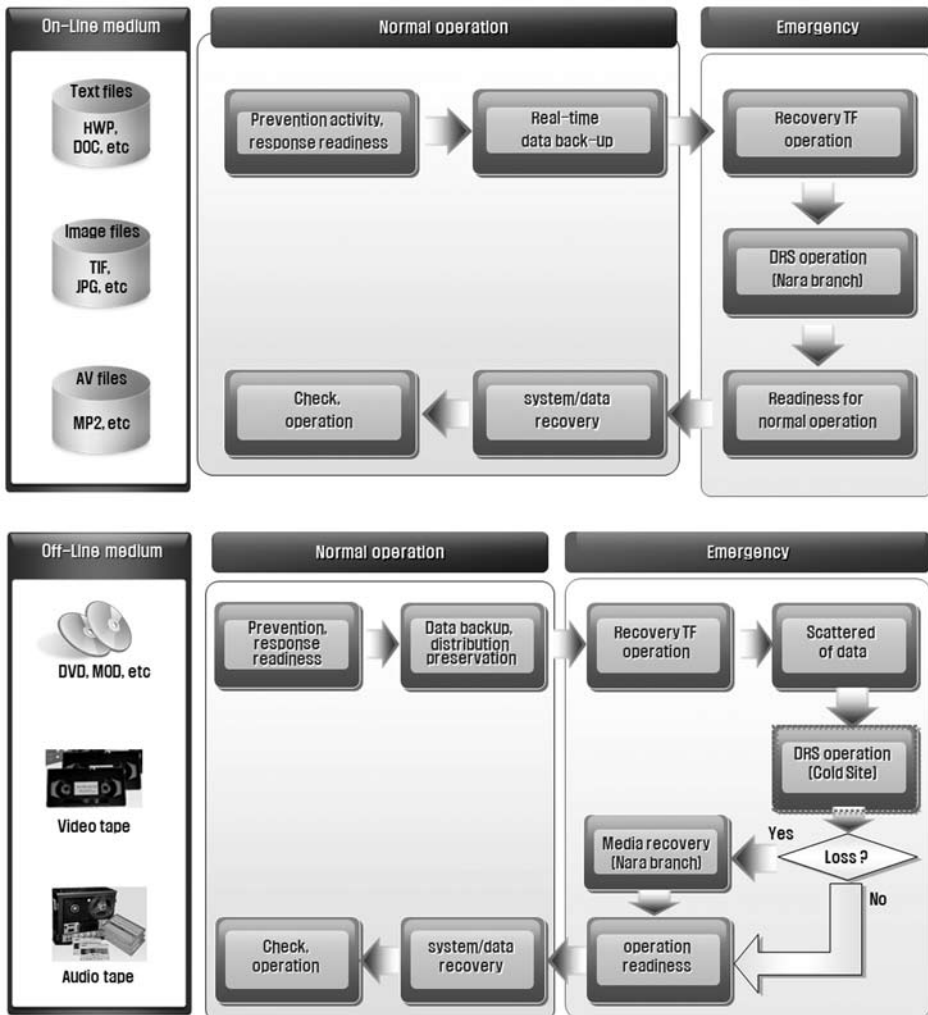


material in magneto-optical disk (MOD) and digital versatile disk (DVD) form since 1998. On days of normal operation, digitized data will be written in various media and distributed to the repositories of Daejeon, Busan, and Seongnam. When disaster hits, the electronic archives recovery team is back in operation and transfers the media of the affected repository into safe places. After checking the damage to the media, it carries out the recovery process, and

prepares to run operation normally. When the state of disaster ends, the possibility of normal operation is analyzed, and the work is normalized accordingly.

By conducting simulation drills under realistic circumstances, each member of the electronic archives recovery team can learn and be familiar with their duties, making them better able to efficiently respond if disaster occurs. The drill procedures include writing the drill scenario, the imita-

Figure 7 Diagram of disaster recovery process for (a) online and (b) off-line media



tion and performance of the drill scenario, the evaluation of the drill performance, and application of the results of the drill scenario. All procedures are repeated cyclically. Additionally, individual duty confirmation and desktop drills are carried out frequently during the course of a year. The simulation drills and confirmation of functions by response steps, which uses test data, are implemented twice a year. Regarding real business systems and data management, drills are carried out once a year. This is conducted simultaneously with Korea's annual war preparation drill, which takes place because Korea is a divided country under the armistice agreement.

Current status of disaster management

The National Archives of Korea currently runs repositories in Daejeon, Seongnam, and Busan, separately. The headquarters (HQ) of the National Archives of Korea is located in the Daejeon government complex.

The HQ has a main computer system which runs the central CAMS, portal site, digital signature long-term validation system, and RFID management system. The national archives portal system can provide internet-based access service and long-term validation of digital signatures to verify the integrity of electronic archives. The responsibility for the in-out of archives in each repository is handled through the RFID.

The NARA repository is located in Seongnam near the Seoul. This is the newest repository, opened in 2008, and it has cutting-edge equipment which can respond to risks like earthquakes, floods, terrorism, fires, and power failures. The NARA repository is equipped with a device to recover electronic medium such as CDs, DVDs, and hard disks, as well as a device to recover audio/visual material. See Figure 8.

The historical repository is located in Busan. It mainly preserves historical archives such as materials of the Chosun Dynasty, and electronic records of the scanned image files of valuable paper

Figure 8 Images of NARA repository in Seongnam, digital media recovery room, and audio-visual conservation room



records such as distribution policy. Because of its southern location, its other function is preservation of the electronic medium of important archives prepared for a war situation.

The current data backup policy (Figure 9) calls for daily, weekly and monthly system backups. Backup of CAMS, the center of preservation, and the National Archives portal, the center of the service, will be implemented in each location, focused on daily backup. Also, nationwide backup of each online system will be carried out

online through the network, on a weekly basis. Finally, the medium recording for dispersed preservation will proceed on a monthly basis through an off-line path.

Figure 10 illustrates the basic architecture for the disaster recovery system for electronic archives implementation model. On the left side of the network firewall there are the main systems of the Daejeon headquarters. Here, the NARA archives portal is connected with the external network, and the CAMS system is connected to the internal network. The

Figure 9 Data backup policy and distribution preservation of portable digital medium

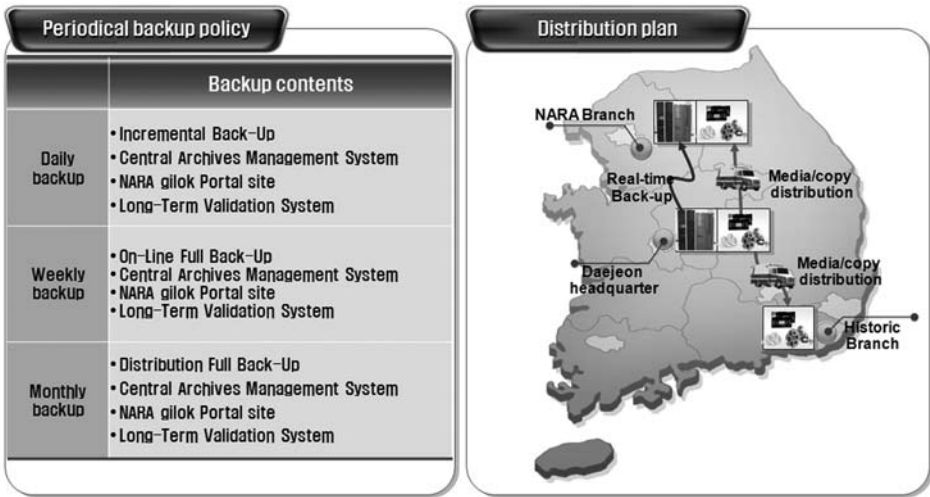
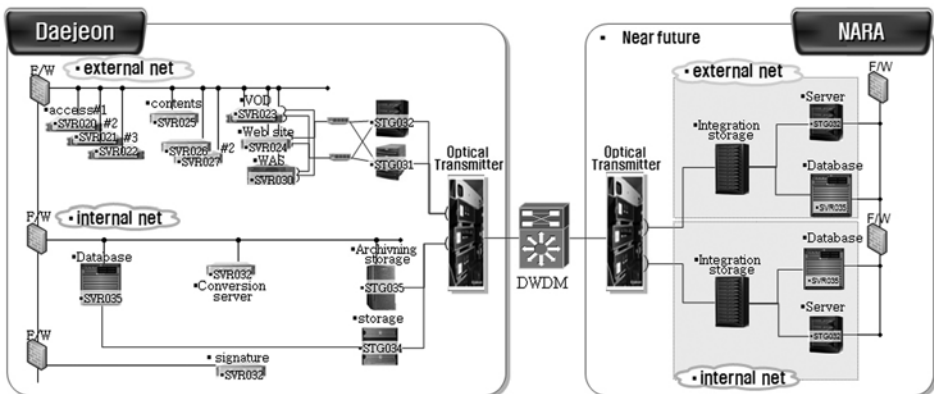


Figure 10 Implementation model of disaster recovery system for the National Archives of Korea



systems of the Daejeon headquarters are synchronized with availability of CAMS located in the Seongnam NARA repository through an optical gigabit active sync solution. The basic principle of this system is to share integrated server and storage space by sharing networks, to use online synchronization, and to secure a high-speed line dedicated to backup.

Future development roadmap

By the end of 2008, a study and a project to secure business continuity planning (BCP) will have been carried out. Based on this achievement, a BCP system will be established 2009; this will be applied to real archives management with the aim of securing business continuity. The next step is to build a DRS of important electronic archives between Daejeon and Seongnam. This will lay the foundation for establishing the development of a mirroring system, capable of full recovery, by 2011.

By implementing our plan, we intend to possess a leading electronic recovery system, including technology and management, in the archive field and to share it with the international community, thereby participating in the journey of globally developing electronic archives management.

Recordkeeping innovations and presidential records issues in Korea

Sangmin Lee

■ Sangmin Lee is Director of the Fawoo Technology RIM Research Centre in Korea. He was formerly a team leader of the Professional Committee for Government Records Management Innovation in the Presidential Committee for Government Innovation and Decentralization.

In the last ten years Korean government recordkeeping has undergone radical reforms. The new innovations were initiated and supported by the former president, Mr. Roh Moo Hyun, and the civil administration. The Public Records Management Act was revised to make it effective and the Presidential Records Act was passed in 2007. During this period, the National Archives of Korea (NAK) tripled in staff size and introduced government-wide records reforms. At the end of his term, the former president copied all of his presidential records in electronic form and kept them for his use while he transferred the “authenticated” presidential records to NAK. His former secretaries were charged with violation of the Presidential Records Act by NAK. The massive transferring and copying of the electronic presidential records triggered some serious and controversial political, legal, institutional, and technological issues in Korea.

Historical setting

Korean history was well recorded and preserved in a tradition of good recordkeeping. *The Authentic Records (Sillok)* were massive historical collections documenting the country from the sixteenth to the nineteenth century. The United Nations Educational, Scientific and Cultural Organization (UNESCO) registered them in the Memory of the World programme. Private collectors also preserved records at their homes and libraries.

Japanese colonial rule in Korea destroyed the traditional records systems, but the Japanese left their own records systems in Korea. From 1945 to 1948, the U.S. occupied the southern part of Korea. The American military produced many official records and took them back to the U.S. National Archives. Few records were left for the Korean government. During the Korean War, many public records as well as old and private archives were destroyed. In 1969, the Korean government established a microfilming office under the Ministry of Government Administration. It soon became the Government Archives of Korea. The Government Archives built its first repository in 1984 mainly as a national emergency preparedness programme against possible North Korean invasion.

First initiative: Public Records Management Act of 1999

In 1996, the new director general of the Government Archives, Kim Sun Young, launched a series of reforms in government records management. The reforms were a top-down initiative organized by Kim. Even the Ministry of Government Administration did not fully understand his work or its future impact. Kim served in the Government Archives for five years; some of his successors held the post for one year or less and demonstrated less commitment to the archives.

Kim recruited more than twenty profes-

sionals including fifteen historians. No qualified archivists had worked in the Government Archives before. Under his leadership, digitisation of archives holdings and government-wide records scheduling followed. In 1999, the Public Records Management Act (PRMA) was enacted; it became effective on 1 January 2000.

The PRMA 1999 regime

Records created in public agencies must be managed according to the PRMA. Court records, army records, and parliamentary records are covered by PRMA but are managed separately by the Court, the army, and the Parliament. The PRMA declares:

- ▶ There is national (public) ownership of public records; it is illegal to destroy them without appropriate legal process and/or approval of the Government Archives.
- ▶ Presidential records are public records as well.
- ▶ All public agencies should establish their own records centres.
- ▶ All "permanent" public records should be transferred to the Government Archives.
- ▶ Local government records should be transferred to the Government Archives.
- ▶ At least one qualified records/archives professional should be employed in each public agency.
- ▶ Legal qualifications are required for records/archives professionals employed in public agencies.

After the legislation was passed, however, these guidelines were largely ignored. No effective implementations of the PRMA laws followed, and no progress in public records management was made. The Government Archives, later the National Archives of Korea (NAK), was given no power and no support from the Ministry of Government Administration. No guidelines were issued and no professional staff engaged to implement the act until 2003. As a low-level department of the

Ministry of Government Administration (now the Ministry of Public Administration and Security), the Government Archives had little control over the records of important agencies and presidential records, and the PRMA was not well recognized by the public agencies.

Great leap: records advocacy for the president

In 2003, a new president, Roh Moo Hyun, was elected. Civilian groups submitted a records reform agenda to Roh's transition office. Later, a Professional Committee for Government Records Management Innovation (the "Professional Committee") was formed. The Roh administration tried to change the bureaucracy, emphasizing "reform through governance."

Many presidential committees were established to direct and monitor the reforms while the policies were implemented. Civilian records professionals joined the Professional Committee and established a significant reform roadmap that covered government records system innovations for better accountability, open public information regime, a refined national security classified records system, and utilization of historical records.

The president was much concerned with government record issues from a business efficiency perspective. He was very interested in accountability of the government and developed a business information system to accomplish it. He established the office of work innovation and office of records management in the office of the president. He wanted all government agencies to adopt the business information systems and the records management systems of the office of president as "a pioneering/guiding model." Later, Roh claimed to have designed the systems and demanded patent rights to it. This business information system became a key engine for implementing the reform in government.

In 2007, the PRMA of 1999 was amended

to make it more powerful and to facilitate its implementation, and a new Presidential Records Act was passed. The Presidential Archives was also established in NAK in November of that year.

A reverse course: A setback in the new administration

Roh supported NAK strongly, but he was never aware of the importance of professional advancement and archival independence from the influences of politicians and career administrators to achieve his goal of reform. He was also not much concerned with organizational changes in the national archives.

The Professional Committee's recommendations for independent national archives were neglected. The president did not recognize archives as a cultural and historical institution. The Ministry of Government Administration bureaucrats used the president's rulings to enhance their own organizational power, and Roh depended heavily on the Ministry bureaucrats to implement the government records reform. Nonetheless, the Ministry never allowed NAK out of its control.

The new administration faced a setback. Within several months, thirteen out of fourteen NAK professional supervising directors were removed and the positions filled with generalist administrators from the headquarter. The Ministry tried to weaken the National Records Committee and to remove the Presidential Records Committee, two effective governance committees designed to determine records policies and accessibility review issues independently from external influences.

A politically appointed minister, secretaries in the office of the president, and high-level administrators in the Ministry control and direct NAK. It has never been free from political and administrative directions and influences on policy, access, and contents. Professional archivists have lost all control and are generally helpless.

The professional staff in NAK has few powers to pursue archival principles and professional ethics. They simply follow the Ministry's directions.

Presidential records and archives issues revisited

Before Roh came to power, the presidential records held in NAK amounted to just two hundred thousand items. However, by the end of his term, the records amounted to over eight million items including 5.4 million web records, seven hundred thousand photographs and 2.2 million other textual records (including 1,663,341 electronic texts). When Roh left office, all "authentic" presidential electronic records were transferred to the Government Archives through authentication and conversion processes using the VERS (Victorian Electronic Records Strategy) methodology. It was the first massive transfer of presidential records held in the records management systems in the office of the president as well as many other presidential advisory organizations.

What NAK did not know was that President Roh copied all electronic records and took them home. Some argued that NAK knew but did not object while the president was still in office.

The new administration in place after the election discovered records had been copied or "illegally stolen." Political conflicts between the old and new administrations were already troublesome, and the new administration blamed Roh for "stealing" the records, leaving nothing for the new office of the president to use for the national business. Roh was labelled a "thief." The new office of the president and the conservative newspaper reports did not mention that Roh had transferred the records and kept only electronic copies. The new administration urged NAK to "recover" or "replenish" the "stolen" records.

Many people who were unaware of the National Archives of Korea, the records acts, or the presidential records were drawn

into the controversy and angered by the allegations of theft. Suddenly, presidential records and public archives became very hot national issues.

Presidential access privilege and the records management system

From a professional perspective, the debate was over presidential access privilege, criminality of unauthorized copying of public records, and the legal status of copied electronic records. The copies contained much classified information and records containing private information of thousands of people.

Roh called the theft charge "mean political revenge." He argued that he had the presidential privilege to use the records of his administration as guaranteed in the Presidential Records Act. He complained that NAK did not give him access to his own records as the act directs.

The PRA stipulates only that "unauthorized removal or destruction of the presidential records shall be prosecuted." It is not clear if this includes copies of the records or whether it is legal for a president to copy his own records while he is in office. It is not clear whether a former president holding copies of presidential records is acting criminally or in violation of the act. No one has been charged for holding presidential record copies in violation of the Public Records Management Act before. None of former presidents has ever been charged even for holding their original records.

Some presidential electronic records are protected by the PRA as "presidential records designated for protection." These records can be closed to public scrutiny for up to fifteen years. They are technically "protected" by coding systems and are not accessible by ordinary systems. Designated records are ciphered using a special system developed by the National Intelligence Service. Only the Presidential Archives Management System in the

Presidential Archives can manage them. After each presidential term, NAK will keep the ciphered records but will not have access to them unless authorized. Thus, they are not usable legally and technically.

Roh copied the records without the coding and ciphering so he could access them with the records management system (RMS) he privately copied from the office of the president. Legal ownership and "privileged use" of the records management system was also questioned. Roh claimed that he invented the system and has a patent, although it was developed for the office of the president using government money. The personal claim on the RMS and presidential privilege of using or copying the RMS has yet to be examined and clarified.

Legal process ongoing

Eventually, under legal and political pressure, Roh returned the electronic copies to NAK on twenty-eight hard drives, but the prosecutor's office continued its investigation. The prosecutor's office confiscated all returned hard drives to see whether there were any records not transferred to NAK. It was approved by the High Court as stipulated and allowed in the act. The prosecutor's office also confiscated all Roh's Internet servers and the RMS in the belief that he may not have returned certain presidential records that may remain in the servers and the RMS.

The presidential records issue has not been discussed professionally among records professionals in Korea. Some worry it is a setback to records creation in important public offices like the office of the president. NAK has brought charges against former presidential secretaries and records management officers for violation of the Presidential Records Act. However, no charges have been laid against Roh himself.

The issues have been left to the courts to solve. Prosecutors are examining the lists of the records to ensure they have them all. The cases were filed, but no trials have

opened yet. (Even after Roh's suicide in 2009, the cases were not closed.)

Observations

People's awareness of archives in general and presidential archives in particular has been raised by the presidential records issue. It has also led to examination of the issue of authenticity of electronic records as well as the legal status of copied electronic records. Authenticity of electronic records is assured by law and technologically supported by the electronic records systems which fulfil legal requirements. Both the political environment and technological capability have been important so as public archives work to fulfil their missions. However, political and bureaucratic interference in public records issues should be minimized. For this, we need neutral and independent public archives.

Some presidential records must be protected. Otherwise they would not be produced or kept at the Office of the President as they should be. Records issues should be examined and solved by records professionals first. Prosecutors and judges are not records professionals and should not have access to protect presidential records to avoid political turmoil. Safeguards should be in place for situations in which a new administration seeks to open protected presidential records for political reasons.

The legal framework to handle, protect, and make usable sensitive records such as presidential records should be designed very carefully in accordance with records principles, professional ethics on public interest and privacy, people's right to know, technological considerations, and the political and cultural environment. The legal status of electronically copied records should be defined clearly in law. Records copying practice in public agencies needs to be reviewed and improved. What should we do about electronic records left in the RMS in the creating agencies after we transfer all electronic records to the archives? Do we need to preserve the records in the RMS

until the archives ensures that all records are transferred and safe?

Presidential privilege to access needs to be fully addressed and guaranteed. Without proper protection, there will be no guarantee of creation and retention of "full and accurate" records. The existence of neutral and independent archives staffed by qualified professionals is necessary to keep the archives operating objectively for the public good. It is important to recognize that public archives are working for public accountability as well as for history: without records, there is no history.

Contrary to our historical tradition, we lack awareness of archives as cultural and historical institutions. This may jeopardize the authority and political independence of public archives in a transitional period. We should prevent the National Archives from falling into political disputes. In our country's past, many people were killed for opening the royal records. Excessive political charges on records practices, a breaching of privacy, confidentiality, and public safety information, and the unnecessary opening of sensitive information held in public records can only be prevented by professional ethics and a legal framework guaranteeing such professionalism and independence of the professionals.

Technological solutions to issues related to public records should be also examined. Considerations should be given to authentication, checksum process, conversion and migration procedures, selective opening, opening or declassification of closed/classified records, and coding/ciphering and decoding systems. Methodologies of electronic records preservation, including conversion and migration, need to be tested in time; they should be fully reviewed and verified in advance of implementation. The issue of making digital archives for preservation and making electronic copies for use needs to be examined in the context of further democratic development and freedom of information development in the society.

A briefing on MOWCAP

Ray Edmondson

■ Ray Edmondson is Director of Archive Associates, a consultancy company. He began his archival career in the Film Section of the National Library of Australia in 1968, and was involved in the creation of the National Film and Sound Archive in 1984. He has been involved in UNESCO's Memory of the World Program since 1996, authoring its current General Guidelines, and has been chair of the Regional Committee for Asia Pacific (MOWCAP) since 2005.

MOWCAP is the UNESCO Memory of the World Regional Committee for Asia Pacific. Its area extends from Mongolia in the north, to New Zealand in the South, Kazakhstan to the West and the Pacific islands to the east, covering 43 countries in total. 15 of these have national committees of their own established under the auspices of their UNESCO National Commission; some have established National MOW Registers. MOWCAP works to promote and extend the MOW programme within the region: for example it has established the Asia Pacific MOW register, it provides advice and training, it encourages the establishment of new national committees and it encourages countries to prepare nominations for the International MOW Register which currently predominantly reflects the European heritage. Several successful projects have already been completed.

MOWCAP is the acronym for the UNESCO *Memory of the World* Regional Committee for Asia Pacific. It is one of three regional committees so far established in the *Memory of the World* (MOW) structure. The other two are MOWLAC (Latin America/Caribbean) and ARCMOW (Africa). Each relates to an official UNESCO region. The remaining three regions – North America, Europe and the Arab States – are so far still to establish regional MOW committees.

The MOW committee structure has three tiers – international, regional and national. The MOW *General Guidelines* sets out their roles and parameters. They are as follows:

The peak body, the International Advisory Committee (IAC), comprises 14 expert members appointed by the Director-General of UNESCO, chosen with regard to geographic, cultural and professional balance. It has four subcommittees – Register, Technical and Marketing, and the Bureau – to which various continuing tasks are delegated between biennial meetings of the IAC. The Register Subcommittee, for example, does initial processing of nominations for the International MOW Register.

National MOW Committees are established under the auspices of UNESCO National Commissions in member countries. They vary considerably in their composition and modes of operation, but each represents the MOW program in its country and is part of the communication structure of the program. Some have established National MOW Registers.

The regional MOW committees are like the glue in the middle. They maintain active contact with the national committees in the region and convene periodic meetings of their representatives. They address issues which fall outside the practical scope of the IAC or national committees. They maintain a watching brief for countries which do not yet have a national MOW committee. They are a mechanism for growth and cooperation beyond the national level. (Section 5.8

of the General Guidelines refers.)

UNESCO's Asia Pacific region extends north to Mongolia, south to New Zealand, west to the “-stan” countries and east to the Pacific islands. It embraces 43 countries covering about half the earth's surface. MOWCAP meets in a full meeting every two years; its Bureau meets annually. Its Register and Editorial subcommittees have their own timetables. Because budgets are very limited, everyone involved makes use of teleconferencing and emails, and opportunistic in-person visits. Its website is a reference point. Administratively and financially it relates to the UNESCO Regional Office in Bangkok.

Its formal structure is defined by its statutes and rules (which can be read on the website). Every national MOW committee in the region is a member and has one vote. The Bureau is elected for four years; the Bureau in turn appoints subcommittees and special advisors.

At the time of writing there are 15 national MOW committees in the region: Australia, Cambodia, China, Fiji, Indonesia, Iran, Kazakhstan, Kyrgyzstan, Malaysia, Nepal, Philippines, Sri Lanka, Tajikistan, Thailand, and Vietnam. In addition, observer countries which seek an active connection also attend meetings (but do not vote). Present at the latest meeting (February 2008, in Canberra) were India, Laos, Macau, New Zealand, South Korea, Uzbekistan, along with a delegation jointly representing the Pacific island nations.

MOWCAP's role has evolved over several years and it now has several facets described in more detail here:

- ▶ It plants and mentors new national MOW committees. In particular, its “Good will patron”, Dr Rujaya Abhakorn, has traveled the region, convening meetings of opinion formers in the library/ archives/ museum field to discuss the value of setting up a national committee.
- ▶ It backstops for countries where there is no national MOW to represent their cultural interest.

► It is building a network. Members of national MOW committees have shared interests in protecting and promoting their documentary heritage, and the more we know about each other, the stronger we are.

► In February 2008 it established the Asia Pacific MOW register, to complement both the International MOW Register and national MOW registers. The Asia Pacific register list heritage which has been influential across the region (the detailed criteria and inscriptions can be studied on the website) and in the first intake four items were inscribed.

► It runs seminars and workshops, including training workshops to assist in the identification and nomination of documentary heritage for the registers.

► It provides advice and advocacy and seeks to increase the regional visibility of documentary heritage.

► It provides an operational link between national committees and the international MOW secretariat in Paris.

► It works to correct the imbalance of inscriptions in the International MOW Register – which is dominated by European heritage – by encouraging countries within the region to identify suitable heritage and prepare nominations.

Some current projects will illustrate this last role.

Last year MOWCAP produced an attractive series of bookmarks, each one based on a particular item of documentary heritage within the region. The format caught on, and similar series of bookmarks have since been produced at the national level. Although not originally intended as such, what has been created is possibly a series of collector items in its own right.

A Pacific “inventory” of the founding and other key historical documents of the Pacific island nations has been compiled. It reveals that many of these documents are not where one would expect them to be – that is, in the country they relate to – and some appear to be missing altogether.

A coffee table book, highlighting outstanding items of documentary heritage from across the region, is in preparation. Though it is the first project of its type at the regional or international level, it takes its cue from two beautifully illustrated books produced by the national MOW committee of China which provide a window into inscriptions on the Chinese national register. The new book will not only be well illustrated but will be academically sound – something that is pleasurable to read in its own right but which will also be an effective awareness raiser.

MOWCAP's longer term aims are:

► to see a national MOW operating in every country in the region – with a joint committee for the small Pacific countries

► to achieve a balanced regional presence on the International MOW Register and in international projects

► to improve professional knowledge, skills and means in documentary heritage management

► to improve access to heritage materials

► to change popular perceptions and awareness about the value of documentary heritage

For further information:

► visit www.unesco.mowcap.org for information on MOWCAP, its statutes and rules, minutes of meetings, pictures and to access the Asia Pacific Register;

► visit www.amw.org.au to check the papers and proceedings of the International MOW Conference, held in Canberra in February 2008, in conjunction with the MOWCAP meeting;

► visit www.unesco.org/webworld/mdm for the website of the International MOW program, including the International MOW Register.

UNESCO's Memory of the World Programme

Miriam Nisbet

■ Miriam Nisbet became the first Director of the Office of Government Information Services at the US National Archives and Records Administration in 2009, following two years as Director of UNESCO's Information Society Division. Between 1999 and 2007 she served as Legislative Counsel for the American Library Association working primarily on copyright and other intellectual property issues in the digital environment. She has also worked for the U.S. Department of Justice Office of Information and Privacy and is an active member of the American Society of Access Professionals (ASAP) and of other industry bodies.

The 'Memory of the World' (MOW) is the recorded collective legacy of the peoples of the world and represents a significant proportion of the world's heritage of human achievements since the dawn of time. While some of this is transmitted orally, in its recorded form it is more commonly known as 'documentary heritage'. But it is fragile, subject both to natural deterioration and man made disasters. UNESCO's MOW programme, launched in 1992, aims to (1) preserve such materials; (2) provide access through digitization, book publication, etc.; (3) raise global awareness of the significance of documentary heritage. This last is carried out principally through the identification of significant documentary heritage and listing it on a MOW register, whether International, Regional or National. Nominations for inscription can be made by any individual or body and an International Advisory Committee meets every two years to make decisions on entries in the register. In addition there is a structure of regional and national committees but this is incomplete and needs to be strengthened.

The *Memory of the World* is the recorded collective legacy of the peoples of the world. It is a significant proportion of the world's heritage of human achievements since the dawn of time. In some cases, this legacy is stored in human repositories and transmitted orally. In its recorded form, it is more commonly known as documentary heritage and is mainly stored in archives, libraries and museums in electronic form or on traditional materials. But no matter how it is stored, this memory is fragile and will disappear in the long run.

This means that millions of textual and print items such as books, manuscripts, newspapers, photographs and governmental records; millions of films, audio and video tapes and discs, are at risk of crumbling into dust or fading away and disappearing for eternity! These documents are the memory of humanity – the Memory of the World – and their loss would be an impoverishment of our global heritage.

In different regions of the world, threats to documentary heritage are varied but the main causes of concern come from earthquakes, floods, storms and fires. Heritage is affected by other factors such as chemical decay; vinegar syndrome affecting acetate film; bacterial and fungal infestations; colour fading; sound deterioration; sticky tape syndrome; demagnetization, among others – unfortunately, these are problems well known to this audience of archivists.

The worst losses often arise from human actions - deliberate acts or negligence. Theft and vandalism still plague libraries and archives even if protective measures are in place in most institutions. Conservative estimates are that more than 80% of the early films have been deliberately destroyed or have otherwise disappeared. Television has suffered losses due to deliberate erasing and reusing of tapes, whether for economic reasons or from ignorance of their value.

Through the ravages of war, countless collections have vanished forever through the burning and destruction of books and

records. The same also occurs during religious and other purges where the ruling authority believes that destroying the past is a means of rewriting history and recreating memory. Untold acts of destruction – in the name of freedom, whether by revolutionaries or counter-revolutionaries, political, cultural or religious reformers and other persons – have resulted in the inexcusable and immeasurable loss of chapters of our history and heritage.

Faced with such a grim situation of potential loss of documentary legacy, UNESCO launched its Memory of the World Programme in 1992. It is designed as a global activity to protect and promote documentary heritage in all its forms by raising awareness of the problems associated with its preservation and by ensuring access. The main objectives of the Programme are threefold:

One is to preserve the world's documentary heritage. This is accomplished by providing practical assistance, advice and information, training of information professionals, and by obtaining sponsorship for projects.

The second objective is to promote universal access to documentary heritage. We do this through various means ranging from digitizing copies of items for distribution on the Internet and by other means, and publication and distribution of books, CDs, DVDs and other products, while respecting the rights of owners and custodians. Access also takes cultural sensitivities into consideration, including the right of indigenous communities to hold custodianship of their materials, and guardianship of access.

The third objective is to raise global awareness of the significance of documentary heritage. The major method is through the Memory of the World registers, media campaigns, and promotional literature.

The Programme has four main strategic activities:

1. Identification of documentary heritage. This involves identifying

documentary heritage of world significance and listing it on a Memory of the World register. The key issue here is assessing its impact for the country concerned and determining whether its influence has been felt beyond national borders. Would the rest of the world benefit from access to its content? Is it endangered? Is it unique? Is it irreplaceable? Is it evocative of a period that influenced significant human developments? These are all factors that help to determine the full value of heritage elements.

2. Raising awareness. Priority is given to increasing global awareness of the significance of documentary heritage, and the need to preserve and provide access to it. Particular attention will be given to regions where documentary heritage is endangered or awareness is low. Different methods can include training and publicity; the distribution of information on preservation techniques; and cooperation with professional bodies and associations such as ICA.

3. Preservation is the main focus of the Programme. Preservation projects relating to heritage already included in a Memory of the World register will be encouraged and, where possible, directly supported by the most appropriate means. Inclusion of an item on a register does not create or imply any project funding entitlement, of course, and available resources may not match needs. However, listing can help the custodial institution to negotiate funding from interested partners.

4. Permanent access is the goal of the Programme. Everyone has the right of access to their documentary heritage, the right to know it exists, and where to find it. It is the responsibility of custodial institutions to ensure the continuance of this fundamental right.

How does the Programme work?

It is managed by a three-tiered structure operating at the international, regional and national levels. The Director-General of UNESCO appoints an International Advisory Committee (IAC) of 14 members in their personal capacity. The IAC normally meets every two years. It guides the planning and implementation of the Programme as a whole and makes recommendations concerning the inscription of nominations on the International Register, the award of the UNESCO/Jikji Prize for preservation, among other activities, as part of its mandate to ensure access to endangered documentary heritage.

The programme is also managed by regional and national entities. Regional committees have been established in Asia and the Pacific (MOWCAP) and in Latin America and the Caribbean (MOWLAC), which have established Regional Registers. In January 2008, a regional committee for Africa (ARCMOW) was created but has yet to become fully operational.

National Committees have been established in a number of countries but their operations in some cases are irregular. This is regrettable as it is at the national level that the major impact on governments and public opinion will occur. In this regard, national registers are especially important in highlighting items of outstanding value and attracting funding for conservation. As curators of the national heritage, archives can play a leading role in getting these committees operational, identifying items to be listed on the various Registers, and promoting the other work of the Programme.

Public impact and education are crucial factors in achieving this outcome, by making the general public aware of the vulnerability of the world's documentary heritage. The realisation too, that anyone – archivist, librarian, teacher, student, private individual – can actually initiate a nomination for

any of the registers sometimes can be an empowering surprise!

There are three types of register: International, Regional and National. All registers contain material of world significance and an item may appear in one or more register. However, the three types of Memory of the World registers do not denote levels of importance but rather the geographic sphere of the influence of the heritage item concerned. The International Register lists documentary heritage that the IAC has judged as meeting established criteria concerning broad global significance.

Each session, as the Programme becomes better known, an increasing number of countries are proposing items for inscription. I urge those of you that may be hesitating, to give some thought to submitting your own items for consideration.

I should stress two important points, one of which is that nominations cannot be 'open-ended'; all proposals must relate to documents or groups of documents that are complete in themselves. Secondly, listing on the Register is not permanent. An item may be removed if it no longer meets the selection criteria on which its inscription was based or if new information, leading to a reassessment of the registration, proves the case for removal.

Currently there are 158 items from 67 different countries, one international organization and one private foundation, and items range from films to rock inscriptions, from sound archives to photographs. Some are as recent as the 1986 Radio Broadcast of the Philippine People Power Revolution or as old as the Hittite cuneiform tablets from Turkey that date from the 2nd millennium B.C.E. But what they all have in common is that they represent the expression of human thought and creativity.

Yet, as important as the Registers are, they are not the Memory of the World Programme, and serve only to improve global consciousness about the need to protect a much larger documentary heritage

– really, all the archives of the world. The main core of the Programme is preservation and access. Although the Programme has achieved considerable status, there are issues that need to be further addressed to ensure that it encompasses all cultures. In this regard, the Third International Memory of the World Programme Conference held in Canberra Australia, in February 2008 served to identify specific areas of cooperation among all Memory of the World programme stakeholders including archivists, librarians, historians, museum curators, at all levels of development. We believe that the recommendations will enable the Programme to expand and achieve its stated objectives, as the future can only be assured by radically altering the climate that has created the losses of the past.

The *General guidelines to safeguard documentary heritage* are published in five languages and available free of cost on demand from UNESCO. The can also be downloaded from the Memory of the World website at www.unesco.org/webworld/mdm/ The main UNESCO contact for Memory of the World is Joie Springer, j.springer@unesco.org.

Europe and the Memory of the World programme

Władysław Stepniak

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The Memory of the World programme has a special significance for many European nations as the date of its establishment, 1992, coincided with the period when many of them were freeing themselves from Communist rule. The overall objectives of the MOW programme, preservation of the cultural heritage, and, more specifically, access to that heritage, were of course of great interest to archivists. This was particularly the case in Poland where it was archivists, rather than librarians, as elsewhere, who headed up the work of the National Committee. Although the ICA was heavily involved in the formation of the MoW, it had some reservations because the criteria for inclusion of documents were incompatible with the rules of archival science. Although there are problems with including entire fonds, overall notions of incompatibility are exaggerated. It would be a great pity if such concerns inhibited other national committees from selecting documentary material for inclusion, especially countries outside Europe, which, as a region, alone accounts for 50% of entries on the register.

The *Memory of the World* program was founded in 1992 at a time when there was still a justified fear that the tragic experience of European nations during the twentieth century had not been a sufficient lesson and warning against war and acts of vandalism perpetrated against the cultural heritage. Let us here quote a remark by the well-known historian Norman Davies: "There are shades of barbarism in twentieth century Europe that would once have amazed the most barbarous of barbarians".¹ Indeed, the history of twentieth century Europe is an unprecedented series of events leading to the annihilation of millions of human beings and the destruction of the cultural heritage and civilization they had constructed over the course of centuries. It is a period that saw two of the continent's greatest nations become enslaved to their own regimes – both of which afforded the same type of treatment to their own citizens as they did to those of the nations they conquered. Decades of deadly wars in Europe could not fail to have an impact on the conservation and the accessibility of cultural heritage in general, and of documentary heritage in particular. Apart from the terrible losses suffered, the limitation of access to archival collections became a major problem, as did the tendency towards constructing self-biased visions of history in which the enemy was always branded as the incarnation of evil while one's own story was presented as an example of uncommon honesty and courage.

By 1992 it was already possible to entertain hopes that communism in Europe was a thing of the past. But apprehension and doubts about the future still persisted. Events took a drastic turn in the south of the continent with the breakup of Yugoslavia, giving rise to deplorable consequences, especially in Bosnia and Herzegovina which, apart from other atrocities, saw the destruction of 90% of the collections stored at the National Library in Sarajevo. Given

this example, one could not but conclude that Europe's dramatic twentieth century past had not brought about a change in the attitudes and maturity level of Europeans.

I mention these events in order to underline that the *Memory of the World* program has from its very inception been treated with utmost seriousness, not as an effectively construed, theoretical framework for international cooperation but as an urgently needed practical project which simply had to be undertaken given the extraordinary turn in the history of humankind which occurred with the end of the Cold War and the significant weakening, if not the downfall, of the communist system. We should also keep in mind that apart from political upheavals, humanity has experienced and continues to experience an unprecedented process of civilization change involving the creation of electronic devices that carry cultural and documentary heritage.

The program, or rather the beautiful idea of *Memory of the World* was also born at the moment of the seeming triumph of the ideas of freedom and democracy in the world. Not just in Europe but all across the world dictatorships fell and the range of civil freedoms increased. It is this process which coalesces with the second aspect of the "Memory of the World" program (in addition to the first, namely the conservation of cultural heritage) – the issue of access to archival and library materials. The UNESCO initiative is very important from this point of view as well, it being the case that the former Soviet Union and its satellite republics were not the only places where unrestricted research based on archival resources could not be carried out freely. One cannot fail to appreciate the activity of the Council of Europe and European Union institutions in helping to change this situation.

The Polish UNESCO *Memory of the World* Program Committee takes a specific stand on these issues. The historical experience of Poland inspired the authors of

¹ NORMAN DAVIES. *Europe. A History* (Polish edition), Warszawa 2008, p. 955.

the program to organize the first meeting of the World Advisory Committee in our country. This meeting was accompanied by a regional seminar bringing together representatives of Central, Eastern and Southern European countries. It took place on 12 – 14 September 1993 in Pułtusk, not far from Warsaw.

Both the location and the time of the conference were highly conducive to popularizing the goal of the program. The program was inaugurated in a country whose cultural heritage had been ruthlessly decimated in the past, especially during the two world wars, and in particular during World War II. Federico Mayor, then Director General of the UNESCO and spiritual father of the program, opened the conference of the World Advisory Committee by describing the fate of the Polish central state archives – over 90% of which were destroyed in a premeditated action by the German occupant. He referred to this act as a warning for humankind for ages to come!

The first meeting of the International Advisory Committee was of fundamental importance to the program. I will not dwell on its scientific and organizational achievements here, as they are generally well known. I will only emphasize the major role played in this meeting by archivists. The leader of this body, fundamental in designing the program, was Jean-Pierre Wallot, President of the International Council on Archives (ICA) and Canada's National Archivist. Other members of the International Advisory Committee participating in the meeting included Margarita Vazquez de Parga (Director of the National Archives of Mexico), Jean Favier (Director General of the Archives of France), Moncef Fakhfakh (then head of the National Archives of Tunisia and later of Algeria and the United Arab Emirates). A prominent role among the observers was played by Klaus Oldenhage, representing the International Council on Archives.

The outline and objectives of the *Memory of the World* program approved at

the meeting were of great interest of archivists. National Committees were formed and became actively engaged in Poland and many other European countries. The result of this is the significant presence of European countries - amounting to over 50% of the entries - in the world documentary heritage register. This is discussed further below.

Without going into the complicated subject of the basic assumptions and criteria for including items on the program lists, I would like to bring your attention to the fact that archivists in general expressed their support for the UNESCO initiative. For example, the Polish National *Memory of the World* Committee formed in 1996 was led by the Director General of the State Archives, Dr Daria Nałecz. Members of the Committee included representatives of the country's most important historical institutions: the Central Archives of Historical Records, the National Library, the Library of the Jagiellonian University in Krakow, the Library of the University of Warsaw. The Archival and Library Institutions of the Roman Catholic Church – whose resources can be compared to those of state institutions in terms of their significance – were represented by the Catholic University of Lublin Centre for Church Archives, Libraries and Museums as well as a representative of the Institute for the Conservation of Cultural Patrimony at the Nicolaus Copernicus University in Torun.

It can be said that in Poland the leading role in implementing the program objectives was taken up by archivists. In other countries it was librarians who tended to become the leading group. But both of these communities were deeply impacted by the stand of the ICA after Jean-Pierre Wallot stepped down as its chairman in 1996. This was followed by a period of growing criticism of the program, culminating in a document released in 2005, entitled "The International Council on Archives and the Memory of the World Program: A

Position Paper".² The arguments advanced against the stance of the ICA centered on the Council's ideological inflexibility and its failure to grasp the great opportunity that the program created for popularizing archival collections, raising their rank and significance, which could help to overcome the countless problems encountered by our institutions on a daily basis.

I have been a member of the Polish *Memory of the World* National Committee since its creation in 1996. The experience and knowledge I have gained through my participation in the work of the national committee are currently of great help to me in fulfilling my role as a member of the International Advisory Committee. I have also been an archivist for 32 years, and have held various functions both in Poland and abroad. My knowledge and experience tell me that our opinions regarding the perceived incompatibility between the working assumptions of the "Memory of the World" program and the rules of archival science are to a large extent exaggerated. Even when entering a single document into one of the program registers, its presentation will always require a presentation of the context within which it appears. This does not necessarily imply a contradiction with the rule of origin/principle of provenance. And if one were to analyze the descriptions of the items included in the international register, one would indeed not find such a contradiction.

What remains is the problem of including entire collections of archives having a special significance. I am sure that we all agree that the inclusion of such collections is more than justified. But would we not in this way lose the opportunities afforded by the program in its current shape, by requiring it to focus on the most important achievements and historical facts from

the human past, regardless of whether we consider them to be positive or negative? Referring back to the conclusions of the Third International Conference in Canberra in February 2008, it is high time to give consideration to the negative elements of the past.³ This should be done, among other things, in order to equip us better for combating the evil that we face today.

Looking at the current contents of the international register, namely the international *Memory of the World* list, one cannot fail to notice that about 50% of the entries concern documentary heritage kept in European collections. In the opinion of some, the program is not sufficiently flexible way to permit the inclusion of the entire wealth of the cultural and intellectual output of humankind. I believe that in taking note of this problem we should at this point refrain from formulating far-reaching conclusions. In my opinion, one of the reasons behind the substantial presence of European entries is the good organization of the activity of the national UNESCO committees, conscious of the great losses of the past as well as – unfortunately – the numerous dangers still present (proof may be found in the 1996 publication *Lost memory – libraries and archives destroyed in the 20th century* by Joan van Albada and Hans van der Hoeven),⁴ which have approached the program as an important opportunity to improve the preservation, identification and thereby also the accessibility of historical collections. In short, there is agreement as to the fact that the program is a wise international undertaking, giving people around the world the opportunity to derive mutual benefits from a shared knowledge of documentary heritage. Moreover, one cannot fail to appre-

³ Communities and memories: a global perspective Third international conference of the UNESCO Memory of the World programme. Proclamations and recommendations at <http://www.amw.org.au/mow2008/mow/proclamation.htm> (viewed 21 August 2009).

⁴ VAN DER HOEVEN Hans and VAN ALBADA Joan, *Lost memory – libraries and archives destroyed in the 20th century* UNESCO, Paris, 1996. Available at <http://www.unesco.org/webworld/mdm/administ/pdf/LOSTMEMO.PDF> (viewed 21 August 2009).

² 'The International Council on Archives and the Memory of the World Programme: A Position Paper', 2005. Available at http://portal.unesco.org/cij/en/ev.php-URL_ID=19086&URL_DO=DO_PRINTPAGE&URL_SECTION=201.html (viewed 21 August 2009).

ciate another significant achievement of the UNESCO in the form of a new international legal instrument – the Convention for the Safeguarding of the Intangible Cultural Heritage,⁵ adopted in 2003 and introducing the Representative List of Intangible Cultural Heritage of Humanity. It will be of no exaggeration to say that the emergence of this new type of cooperation can be traced back to the knowledge and experience achieved during the implementation of the *Memory of the World* program.

Given these circumstances, with the program gaining such prominence around the world, it may be said the stance of the ICA may have had a discouraging effect on some archives which have been slow or have failed to take action in connection with their participation in the program. The conclusions of this session here in Kuala Lumpur may make a significant contribution to changing this state of affairs. The results of the 2007 conference of the International Advisory Committee in Pretoria have already helped to increase activity in this respect.⁶ This is evident when we look at the new proposals for entries to the international list which have been submitted this year. Some of these, I may say, have been awaited for a long time – the most imposing example being the English Magna Carta of 1215. I am sure I do not need to go into a description of this document.

These new submissions deserve careful consideration. One can no longer speak of the pre-eminence, and not only in terms of numbers, of European proposals. This to me is proof that the *Memory of the World* program has reached maturity! Can Europe still contribute to the further development of the program given these circumstances?

The answer, of course, is yes – by finally taking up the subject of the creation of a Regional Committee and spelling out the principles of the European documentary heritage list. Previous attempts to form regional committees within the European continent, for instance of the Baltic States or the Central and Eastern European region, have failed to bring results. I sincerely hope that this meeting will bring about a turnaround of this situation.

⁵ UNESCO, *Convention for the Safeguarding of the Intangible Cultural Heritage*, Paris, 17 October 2003. Available at <http://unesdoc.unesco.org/images/0013/001325/132540e.pdf>.

⁶ 8th Meeting of the International Advisory Committee [of the UNESCO Memory of the World programme], 11-15 June 2007. Documents available at http://portal.unesco.org/ci/en/ev.php-URL_ID=22147&URL_DO=DO_TOPIC&URL_SECTION=201.html (viewed 21 August 2009).

Church archives after Poland's entry into the European Union

Julia Dziwoki

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This article discusses advances in the management and preservation of, as well as access to, the archives of the Catholic Church in Poland in the period since Poland's application to the European Union in 1994.

Poland's endeavours to enter the structures of the European Union commenced in Athens on 8 April 1994 with an official request to join. Integration was a dynamic process and the country had to be prepared before accession in all fields of social, economic, political and cultural life. After ten years of effort, on 1 May 2004, under the Treaty of Accession signed on 16 April 2003 in Athens, Poland became a member of the EU, along with nine other states (Cyprus, Czech Republic, Estonia, Lithuania, Latvia, Malta, Slovakia, Slovenia, Hungary).

The Roman Catholic Church in Poland became actively involved in the process of integrating Poland with the European Union, since it had always been active in the international structures of the universal Church. Archives of churches and religious associations in Poland are a registered public resource, but they do not belong to the State. Under the Archives Act of 14 July 1983, they belong to Narodowy Zasób Archiwalny (National Archive Resources).

The Papal Commission for the Cultural Heritage of the Church issued a circular letter on 7 February 1997 concerning the pastoral function of the church archives and emphasised the significance of the archives for science and for all mankind. One can read in the letter that, "archives are part of a heritage that has to be conserved and used for the benefit of the church community and of the civil community. [...] Access to the materials kept in the archives must not therefore be denied to those who want to use them in order learn about the history of the Christian people and of its religious, civil, cultural and social background. One should therefore make it easier for a wider group of researchers to use the Church archives, without ideological or religious prejudice, since this belongs to the best traditions of the Church [...]"¹

1 SRUTWA J., 'Circular Letter of the Papal Commission for the Cultural Heritage of the Church of 7 February 1997 concerning the pastoral function of Church archives (summary prepared by Bishop J. Srutwa)' in *Wiadomosci Diecezjalne*, no. 3, year 66:1998, pp. 95–96.

Consequently, diocesan archives started to opened for researchers from Poland and from foreign countries. Websites are available for most of the archives, containing contact addresses and telephone numbers, as well as information on the conditions of access and on the resources kept. Two diocesan archives, in Zielona Góra and Gniezno, have also provided online lists of the archival documentation.

Out of 154 websites of European Church archives, UNESCO recommends three Roman Catholic archives from Poland: the Archdiocesan Archive in Katowice (included as the first one on 20 October 2000), the Diocesan Archive in Łomża and the Archdiocesan Archive in Poznań. These archives were given the right to place the UNESCO logo on their respective websites.²

Church archives contribute to the implementation of the idea of an information society. The most valuable medieval documents are published on the Internet (at www.polska.pl) by the following bodies: the Diocesan Archive in Płock, the Archdiocesan Archives in Gniezno, Lublin and Poznań, and by the Archive of the Krakow Cathedral Chapter. The project is carried out by the Scientific and Academic Network, which participated in the creation of the Polish Internet and of an Internet guide to Poland.³

Each diocese has the following types of archives: secret, historical, judicial, as well as decanal and parochial. Catholic higher education institutions and monastic congregations also keep their own archives.

In 1992, Poland was divided into 42 dioceses, and the historical diocesan archives are organised in 36 dioceses. According to the Code of Canon Law, creation of historical archives is the task of the diocesan bishop.⁴

2 http://www.unesco.org/webworld/portal_archives/pages/Archives/Social_life/Religious_Communities/Europe/Poland/index.shtml.

3 www.polska.pl.

4 Kan. 491 - Kodeks Prawa Kanonicznego, Pallotinum

The diocesan archives of the Roman Catholic Church in Poland employ about 100 people with higher education degrees in human sciences (History or Theology). 52% of the staff hold PhDs in humanities and 15% are professors. Church archivists frequently combine work at the archives with research and teaching at higher education institutions.⁵ Church archivists regularly participate in conferences and workshops related to archives in Poland and abroad. Scientific publications are also exchanged between Polish and European archives: the periodical *Archiwa, Biblioteki i Muzea Kościelne*, for instance, reaches many European institutions. The number of people carrying out scientific and genealogical research in church archives has been growing year by year.⁶

Thanks to the continuing process of integration with the European Union, representatives of the Polish and German Episcopate came to a consensus concerning the return of register books. On 16 September 2001 in Warsaw, Cardinal Karl Lehmann and Cardinal Józef Glemp signed an agreement on this issue. According to this document, the Catholic Church in Germany handed over to the Polish Church four thousand register books with data concerning baptisms, weddings and funerals. Registers from the 17th to the 20th century were taken to Germany during World War Two from the areas of East and West Prussia. All the books were deposited in Regensburg, where they were micro-filmed. It was only in 2001 that the originals returned to the Polish archdiocesan archives, following the territorial provenance principle. Cardinal Lehmann pointed out that this was yet another "sign of reconciliation and mutual understanding" on the way to an enlarged European Union.⁷

The Church Archivists Association was

created in June 2004 for a better integration of the church archivists' environment, information exchange and cooperation.⁸

The biggest advantage of joining the EU, so far, has been the success of the Archdiocesan Archive in Poznan. In August 2002, the Archdiocesan Archive and Museum in Poznan decided to apply for European Union funding in order to perform repairs, replace old buildings and construct warehouses. The EU funding will cover 75% of the value of the investments, and the remaining 25% would have to be paid for from their own funds. In September 2003, the project file was submitted to the online registration system, and the archive and museum project file was given number 1 in December. In February 2004, the applicants participated in a workshop entitled "Polish regions in the European cultural space". The application was prepared between June and August 2004, and it was submitted in September. A year later, in February 2005, the design for the Archive and of the Museum related to the modernisation and adaptation of historical buildings was selected by the EU, and the amount of PLN 5,193,403.60 was allocated for the purpose. The relevant agreement was signed in June 2005, and preparations for the investment started immediately. About 105 tonnes of archival materials were evacuated over 9 months of 2006. The part of the project financed by the EU was completed as planned in 2006. The investments allowed the area of the research and administrative section to grow by 107.94% (from 328.67 m² to 796.85 m²), and the warehouse area by 137.61% (from 423 m² to 891.7 m²). The construction of warehouses for the archive and for the museum was financed entirely by the Poznan Archdiocese and they were put into use in December 2007.

In addition to the Archive and the conservation workshop, the restored historical building houses a scientific laboratory, a room where the collection is ordered and organised, and an office. An exhibition room

Poznan 1984, p. 225.

5 DZIWOKI J., telephone survey of 28 April 2006.

6 DZIWOKI J., telephone survey of 26 May 2008.

7 <http://www.tygodnik.com.pl/numer/2737/kronika.html>; 16 Sep 2001.

8 *Archiva Ecclesiastica*, vol. 1, 2005.

was also created to show the archives to the public. Changing the function of the buildings proved very favourable, both for the activities of the museum (transfer of the collections to a historical building), and for the archive (increased space made it possible to house all the archived materials and to develop the existing workshops). Building façades and interiors were modernised, structural elements were reinforced or replaced, and the buildings were protected against humidity. The adaptation also involved removing architectural barriers, building platforms for the disabled, removing thresholds, etc. The building was also adapted to meet the current requirements for heat energy savings and fire regulations, as well as provisions related to occupational health and safety. Both buildings included in the project are entered in the register of historical monuments of the City of Poznan. The building that once housed the Lubranski Academy dates back to 1518, and the former Cathedral Vicariate building dates back to the period between the end of the 18th and the beginning of the 19th century, and it is also entered in the register of historical monuments of the City of Poznan. The project will ensure the protection and suitable conservation of the historical buildings housing the Museum and the Archive, as well as of the collection. It will also be possible to display, in a suitable manner, the constantly growing collection of valuable exhibits, which has a significant informative and educational function for the entire region of Greater Poland. The restoration increased the attractiveness of the buildings for tourists and led to an increase in the number of people visiting the Museum and the Archive.⁹

European funds are a structural policy instrument aimed at supporting the restructuring and modernisation of the economies of EU Member States, as well as at increasing economic and social cohesion within the EU. In the period 2004-2006, Poland obtained ca. 13 billion EUR from the European Union.

⁹ www.aap.poznan.pl.

Old archives in pre-modern Korea: the documentation of peoples' lives

Kwisun Si

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The 'old archives' documenting the interaction of individuals with government survive in large numbers in Korea. Although suffering substantial losses in the past, more than a million such items dating mainly between 1392 and 1910 survive in Korean archives and libraries. Although they can be difficult to interpret, they are now being increasingly studied and they provide a valuable resource for the student of pre-modern Korea particularly in the areas of social and economic history. The majority of these private records relate to property, inheritance and the right to buy and sell privileges. Many deal with slavery which was widespread. In addition the records provide evidence of the sophisticated recordkeeping practices of the Joseon dynasty. The very existence of such systems contradicts the view promulgated during the Japanese colonial period of pre-modern Korea as a primitive, stagnant and irregular society, a view once used to justify that colonization process.

Throughout history, and in many regions around the world, people have created documents to assist them in their daily activities. Today, these documents, now archival records, offer a glimpse into a country's past and they reveal how a society functioned at a certain period in time.

This paper will focus on the 'old archives' (古文書) of Korea. The 'old archives' were created and used as evidence and in public and personal business in the pre-modern era of Korea (primarily during the Joseon dynasty, 1392-1910). There are four major types of *old archives*: *Kings' Archives* (國王文書); *Royal Families' Archives* (王室文書); *Office Archives* (官府文書/官文書) - also called *Public Records* (公文書)-, and *Private Archives* (私人文書). In addition to these 'old archives', the *Joseon Dynasty History Compilations*, "*Silloks* (實錄)," are composed of records selected from first three types of the 'old archives' listed above, accompanied by historians' commentaries. The *Silloks* are regarded as both archives and history. However, this paper deals only with public and private old archives.¹

More than a million such *old archives* items survive in Korea, and they are mostly preserved in the Kyujanggak Royal Archives (奎章閣), located in Seoul National University and in the Jangseogak Royal Library (藏書閣, formerly the Yi Dynasty Library) in the Academy of Korean Studies.

The *old archives* are truly valuable resources for Korea's social and cultural history, as well as for Korean studies. In the pre-modern era, those private records were carefully preserved as important evidence of social status and property holdings. During the Japanese colonial period, many traditional archives lost their evidential capacity and the study of Korean history using the traditional archives was discouraged. To make matters worse, many pre-modern

archives were scattered and destroyed during the Korean War and through the period of industrialization. They were sometimes even used as wallpaper or fire-kindling in village houses. In 1927, one set of the *Joseon Dynasty History Compilations*, ("*Silloks Veritable Records*"), was illegally moved to Tokyo University in Japan where it was eventually burned down by the earthquake. Previously, three sets (out of four) of the *Silloks* and other important public and private archives were destroyed by the Japanese invasion in 1592. The survivor set of the *Silloks* was copied again and preserved at four "history archives."

However, there has been a revival of studies in old archives (古文書學) in the 1970s and 1980s in academic institutions. Collections of the *old archives* are being digitized in large numbers and electronic descriptions are provided for easy access to researchers. The National Institute of Korean History established a Korean History On-line digital library and a Korean History database in which many of the surviving old archives are digitized and catalogued.² The Society of Korean Historical Manuscripts was established in 1991. The society has published the *Journal of Studies on Old Archives* (古文書研究) since then. In this paper, I will examine the chief characteristics of the *old archives* and their use, and implications for the study of social history in Korea.

Old Archives (古文書) in pre-modern Korea

Public records/archives are evidence of kings' rule and government activities in the pre-modern era. These activities had great effect on people's lives. The archives are classified according to provenance and the recipients. They are composed of *Kings' Archives*, *Royal Families' Archives*, and *Office Archives*. They are the contemporary names of the archives classified according to creators/provenance.

¹ In pre-modern Korea, the term 'archives/records' excluded sources such as books, diaries, memoirs, and *Silloks* or "historical compilations" They had their own distinct terminology. See, in this volume, Oh, Hang-Nyeong "An Archival Interpretation of the *Veritable Records*".

² <http://www.koreanhistory.or.kr>.

Among *Kings Archives* are the records of appointment of positions in royal palace (玉冊 竹冊) sent to royal families, records sent to public offices i.e. various directions and orders (教, 命, 教書, 諭書, 教旨), and the records sent to private individuals i.e. directions/teaching documents (教書) and publicizing statements of kings' teaching and encouraging people to do good conduct (綸音).

The majority of *old archives* which remain are the *Office Archives*. They had different forms and names according to who were the receivers. *Office Archives* sent to kings are *Reports* (啓, 狀啓) and *Lists of Tributes* (進上單子). The records sent to other offices include *Orders and Correspondence* (關, 關文), *Local authority reports* (牒呈), *Records of work/position transfer permissions after investigation and verification for accountability* (解由). *Office Archives* sent to private individuals are *Recognition/Notarization of fact(s)* (完文), *Decisions and disposition orders on people's petitions* (題音), *recognition/notarization of facts on properties* (立案), *blank appointment certificates to sell office positions* (空名帖), *Recognition/acceptance of census register reports* (準戶口), *prohibition notices* (勿禁帖), and many others. The *Office Archives* had a great impact on individuals and clearly show how the public offices were deeply involved in ordinary people's everyday lives.

The *Office Archives* also reveal that medieval officialdom had developed very sophisticated systems of public accountability. *Recognition/Notarization of fact(s) archives* are the documents attached to the received private records as evidence of the receipt and recognition of their contents. *Decisions and disposition orders on people's petitions* were accompanied by peoples' petitions. The process of creating and approving the *Records of work/position transfer permissions after investigation and verification for accountability* was very strict and sophisticated. The incoming officials examined all the records and reports made and maintained by his predecessors, scrutinizing all the inventories and statistics

needed to undertake the position and tasks. Without the successor's signature of approval signature, the succession process could not be completed.

Documentation of people's lives in the Office Archives

The records issued by the offices reveal the social life of the people at a certain period. The Joseon dynasty was a very centralized and bureaucratic regime, but firmly based on "fair" rules and neo-Confucian ethics. Forms of the records were determined by the *National Laws of Joseon Dynasty* (經國大典 禮典) which designated 25 forms of records. The law also stipulated rules for classification, filing, and preservation. In the *Office Archives*, the social status of creators and receivers was both reflected and considered. Copies and *Registers* (謄錄) were made for current use and preservation. *Executive summaries* (書目) and *Reports to kings* (啓, 狀啓) were regularly made. In addition, reference records were created by coping and summarizing important facts.

Among the *Office Archives*, some records were closely related to people's social status. *Office Examination Records* and *Recognition of Slave Records* are typical examples. *Qualification Records to take the Office Examination* (照訖帖) were very important documents for the members of the nobility (the literati) to obtain office positions in the royal and local governments. One had to pass the office examination (科擧) to remain as a member of the nobility (兩班) and get office positions. A person of nobility had to take the examination until he passed it, sometimes until he was 80 years old or more. Women were not allowed to take the exam. Many members of the nobility were qualified by the offices to take the exam so there are many *Notices of pass* and *Letters of (Office) appointment* records. Office positions could even be bought as evidenced in *Empty Names Register* (空名帖).

Fig. 1 A Record of a Woman Slave Purchase/Sale Attached by a Notarization of Office (March 1772)



Fig. 2 A slave owner made his slave carry out commercial activities on his behalf, (April 1745 or 1805 or 1865)

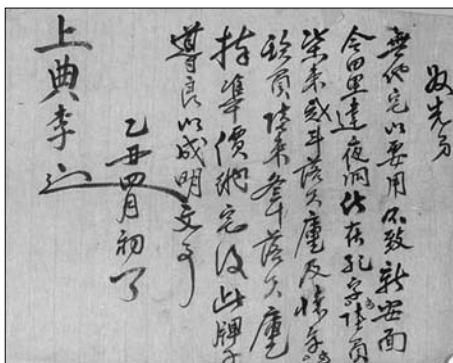


Fig. 3 Slaves could inherit property, (March 1688)



Slaves were sold and bought widely in Joseon society. When commoners became very poor they might sell themselves as slaves. The *Self-selling slave records* (自賣文記) recorded the self-selling of individuals and their family as slaves when there was a poor harvest or when they were suffering hard times. Even politically purged nobles and their families became slaves. Since slaves were complicated and controversial as property, there were many *Slave Archives* officially recognized by the offices

(Fig. 1). The local office usually recognized purchase/sale of slaves by the literati or commoners. Through these *Slave Archives*, we have found many interesting things about slaves and their lives. Slaves could live outside the house of their owner and had their own families. Sometimes, slaves could act on behalf of the owner, especially in commercial activities (Fig. 2). When a census was made, slaves were included and recorded in the *census (reply) records* (戶口單子). Slaves could also inherit property from their parents and they could obtain property by their own labor. If a slave died without descendants, his or her property became the slave owner's property. (Fig. 3). Also a slave could earn money and could buy his/her freedom back by paying money.

Documentation of people's lives in Private Archives

The *Private Archives* (私人文書) are the records created by ordinary people and nobility without official positions or official purposes. The *Private Archives* sent to kings include *Petitions/complaints/suggestions to king* (上疏), *Petitions for relief of the poor* (原情), and *Application name tags for office examination* (試券). The records sent to offices include *Petitions/complaints/suggestions to offices* (所志 or 白活), *Petitions/complaints/suggestions to offices made by a group* (等狀), *Census reply reports* (戶口單子), *Register of descendants of vassals of merits* (功臣子孫世系單子), *Records of swearing of royalty and friendship by descendants of vassals of merits* (功臣會盟文), and many other types of records. Records created and communicated by

private individuals include *Adoption records* (立後成文), *Property inheritance & bestowal records* (分財文記), *Wills* (遺書, 遺言), *Inheritance records on harmonious/voluntary agreements* (和會文記), *Records of inheritance made by ancestors* (分給文記), *Records of bestowal other than inheritance* (別給文記), and *Special bestowal records* (許與文記). These records were sometimes sent to offices for verification or approval. Other major types of *private records* sent by individuals are *Land purchase/sales records* (土地文記)(田畚文券)(家屋文記), *Slave purchase/sales records* (奴婢文記), *Purchase/sales records of chartered Seoul liaison offices of provinces* (京主人文記), *Records of purchase/sales of royal chartered merchants* (賈人文記), and *Records of self-selling as slaves* (自賣文記). The majority of *private records* are related to property, inheritance and a person's right to buy and sell property including chartered privileges and slaves.

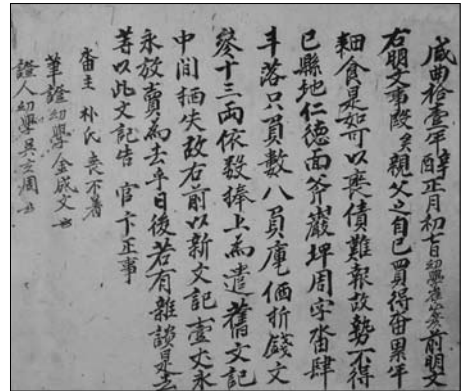
Fig. 4 A signature on a commoner's petition for recognizing payment of debt, (January 1765 or 1815 or 1875)



Among the *private archives*, the records of *Petitions/complaints/suggestions to offices* reveal ordinary people's lives and misery (Fig. 4) as well as the misdeeds and corruption of public officials. When a commoner asked the local magistrate to notarize his payment for a gambling debt as he was afraid that the money-lender would argue later that he did not pay the debt, the magistrate, instead, ordered them to follow his directions and took all the money. The magistrate was a real thief and neither party was able to complain about it.

A person in mourning could not sign documents. He was not eligible to participate in any social activities during the mourning period, usually lasting three years. The land sale record below (Fig. 5) has no seller's signature as the seller was in the mourning period. A funeral, and three years of mourning and staying at the parent's tomb were big parts of peoples' lives in the Joseon era. Many people had to sell their land to conduct the funeral ceremonies.

Fig. 5. A land sale record without the seller's signature, (January 1861)



People petitioned the offices to have some of their neighbors recognized as "loyal people" (who had died for their king) or as "virtuous women" (women who did not have intimate relations with other men after their husbands' deaths). These petitions, according to Confucian values, were also linked to tax exemptions. Fidelity to ones parents

was the most respected virtue in Joseon society. There were many petitions for the recognition as a person with such fidelity. For example, despite the fact that cows were very important animals in villages and not to be butchered, when a petition was made to butcher a cow for the parents' health, the butchering was allowed.

Fig 6 A land sale contract asking the buyer to resell the land to the seller later, (May 1840)

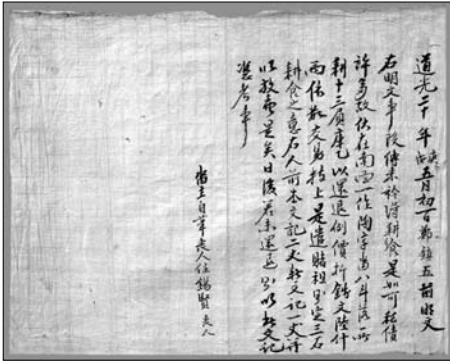


Figure 6 is a land sale contract for 8 *Mazigi* (5000 sq. meters) of land. The seller asked the buyer to resell the land to him within one year. Since the seller was in mourning (there is no signature), he had to sell the land for the funeral ceremony but he wanted to re-purchase the land after the three year mourning period. In this case, the buyer refused to sell back the land and it resulted in a lawsuit.

Many *private archives* reveal a women's social status in Joseon society. In most of the *property inheritance archives* (分財文記), we can see relatively fair and equal treatment of women in terms of property distribution including land and slaves. Another type of record, the *Lawsuit on mountain tombs records* (山訟文記) is an important sources for local social history. Land for tombs was so important to the contemporary people that there were many disputes, and sometimes there were lawsuits which lasted for generations.

Conclusion

In Korea, *old archives* are important sources for the study of social history and understanding people's lives in the pre-modern era. Misinterpretations of Korean history were made extensively by Japanese historians during the Japanese colonial period. For example, they suggested that pre-modern Korea was a primitive, stagnant and irregular society, thus justifying the colonization. However, a country with such abundance of records, in both public and private sectors, reveals only the refinement, sophistication, progressiveness and maturity of its social systems. Though not a modern democratic and humanistic society, Joseon society established itself as a kingdom of records and accountability through its unique records and documentation regimes. Peoples' lives are well documented through *Office Archives* and *Private Archives*. Documenting the peoples' lives in their own way, the old archives are truly authentic complements to the *Joseon Dynasty History Compilations* ("*Silloks*" or "*the Veritable Records*").

Unlike the *Veritable Records* compiled by contemporary official historians, the *old archives* documented the social customs and social events (with context and background information), and the relationships of people who were party to those events. Thus, the old archives are essential for studying the often unknown complicated social history of Joseon. Korean *old archives* specialists and historians have extensively engaged in contextual and textual interpretations of the *old archives*. The *old archives* are not yet fully cataloged and indexed so using them is still ineffective. Studies on the textual information of certain *old archives* are popular topic but still finding the contextual information of the *old archives* is hard to accomplish. Most *old archives* were written in classic Chinese characters and the *old archives* scholars need a high level of academic training to read and understand the text as well as historical training.

Documentation of how the records

were used during the Joseon period is also being studied. At present, there are active academic exchanges and multi-disciplinary cooperations among historians, archivists, and classicists to promote the study of pre-modern social history through understanding the *old archives*. More historians and *old archives* specialists are discovering the value of the *old archives* for the study of Korea's pre-modern social history which later strongly influenced people's changing and unchanging values and cultural attitudes during Korea's modernization and industrialization periods in the 20th century.

An archival interpretation of the *Veritable Records*

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The Veritable Records (VR) 1392 to 1910 are one of the most heavily used sources for the study of Korean history. They were a series of documents compiled from 14 other records series including, for example, movements of the king, the results of officer exams, appointments of officers, criminal cases, diplomatic documents and documents on disasters. Long considered to represent a tradition of good archival management in Korea they have not, however, been studied from the specific perspective of archival science. An examination of the way the records were created, managed and preserved, often in ceremonial fashion, demonstrates the importance accorded to them. In addition they were regarded by contemporary administrators as having characteristics of authentic and reliability, although their 'reliability' is sometimes disputed by historians on the grounds that they were a compilation of records and are not, therefore, a 'primary source'. However this demarcation is not a critical one in this instance.

Introduction

The Veritable Records, called 'Joseon *Sillok*' (朝鮮實錄), are a compilation of documents that chronicle the history (annals) of the Joseon dynasty, from 1392 to 1910. They are one of the most important historical resources for the study of Korean history. Because of their historical importance, Korean scholars use the *Veritable Records* almost daily in their research. Many studies of the Veritable Records have been conducted including editions, scholarly articles, and monographs. There were also studies by the official historians themselves (*sagwan* 史官) within the Historian's Office (*sagwan* 史館).¹ These studies were composed in the Spring and Autumn Historian's Office (*Ch'unch'ugwan*) and the Office of Royal Decrees (*Yemun'gwan*).

The *Veritable Records* are national treasure No. 151 and were placed in the Memory of World Register by UNESCO in 1997. They cover 472 years and the reign of 25 kings of the Joseon Dynasty. They exclude the two last kings, King Kojong and King Sunjong, who died under the Japanese colonial rule but otherwise comprise 848 volumes and 1,707 chapters.

Korean archivists and historians consider the *Veritable Records* to be a remarkable symbol of the long and excellent tradition of archival management in Korea; many Koreans are proud of this tradition and the existence of the *Veritable Records*. However, in the Korean archival community, the study of the *Veritable Records* is uncommon. Therefore I decided

¹ Along with the other royal secretaries, who also performed similar duties, the official historians were on night duty in the palace and attended every important administrative session in order to transcribe everything said and done by the king. The king could not meet any official in a private setting without the court historians. In addition, all important petitions and royal decrees were transferred to other departments only after the court historians made copies of them. What they wrote could not be accessed, not even by the kings. Thus, the court historians enjoyed political immunity. Even though their official ranks were very low (senior 7th to the senior 9th grades), their positions were regarded as among the most honorable official posts.

to approach the *Veritable Records* from two perspectives: from archival studies and from the textual criticism of an historian. The first step in understanding the *Veritable Records* is to examine their archival characteristics. Firstly, I will outline the creation and management of the *Veritable Records* through their life-cycle. Secondly, I will explain the characteristics of the *Veritable Records* in light of key concepts such as 'authenticity' and 'reliability'.

Birth of the Veritable Records

Figures 1 and 2 show examples of the *Veritable Records*. Figure 1 is the *Sillok* of King Sejong's reign; figure 2 is the *Daily Records* (日記) of King Kwanghae's reign. When the king was charged with tyranny or misrule, the compiled archives of his reign were named the *Daily Records* instead of the *Veritable Records*. However, there were no differences in the procedures or sources of the compilations.

Fig 1



Fig 2



In addition to this internal *Veritable Records - Daily Records* ranking, there seem to be other hierarchical differences among the public records (those of the secretary of the king, the Advisers of Policy, the Office of the Prince etc.) and the Registries in general offices. Just as there are classes or strata in society, there are classes or strata among records. In this respect, the *Veritable Records* are at the top of the hierarchy and their symbolic position was mainly due to this special position.²

Emperor Taejong of Tang China ordered the compilation of the [Chinese] *Veritable Records* for the first time in the 7th century AD and they disappeared from history with the decline of Joseon Korea and Qing China. In Japan's case, they existed in the 8th and 9th centuries, but disappeared due to the development of feudalism in Japan. Originally the *Veritable Records* were compiled during the king's reign. However, for confidentiality purposes, this later changed so that they were compiled

after a king's death. This custom continued in Koryo Korea and Sung China. Under the influence of Neo-Confucianism, the compilation of the *Veritable Records* began only after the former king's funeral rite. The procedure was summarized as Enthronement → Funeral Rite → the compilation of the *Veritable Records*. When the funeral rite ended, the official compilation process began. This procedure reflects the transformation of the dominant ideology from Buddhism to Neo-Confucianism. And this performance became another important ritual in the compilation of the *Veritable Records*.

Creation of the Records in the Veritable Records

A story explains the nature of writing history drafts by office historians (court diarist, or *hallym* (翰林), the historian and archivist during the Joseon period). King Taejong, the third king of the Joseon Dynasty, once went deer hunting and fell from his horse. Fortunately, he was not injured. The king said to the people around him, 'Don't let the *hallym* know it!'. However, a court diarist saw the accident and he recorded the event and what the king said against the king's wishes.³

This example shows the importance of the *hallyms'* recording of events and making their own commentaries on them. The *hallym* accurately recorded the information into the *Veritable Records*. After a new generation of political leaders emerged, the *hallym* commented on every event and person and recorded his critical views in manuscripts in the *Veritable Records*.

In short, two kinds of records were the primary sources for the *Veritable Records*: manuscripts made by *hallyms* and records from public agencies. In turn the manuscripts written by the *hallyms* consisted of two kinds of records: records about facts that they saw and heard, and

² On the symbolism of records, see O'TOOLE James M., 'The Symbolic significance of archives,' *American Archivist*, 56 (Spring), 1993.

³ *The Veritable Records of King Taejong* (r. 1400-1418), Vol.7, 4th year 8th of February.

their comments about the events, incidents and people. These records were called *historical manuscripts* (史草). The latter became a cause of historical disturbances (史禍), because the comments of the *hallym* could provide reasons for political power struggles.

Rules to protect the accuracy of the *Veritable Records* were drawn up. If the *hallym* or another person had spoiled, stolen or erased manuscripts improperly, they were punished according to the rules of the Royal Documents established during King Sejong's reign. (He was the fourth king under whom the Joseon Dynasty ruled the whole nation.) Even kings were not allowed to see the historical manuscripts. Indeed, a violent action of a king who saw and censored the manuscripts occurred only once, during the reign of King Yeon-san, who was later dethroned at the restoration of King Chungjong. I think this is an interesting symbol of the relationship between the literati 'Yang-ban (兩班)' government and archival principles in the Joseon Dynasty.

In the Joseon Dynasty, there were about 12 important government agencies, such as the Office of Inspection and the Office of Remonstrance. They had to send important records to the Office of History where the *hallym* worked. Here, *historians with double duties* also managed manuscripts of their own.⁴ In the King's Secretary's Office, the *hallym* had their own room to gather the records created in the Secretary's Office and the court. They also created records in the room. The *historians with double duties* among the provincial officers also

recorded important events and gathered the documents to send to the *hallym*.

Compilation of the Veritable Records

After the *Mourning End* (卒哭) for the deceased king, the new king ordered the establishment of a history compilation office and began to compile the *Veritable Records*. The full-time *hallym* from the *Office of History* (春秋館) and the double duty *hallym* from other offices were organized into the *Office of Veritable Records Compilation*. Once the *Office of Veritable Records Compilation* was established, the *hallym* brought the manuscripts and records from the *Office of History*, the *Daily Records* of the secretary, interrogatories, military records, taxation records, census records, and other records of each agency. Deletion or loss of the manuscripts was strictly prohibited and punished in the *Office of Veritable Records Compilation* and the *Office of History*. Indeed, some *hallyms* and bureaucrats were punished because of their careless management of manuscripts and records, especially during the early unstable years of the Joseon period.

The compilation process itself was a process of appraisal. The historian officers in charge of the *Veritable Records* deleted or shortened unnecessary and duplicated records. There were 14 categories: dates, movements of the king, dialogues and discussions in the court, opinions of remonstrance officers, results of officer exams, appointments of officers, criminal cases, diplomatic documents and documents on disasters.

Within these 14 categories, they compiled a first draft, a second draft, and a final draft and then printed the drafts for preservation. The marks seen in Figure 3 and 4 show where sentences and documents were erased or revised; Figure 3 is the second draft, and the Figure 4 is the final draft of the *Daily Records of King Kwanghae's Reign*.⁵

⁴ Most departments appointed some of their officials as official historians who, in addition to their regular duties, were in charge of organizing and saving various daily minutia and materials. This concurrent position was known as *kyomim sagwan* (兼任史官)—*historian with double duties*. Collected materials were handed over to full-time official historians (*chonim sagwan* 專任史官) who also recorded details of the court, compiled the Daily Record of Events, and eventually compiled the *Veritable Records* after the death of a king. These full-time official historians worked in the Office of Royal Decrees (*Yemun'gwan* 藝文館) or the Office of Spring and Autumn Historians (*Ch'unchu'gwan* 春秋館).

⁵ The second draft of the *Daily Records of King Kwanghae* (r. 1608-1623), Vol. 1, Seonjo 41st year, 4th of February.

Fig 3



Fig 4



Figs 3 and 4. Traditional records are written and read from left to right. The article on the seventh line marked in red on the second draft (Fig 3) was erased in the last line of the final draft (Fig 4). The second draft was hand-written in cursive (草書), which required long-term training to read. The final draft was written in print letters.

Because of the irregular sizes of paper, archivists preserved the records by transcribing them in a form of a book. This method was used not only for the *Veritable Records* but was common in general offices and was called 'registry'. The *registry* (謄錄) means both the action of registering and the registered record itself.

The *Veritable Records* were printed in two sets of copies during the early Joseon period. In the middle of the Joseon Dynasty, four sets of copies were printed and preserved to ensure the records' survival an emergency or through acts of war, fire, or other artificial and natural disasters. Interestingly, as they may have anticipated, three sets of copies burned during the invasion of the Japanese army in 1592, and only one copy survived. After the invasion of the Japanese army, five sets of new copies were printed.

When the *Veritable Records* were completed, some *hallyms* recorded the compilation process, discussions about the compilation, the number of people employed, materials consumed, and monthly payment, etc. They made a final report on the compilation process.

Ceremonies surrounding the compilation of the Veritable Records

When the printing of the *Veritable Records* was completed, the *Veritable Records* were preserved in the Office of History located in the Palace and in four *History Archives* (史庫) located on remote mountains in four provinces. A series of ceremonies and practices, such as wrapping (*Pongkwa* 封裹), a parade, and a ceremony of accessioning (*Pongan*, 奉安), were made to show people their compliance with precedent.

The manuscripts and records that were weeded in the 'tournament' of archives and in the process of appraisal were macerated at a small stream near the Office of Paper outside the palace. The purpose of maceration, *Washing Drafts* (*Sech'ŏ* 洗草), was to keep the secrets of the records and to recycle the paper. Finally, the court conducted a regular triennial inspection (*P'oswae* 曝曬) of the compiled archives in the official archives.

The king gave horses, leather goods, and other valuables as rewards to the *hallyms* for participating in the compilation of the *Veritable Records*. No one declined the king's rewards! The following table shows the rituals at each stage of the *Veritable Records*, from creation to compilation, and to preservation.

Rituals:	Burning ceremony Orientation ceremony	Wrapping Ceremony, Enshrinement Ceremony Washing Drafts Feast Promotion of Official Grades Prizes and Awards	P'oswae Ceremony (Air ventilation process as a part of climate control)
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Rituals of the *Veritable Records* compilation

were referred to for previous examples of policy-making and national rites and rituals. Needless to say, only the *hallym* could see and transcribe the appropriate part of the *Veritable Records* for this business use.

In addition, the *Veritable Records* were a history for 'the people after the dynasty'. During the dynastic period, no one might talk about 'after the dynasty' – that would indicate a revolt or treason. I suppose that only one way for the people to imagine the time 'after the dynasty' was through history. In this respect, history was a transcendental bridge to a future beyond the 'here and now.' This is indeed the genuine and religious characteristics of the traditional Confucian society.

Preservation of and access to the *Veritable Records*

Only full-time *hallyms* could enter the History Archives and read the *Veritable Records*. They examined the *Veritable Records* every three years and exposed them to the sunlight to remove insects and to control humidity. They put herbal medicines into the archive boxes in which the *Veritable Records* were preserved. The traditional hemp papers (韓紙), natural ink (墨), medicines, and good facilities provided the *Veritable Records* with a good quality environment for their long preservation.

Because the *Daily Records of Royal Secretary* of the early Joseon period were burned in the 1592 Japanese invasion, the *Veritable Records* were very important in the government business. They

Authenticity and Reliability of the *Veritable Records*

The *hallym* also had a concept of 'authenticity and reliability' similar to that found in modern archival studies. In traditional Confucian society, the idea of *right recording* (直書) corresponded to the modern one. That idea stemmed from the *Spring and Autumn Annals of Confucius*. In this book, Confucius emphasizes the significance of moral judgment in historiography. He believed that a moralistic writing of history would help order human society into a proper hierarchy. This approach came to be known as 'the writing principle of the Spring and Autumn Annals' (*Ch'un-ch'u p'ilpop* 春秋筆法). The core message of this book is to reveal and establish the cause and principle of the Spring and Autumn Annals, (*Ch'un-ch'iu taewi* 春秋大義).

However, the idea of 'right recording' was not only related to the moral aspect of archiving or historiography, but also to the fact itself. What was recorded should be the fact. This idea was based on the Confucian cosmology that viewed the value and being of the world inseparable.

Authenticity is warranted during the procedure of creation of records. They are therefore what they purport to be. Authenticity is not an intrinsic characteristic of documents. It is given to them by the fact that they are preserved in an appropriate designated place. The Public office, treasury, and the history archives were the places where the *Veritable Records* were preserved. That is the reason why I have translated these 'Annals of the Joseon Dynasty' as 'the *Veritable Records*' and the reason why the *hallym* themselves named them as 'the *Veritable Records*'. The term 'veritable (實)' had the double meanings of 'authentic' and 'reliable'.

A record is reliable when it can be treated as a fact, or as evidence. By contrast, a record is authentic when it is the very document that it claims to be. The value of evidence of an action depends on the reliability of the record. Reliability refers to the authority and trustworthiness of the records as evidence, and their ability to stand for the facts they are about.

As far as the concept of reliability is concerned, I could not find the proper explanation in the characteristic of the *Veritable Records*; sometimes I found wrong or incorrect facts or statistics in them. However, it should be noted that the *hallym* and the other 'stakeholders' in the *Veritable Records* believed that they were reliable and used them as evidence in their work and judgments.

Beyond understanding the *Veritable Records* in light of the concepts of authenticity and reliability, another problem remains. This problem has its root in the difference between the disciplines of history and of archival studies. Some Korean historians say that the *Veritable Records* are not

primary sources or archives, but secondary sources since they are a compilation. But I think this opinion is superficial and incorrect. The demarcation between history and archives is not a critical one in traditional society. First of all, the *hallyms* and other scholars of the Joseon Dynasty called the *Veritable Records* 'history (史)' but this does not mean that the *Veritable Records* were not archives. In this context, I would define the *Veritable Records* as a history with archival characteristics even if this view can be criticized as eclecticism.

Conclusion

The *Veritable Records* were closed to both people with power and the public and in that way preserved a clear picture of the society and bureaucracy of the Joseon dynasty. Nowadays, with the development of democratic infrastructure, we as citizens can access all archives. The *Veritable Records* represent iconographies and traditions of a centralized government. They were a vortex that absorbed records regardless of whether they came from the center or the provinces. Nowadays, the new vision for balanced development in Korea is de-centralized government so the admiration for the *Veritable Records* might clash with this course in the future. Nevertheless, the tradition of the *Veritable Records* raises important questions about the professional loyalty and accountability. Can we now and in the future overcome such problems as manipulations, substitutions and falsifications of the records, similar to those which the *hallyms* of the Joseon Dynasty confronted and overcame at the risk of their lives? And will our descendants recognize the authenticity and reliability of our archives in another 500 years or more? That is the question.

Abstracts

Names, places and history. Two projects on universal access to primary sources and Brazilian historiography

Myriam Bahia Lopes

The two projects *The Visual Memory Network of Victoria Bay*, and *Itabirito names and places* construct a methodology to universalize historical information. They speak to the 'historian-collector' who uses the Internet to link information. The projects allow for a critical reflection upon the history of Baía de Vitória and the region of Itabirito in Brazil. Its approach moves the network away from universal history and chronological time in which the date sequence supplies an a priori sense for historical development and the logic sequencing of facts. Instead, the network offers many different ways of accessing the images and texts, by exploring the web and interweaving technological effects as opposed to linear homogeneous time and thus allowing for many different ways of producing history.

Helping the researcher through online finding aids : the experience of the National Archives for French overseas territories

André Brochier

The *Archives nationales d'Outre-Mer* (ANOM), whose mission is to preserve, make accessible and put to use the public archives of the French colonial presence overseas, is directed at a broad international audience. In order to better respond to the need for information, it has developed an Internet search engine (IREL). Launched in 2004 by placing on-line the general state of the archive's holdings, IREL has gradually expanded to include a bank of images (Ulysse), documents on civil status up to 1880 and the holdings of the ANOM library. The integration of detailed inventories of holdings will be operational in 2009 and will allow, for certain materials, access to images of digitized documents. A search on all these inventories will rely in particular on common systems of reference (lists and authority records) and on a database of names containing all of the people cited in the inventories. In addition to free text searching, a guided search by vocabulary contained in the search engine will be available. It will be possible to query a theme

(for example, "slavery") which will lead to a search on all the words or expressions.

The accessibility of archival sources in the Israeli district archives system

Michal Henkin

As public relevance of local government increases, the configuration of local government will change from a local institute leaning toward organization to an institute leaning toward goals and results. Either the local authority will continue to provide services directly, or different networks will be created and managed according to the joint interests of the partners. Local government could arrange services for the public by using a service provider with proven financial and professional abilities within a long-term franchise framework, dictating service standards, and ensuring that the franchise meets its obligations. The borders of local government in this situation change from the geographical and formal limitations of municipal units to those determined according to jointly managed subjects. These networks could be made available for the duration of a particular project or continuously in accordance with the partners' wishes. They could also be institutionalized in various federative frameworks.

In order to bring about a change that would reduce the maintenance costs of archives, increase the level of service provided, and improve access to information, an organizational model differing from the current model must be chosen. Undoubtedly, without instructions from central government, it will be difficult to implement this change. Creation of a district archives should be based on regional divisions already made and existing cooperative arrangements of municipal associations. As time passes, the public will increase its demand for accessibility to information as one of its basic citizenship rights, and local authorities will no longer be able to ignore this increasing demand.

The information retrieval needs of archival users: a case study from the Jabotinsky Institute, Israel

Masha Zolotarevsky

Archival user needs have been the subject of much professional attention in recent decades but understanding users' information seeking and retrieval behavior is of particular importance now that many archives are in the process of producing web-based finding aids which allow for independent searching from outside the repository. A study at the Jabotinsky Institute Archives Research into the ways in which users define the subject of their searches, and how they build a search strategy has provided valuable information for the future construction of efficient and user-friendly search and retrieval tools. In particular the study identified that personal names, often associated with different variables, were preferred as search terms; that users preferred simple, rather than advanced search interfaces; and that natural language was preferred to the linguistic functions, such as Boolean searching, provided by most systems. Such findings suggest the adaptations that can be made to existing and future systems to provide users with the best possible search results.

Diagnosis of the present situation of Latin American diplomatic archives: foundation for a programme of cooperation

Mercedes de Vega

In the word "governance," public administration theorists have defined the need for adapting the exercise of government to an era when liberal democracy is pre-eminent in the world. This new outlook aims to create synergies between national governments, their international representatives and non-governmental agencies (academics,

the mass media, NGOs, etc.), but it poses serious challenges for countries with young democracies and emergent economies like those of Latin America. And, in fact, it has proved to be an approach which, when taken up in such countries without adaptation to local realities, ends up as merely a rhetorical device with consequences opposite to those intended. Archives, as bodies charged with preserving those records containing nations' knowledge of themselves and, in democratic regimes, putting them at the disposal of society, are no exception to this. From an analysis of the situation of nineteen diplomatic archives of the member states of the Network of Latin American Diplomatic Archives (a programme of the General Secretariat of the Ibero-American Summit - SEGIB) the possibilities for formulating options and solutions to make diplomatic archives real instruments for democratic progress and the development of the people of Latin-America are examined.

Archives of French Western Africa in Senegal National Archives: better sharing of a common historical inheritance

Papa Momar Diop

The archives of the government of French West Africa (1895-1959) remained in Dakar (Senegal) when the nine colonies and territories making up the area became independent. These archive represent a common heritage for Senegal, Mauritania, Mali, Guinea, Burkina Faso, Niger, Ivory Coast, Benin, Togo and for France itself. To be able to share this heritage more effectively a microfilm programme has been set up with help from France. However because of a lack of financial and human resources, implementation has not gone ahead and there are now, in addition, severe problems in terms of conservation. The National Archives of Senegal have launched a digitisation initiative but they cannot carry out such an exercise as it also requires the fonds to be conserved as a first step. Papa

Momor Diop appeals to all parties involved to combine their efforts to ensure the preservation of this exceptional patrimony.

Going global : Developing globally harmonised software specifications for records

Adrian Cunningham

The need for good electronic record-keeping systems has been clearly recognized by recordkeeping professionals since the 1990s. The production of international standards on which to base such systems, notably ISO15489, has been a notable achievement; however it has been difficult for software vendors to produce one product which is internationally compliant given the proliferation of national and jurisdiction-specific functional requirements. On the initiative of the National Archives of Australia, the ICA and the Australasian Digital Recordkeeping Initiative (ADRI) established a project team to develop a single globally harmonised statement of requirements that all the jurisdictions involved could endorse and use as the basis for developing or revising jurisdiction-specific requirements where necessary. As well as the national archives institutions involved, there was extensive consultation with software vendors and industry groups, governments, the European Union, ISO etc. One of the main objectives of the project was to produce a statement of requirements for EDRMS that were fit for the purposes and realities of less wealthy countries. The three main 'modules' were (1) an overview document and statement of principles; (2) high-level requirements and guidelines for electronic records management system software; and (3) guidelines and requirements for managing records in business systems. The last module is particularly exciting as it is designed to allow organizations to manage records in existing business systems (e.g. e-commerce or

client relationship management systems) rather than creating records in one application and managing them as records in a separate ERM application.

Allies or aliens? What is the relationship between academic and practice-based research?

Caroline Williams

This paper discusses the relationship between academics and practitioners in their approaches to research. It considers how the mission, aims and objectives of their respective employing organisations influence the nature and methods of the research they undertake. It argues that the best model of the research relationship between academics and practitioners is one that is collaborative, interactive, and iterative. It explores some current examples of international collaborative projects and describes how the UK National Archives, as a major practitioner and one of the UK's seven Independent Research Organisations, is repositioning its strategy on research. It finishes by highlighting some of its current research projects, including the Semantic Web, archiving Web sites, conservation science and climate change, understanding online users, and developing a wiki for users of the National Archives.

Educational offers for business archivists: means of creating an archival profession

Peter Blum

The VdW (Association of German Business Archivists) offers specialized vocational training and advisory services for business archivists in Germany. The training program consists of three to five day training courses held two to three times each year for a maximum of twenty students for each course. One of the aims of the training is to encourage business archivists

to develop and project a positive image, one that supports the business needs of their employers. Particular emphasis is placed on developing public relations, public speaking and time management skills.

Electronic records management in China: present and future

Wang Liangcheng

Two recent surveys by the State Archives Administration of China (SAAC) have demonstrated the extent to which electronic records account for a majority of records in central government agencies and other organisations. However China faces serious challenges in the management and preservation of electronic records. While a comprehensive legal and regulatory environment for information management and security is enabling the country to build a well-functioning modern information society, an overall national strategy for electronic records management is still lacking. The SAAC is taking a leading role in the development of national standards and regulations and it is expected that a national electronic records centre will be established.

The Macro dictionary of Archival Terminology: a tool for standardisation in the field of Spanish language

Carmen Díez Carrera, José Ramón Cruz Mundet, Isabel González Corral, Santiago Morán Medina

The Macro Dictionary of Archival Terminology project is being carried out at the Carlos III University in Madrid to develop a tool for the 20 countries sharing Spanish as a common language. The project, initially directed by Prof. José Ramón Cruz Mundet in 2004 and latterly by Prof. Carmen Díez Carrera, comprises a research team made up of individuals from different fields (law, archival science, linguistics

tics). The Macro Dictionary of Archival Terminology is conceived as a lexicographical database of archival knowledge, based on terms extracted from archival texts. Since it is essential to obtain practical results directly transferable to society and particularly to the professional community, outputs will be (1) publication of a dictionary of current Archival Terminology, and of a Macro Dictionary of Archival Science; (2) development of a dynamic webpage for the project; (3) a terminological reference file for Spanish archival science in full text. Three years on, the project has produced a terminological database, a terminological file, and a regular dictionary in an advanced stage of development, containing around 500 terms extracted from the more than 3000 terms subject to study.

A new international standard to describe the functions of records' creators: ICA-ISDF

**Claire Sibille-de Grimouard,
Padré Lydie Gnessougou Baroan-
Dioumency**

The main aim of archival arrangement and description is to preserve the original context of records' creation, by safeguarding their evidential value and their authenticity. Authority records compliant with ISAAR(CPF) make it possible to collect any important information on the records' creators, corporate bodies, persons or families. That is the reason for providing separate but linked descriptions of records and of their creators – it enables archivists to develop dynamic and multidimensional descriptive systems. Functions are often transferred from one corporate body to another. Thus it will be much more difficult for users to reconstitute the context of records' creation if they are only provided with authority records describing corporate bodies that performed the same function. Separate but linked descriptions of functions can improve the understanding of that context and can be used in conjunc-

tion with ISAD(G)-compliant descriptions and ISAAR(CPF) authority files as a tool for efficient retrieval of archives' and creators' descriptions in archival descriptive systems. This approach constitutes the basis of the new international standard ISDF which provides guidance for preparing descriptions of functions of corporate bodies associated with the creation and maintenance of archives.

A new approach to appraisal: Building blocks for a new appraisal method for archives

**Robbert Jan Hageman,
Charles Jeurgens, Ruud Yap**

Two problems that government organizations have to deal with in archiving their information are the backlog of paper documents that need to be archived and the ephemeral quality of digital information. In 2006, the Dutch government came up with eight points of action to deal with these problems. One of them is a different approach to archival selection. Past Appraised, the Committee for Appraisal and Selection, that was installed by the Dutch National Archivist and in which archivists, historians, and information specialists participated, offers a new integral goal for government archives selection, with an appropriate method to use to reach that goal. The principle is that selection and acquisition are two sides to the same cultural heritage coin: both serve to build up a representative collection. The first thing the committee did was to critically examine the objectives of the current method of appraisal and selection, called PIVOT. A number of parties had fundamental criticism of their scope. Objectives, after all, provide direction to appraisal and selection. The committee formulated a much broader objective in comparison to the existing selection objectives, one that better suits the principle that the archivist's primary goal is to document a certain period for society as a whole. This is stated

as follows: “the objective of appraisal, selection and acquisition is to collect and preserve sources that make it possible for individuals, organizations and social groups to discover their history and reconstruct the past of the state and society, as well as the interaction between the two.” In contrast to the current objective, the new one implies that in the systems for appraisal and selection there is no difference between archives created by government bodies and those created by private institutions or persons.

Green archives buildings: archive buildings and sustainable development

France Saïe Belaïsch

There is a long tradition of building archives in France. Under the influence of Michel Duchein, many buildings were built in tower form between 1965 and 1985; many of these now require updating, in particular because of problems with thermal insulation. Subsequent building was lower-rise. A variety of approaches are in evidence today, all of which take different approaches to sustainability. Studies into conditions for storage areas have resulted in the revision of standards for environmental control and studies into load-bearing have allowed for economies in building material. Old buildings with thick walls often provide good conditions for archival storage and are sustainable because they allow reuse of existing materials. In addition they allow users and staff to benefit from the architectural merits of such accommodation. In contemporary buildings there needs to be a recognition of the differences between passive and positive energy buildings as well as the difference between solar and photovoltaic energy. It remains the case however that sustainable buildings must be buildings which we also wish to preserve and that even today, architecture cannot be reduced, to questions of sustainable development.

Disaster planning of electronic records management

Sungun Nam, Dai Hyun Yoon

The article introduces the disaster recovery planning of electronic records which has been worked by the National Archives of Korea. Through an effort of an electronic government project in Korea, the number of electronic records has rapidly increased, and archiving work has changed from paper records-based archiving to electronic records archiving. Moreover, the quantity and long-term value of electronic records continues to increase rapidly today. Disaster recovery planning is essential to safely protect important electronic records. It should be possible to provide the safe preservation and full service of records while maintaining business continuity, prompt recovery of the required data, and continuing core work under certain disaster circumstances. The author addresses the derivation of risk elements through risk analysis and their influence on the archiving work. He explains the strategy of business continuity, systematic disaster response and procedure, and its implementation. The present disaster recovery planning procedure of electronic records in the National Archives of Korea in the Daejeon headquarters, and branches of Seongnam and Busan, is presented, followed by the plan for the architecture model of the disaster recovery system (DRS). Finally, a timetable for future plans for the DRS of electronic records is outlined.

Recordkeeping innovations and presidential records issues in Korea

Sangmin Lee

During its last administration, the Korean government went through a period of government-wide recordkeeping innovation. It was initiated and supported by the former president, Mr. Roh Moo Hyun, and supported by civilian profession-

als in a strong governance structure. The Public Records Management Act (PRMA) was revised to make it effective and the Presidential Records Act (PRA) was legislated.

During this period, the National Archives of Korea (NAK) tripled in staff size and made government-wide records innovations. At the end of his term, the former president copied all of his presidential records in electronic form and kept them for his use while he transferred the “authenticated” presidential records to NAK. His former secretaries were charged with violation of the Presidential Records Act by NAK. The massive transferring and copying of the electronic presidential records triggered some serious and controversial political, legal, institutional, and technological records issues in Korea.

This report summarizes the records issues to give further consideration to electronic records management. The issue of politically sensitive records in the public archives is also addressed.

A briefing on MOWCAP

Ray Edmondson

MOWCAP is the UNESCO *Memory of the World* Regional Committee for Asia Pacific. Its area extend from Mongolia in the north, to New Zealand in the South, Kazakhstan to the West and the Pacific islands to the east, covering 43 countries in total. 15 of these have national committees of their own established under the auspices of their UNESCO National Commission; some have established National MOW Registers. MOWCAP works to promote and extend the MOW programme within the region: for example it has established the Asia Pacific MOW register, it provides advice and training, it encourages the establishment of new national committees and it encourages countries to prepare nominations for the International MOW Register which currently predominantly reflects the European heritage. Several successful projects have already been completed.

UNESCO's Memory of the World programme

Miriam Nisbet

The *Memory of the World* (MOW) is the recorded collective legacy of the peoples of the world and represents a significant proportion of the world's heritage of human achievements since the dawn of time. While some of this is transmitted orally, in its recorded form it is more commonly known as 'documentary heritage'. But it is fragile, subject to many types of both natural deterioration and man made disasters. UNESCO's MOW programme was launched in 1992. Its objectives are (1) the preservation of such materials, by providing training, information and obtaining sponsorship for projects; (2) providing access to the materials through digitization, book publication etc; (3) raising global awareness of the significance of documentary heritage. This last is carried out principally through the identification of documentary heritage of world significance and its listing it on a MOW register. There are three types of register: International, Regional and National. All contain material of world significance and an item may appear in one or more register depending on the geographic sphere of its influence. Nominations for inscription can be made by any individual or body and an International Advisory Committee meets every two years to make decisions on entries in the register.. In addition there is a structure of regional and national committees but this is incomplete and needs to be strengthened

Europe and the Memory of the World programme

Wladyslaw Stepniak

The Memory of the World programme has a special significance for many European nations as the date of its establishment, 1992, coincided with the period when many of them were freeing themselves from Communist rule. The overall objectives of the MOW programme, preservation of the cultural heritage, and, more specifically,

access to that heritage, were of course of great interest to archivists. This was particularly the case in Poland where it was archivists, rather than librarians, as elsewhere, who headed up the work of the National Committee. Although the ICA was heavily involved in the formation of the MoW, it also had reservations about its application to archives on grounds that criteria for inclusion of documents were incompatible with the rules of archival science. Although there are problems with including entire fonds in the Register, overall notions of incompatibility are exaggerated, and it would be a great pity if the ICA's reservations were inhibiting other national committees from selecting documentary material for inclusion, especially countries outside Europe, which, as a region, alone accounts for 50% of entries on the register.

Church archives after Poland's entry into the European Union

Julia Dziwoki

This article discusses advances in the management and preservation of, as well as access to, the archives of the Catholic Church in Poland in the period since Poland's application to the European Union in 1994.

Old archives in pre-modern Korea: the documentation of people's lives

Kwisun Si

The *old archives* documenting the interaction of individuals with government survive in large numbers in Korea. Although suffering substantial losses in the past, more than a million such items dating mainly between 1392 and 1910 survive in Korean archives and libraries. Although they can be difficult to interpret, they are now being increasingly studied and they provide a valuable resource for the student of pre-modern Korea particularly in the areas of social and economic history. The

majority of these *private records* relate to property, inheritance and the right to buy and sell privileges. Many deal with slavery which was widespread. In addition the records provide evidence of the sophisticated recordkeeping practices of the Joseon dynasty. The very existence of such systems contradicts the view promulgated during the Japanese colonial period of pre-modern Korea as a primitive, stagnant and irregular society, a view once used to justify that colonization process

An Archival interpretation of the Veritable Records

Oh Hang-Nyeong

The *Veritable Records* (VR) 1392 to 1910 are one of the most heavily used sources for the study of Korean history. They were a series of documents compiled from 14 other records series including, for example, movements of the king, the results of officer exams, appointments of officers, criminal cases, diplomatic documents and documents on disasters. Long considered to represent a tradition of good archival management in Korea they have not, however, been studied from the specific perspective of archival science. An examination of the way the records were created, managed and preserved, often in ceremonial fashion, demonstrates the importance accorded to them. In addition they were regarded by contemporary administrators as having characteristics of authentic and reliability, although their 'reliability' is sometimes disputed by historians on the grounds that they were a compilation of records and are not, therefore, a 'primary source'. However this demarcation is not a critical one in this instance.

Résumés

L'accès universel aux sources primaires et l'historiographie brésilienne

Myriam Bahia Lopes

Chacun des deux projets *Le réseau de la mémoire visuelle de la Baie de Victoria* et *Noms et lieux d'Itabirito* construit une méthodologie pour rendre universelle l'information historique. Ils s'adressent à l'historien-enquêteur qui utilise la navigation sur Internet comme un moyen de relier l'information. La tâche de cet enquêteur est une réflexion critique sur l'histoire de la baie de Victoria et sur la région d'Itabirito au Brésil. La série est constituée comme une interconnexion où chaque élément d'information est relié à une série similaire. Cette approche écarte le réseau de l'histoire universelle et des systèmes chronologiques, où la suite des dates suppose un sens *a priori* du développement historique et de la suite logique des faits. L'interconnexion en réseau offre différentes possibilités d'accéder aux images et aux textes, en explorant le Web et en imbriquant des effets technologiques, en opposition à une ligne temporelle homogène.

Aider le chercheur lors de la mise en ligne d'instruments de recherche sur Internet : l'expérience des Archives nationales d'outre-mer

André Brochier

Les Archives nationales d'outre-mer, qui ont pour mission de conserver, communiquer et mettre en valeur les archives publiques de la présence coloniale française outre-mer, s'adressent à un large public international. Afin de mieux répondre à ses attentes d'informations, elles ont développé sur Internet un portail d'accès aux instruments de recherche (IREL). Celui-ci, inauguré en 2004 avec la mise en ligne de l'état général des fonds, s'est enrichi progressivement d'une banque d'images (Ulysse), des documents de l'état civil jusqu'en 1880 et de la bibliothèque de l'institution. L'intégration des inventaires détaillés des fonds conservés sera opérationnelle en 2009 et permettra, pour certains d'entre eux, l'accès aux images des documents numérisés. Une recherche sur l'ensemble de ces inventaires s'appuiera notamment sur des référentiels communs (listes et notices d'autorité) et sur une base nominative recensant toutes les personnes citées dans ces inventaires. Outre la recherche « plain text », une recherche guidée dans le vocabu-

laire de ces instruments de recherche sera proposée. Il sera ainsi possible d'interroger soit un thème (« esclavage » par exemple) qui entraînera une recherche sur tous les mots ou expressions se référant à ce thème (« noirs », « gens de couleur », etc.), soit une sélection de ces termes.

L'accès aux sources dans le système des archives de district en Israël

Michal Henkin

Comme la pertinence des gouvernements locaux augmente, la configuration du gouvernement local évoluera d'une tendance locale vers une institution visant à des buts et des résultats. Soit l'autorité locale continuera à fournir directement des services, soit différents réseaux seront créés et gérés en fonction des intérêts communs des partenaires. Le gouvernement local pourrait mettre en place des services au public en utilisant un fournisseur de services ayant des capacités financières et professionnelles attestées à l'intérieur d'une structure de franchise à long terme, en imposant des normes de services, et en s'assurant que la franchise rencontre les obligations. Les limites du gouvernement local dans cette situation vont des frontières géographiques et formelles des unités municipales comprises dans l'autorité locale, à celles qui sont déterminées de commun accord. Ces réseaux pourraient être disponibles pour la durée d'un projet particulier, ou bien agir de façon continue selon les souhaits des partenaires. Ils pourraient aussi être institutionnalisés dans divers cadres fédératifs.

Afin de déterminer un changement qui réduirait le coût d'entretien des archives, d'élever le niveau des services fournis et d'améliorer l'accès à l'information, il convient de choisir un modèle organisationnel différent du modèle courant. Sans aucun doute, il sera difficile de mettre ces changements en pratique sans des instructions du gouvernement central.

La création d'archives de district devrait reposer sur les divisions régionales déjà existantes et sur les arrangements de coopération entre associations municipales. Plus le temps passe, plus croîtra la demande du public pour l'accès à l'information en tant que droit fondamental du citoyen, et les autorités locales ne pourront pas plus longtemps ignorer cette demande.

Besoins en recherche documentaire des usagers des archives : une étude de cas de l'Institut Jabotinsky, Israël

Masha Zolotarevsky

Les besoins des usagers des archives ont fait l'objet d'une attention professionnelle approfondie au cours des récentes décennies, mais il est particulièrement important de comprendre le comportement des chercheurs et des utilisateurs à la demande d'informations, maintenant que nombre d'Archives en sont au stade des inventaires sur le Web, qui permettent une recherche indépendante en dehors du dépôt. Une étude menée par l'Institut Jabotinsky de recherches en archivistique sur la façon dont les usagers définissent le sujet de leurs recherches et conçoivent une stratégie de recherche a fourni de précieuses informations pour l'établissement futur d'outils de recherche efficaces et conviviaux. En particulier, l'étude a identifié que les noms personnels, souvent associés à diverses variables, avaient la préférence comme termes de recherche ; que les usagers préfèrent des interfaces de recherche simples plutôt qu'avancées ; et que le langage naturel avait la préférence sur les fonctions linguistiques, comme la recherche Booléenne, présentée par plusieurs systèmes. Des constatations de ce genre font penser aux adaptations qui peuvent être introduites dans les systèmes existants ou futurs pour faire bénéficier les usagers des meilleurs résultats de recherche possibles.

Diagnostic de la situation actuelle des archives diplomatiques ibéro-américaines : bases pour un programme de coopération

Mercedes de Vega

La « gouvernance » est le concept au moyen duquel les théoriciens de l'administration ont défini la nécessité d'adapter l'exercice gouvernemental aux temps de la prééminence désirée de la démocratie libérale dans le monde. Cette nouvelle perspective a pour objet de créer des synergies entre les gouvernements, les acteurs étatiques internationaux et les acteurs non étatiques (universitaires, médias, ONG, etc.); elle implique des défis sérieux pour les démocraties jeunes et les économies émergentes comme le sont les latino-américaines. Et, de fait, il a été prouvé que, quand elle s'impose à des pays qui ont ces caractéristiques sans s'adapter à leur réalité propre, elle termine en recours théorique, avec des conséquences contraires à celles qui étaient recherchées.

Les archives, en tant qu'entités chargées de préserver les documents qui contiennent la connaissance que les États ont d'eux-mêmes, et de les mettre à disposition des sociétés dans les régimes démocratiques, ne font pas exception. À partir d'un diagnostic de la situation des archives diplomatiques de dix-neuf des pays membres du Réseau d'Archives Diplomatiques Ibéro-américaines (RADI), programme de coopération du Secrétariat Général Ibéro-américain, seront discutées les possibilités, pour ce Réseau, de créer des alternatives et des solutions qui fassent des archives diplomatiques de véritables instruments de progrès démocratique et de développement des peuples d'Ibéro-amérique.

Les archives de l'Afrique occidentale française: un patrimoine historique commun à mieux partager

Papa Momar Diop

Les archives du gouvernement général de l'Afrique occidentale française (1895-1959) ont été laissées à Dakar (Sénégal) au moment de l'accession à l'indépendance des neuf colonies et territoires qui la composaient. Ces archives constituent un patrimoine commun au Sénégal, à la Mauritanie, au Mali, à la Guinée, au Burkina Faso, au Niger, à la Côte d'Ivoire, au Bénin, au Togo et à la France. Pour mieux partager ce patrimoine commun, le microfilmage en a été entrepris avec l'aide de la France. Faute de moyens financiers et humains, les opérations n'ont pas été poursuivies et en outre des problèmes aigus de conservation se posent aujourd'hui. Les Archives nationales du Sénégal ont lancé une étude de numérisation mais elles ne peuvent mener seules une telle opération qui exige également que les fonds aient été restaurés au préalable. Papa Momar Diop appelle donc toutes les parties prenantes à conjuguer leurs efforts pour assurer la préservation de ce patrimoine exceptionnel.

Mondialisation : développer un logiciel de spécifications des archives globalement harmonisé

Adrian Cunningham

La nécessité de disposer de systèmes fiables de conservation électronique des documents a été clairement mise en évidence par les professionnels depuis les années 1990. La production de normes internationales sur lesquelles baser des systèmes de ce genre, notamment la norme ISO15489, a été une remarquable réussite ; néanmoins, il a été difficile aux vendeurs de logiciels de mettre sur le marché un produit qui soit internationalement utilisable, étant donné la prolifération des

obligations nationales et des exigences en fonction de la juridiction spécifique. A l'initiative des Archives nationales d'Australie, l'ICA et l'*Australasian Digital Recordkeeping Initiative* (ADRI) ont mis sur pied une équipe destinée à développer un relevé globalement harmonisé des exigences que toutes les juridictions impliquées pourraient approuver et utiliser comme base pour développer ou réviser les obligations juridictionnelles spécifiques lorsque nécessaire. Tout autant qu'avec les institutions archivistiques nationales impliquées, des consultations ont eu lieu avec les vendeurs de logiciels et les groupes industriels, les gouvernements, l'Union européenne, ISO, etc. L'un des buts principaux du projet était de mettre en évidence un relevé des exigences pour l'EDRMS qui corresponde aux objectifs et aux réalités des pays les moins fortunés. Les trois modules principaux ont été (1) une vue d'ensemble et un état des principes ; (2) les exigences et les directives de haut niveau quant au logiciel de gestion des documents électroniques ; et (3) les directives et les exigences quant à la gestion des documents dans les systèmes d'entreprises. Le dernier module est particulièrement passionnant car il est destiné à permettre aux organismes de gérer les documents dans des systèmes d'entreprises existants (par ex. le commerce électronique ou les systèmes de gestion des relations avec les clients) plutôt que de créer des documents dans une application et de les gérer en tant que documents dans une application ERM séparée.

Alliés ou étrangers ? Quelles sont les relations entre recherche académique et pratique ?

Caroline Williams

Cet article traite des relations entre universitaires et praticiens dans leur approche de la recherche. Il examine comment la mission, les buts et les objectifs des organismes qui les emploient respectivement peuvent influencer la nature et les

méthodes de la recherche qu'ils ont entreprise. Il soutient que le meilleur modèle de relations de recherche entre universitaires et praticiens doit être collaboratif, interactif et itératif. Il passe en revue quelques exemples en cours de projets internationaux collaboratifs et décrit comment les Archives nationales du Royaume Uni, en tant que praticien principal et l'une des sept organisations de recherche indépendantes, sont en train de revoir leur stratégie de recherche. Il termine en mettant en valeur quelques-uns de leurs projets de recherche en cours, notamment Web sémantique et archivage des sites Web, science de la conservation et changement climatique, compréhension des usagers en ligne, et développement d'un wiki pour les utilisateurs des Archives nationales.

Occasions de formation pour les archivistes d'entreprises: moyens de créer une profession archivistique

Peter Blum

La VdW (Association des archivistes d'entreprises allemands) propose des formations professionnelles spécialisées et des services de conseils pour les archivistes d'entreprises en Allemagne. Le programme de formation consiste en des cours de trois à cinq jours organisés deux à trois fois chaque année pour un maximum de vingt étudiants par cours. Un des objectifs de la formation est d'encourager les archivistes d'entreprises à développer et projeter une image positive qui soutienne les besoins professionnels de leurs employeurs. On insiste particulièrement sur le développement des compétences en matière de relations publiques, de prise de parole en public et de gestion du temps.

Gestion des documents électroniques en Chine : présent et futur

Wang Liangcheng

Deux enquêtes récentes de l'Administration des Archives de l'État en Chine (SAAC) ont montré que les documents électroniques représentent actuellement la majorité des documents dans les agences du gouvernement central et dans d'autres organismes. La Chine se trouve pourtant confrontée à de sérieux défis en matière de gestion et de conservation des documents électroniques. Bien qu'il existe un environnement légal et réglementaire complet en matière de gestion et de sécurité de l'information permettant au pays d'établir une société de l'information moderne et fonctionnant bien, il n'y a pas encore de stratégie nationale globale pour la gestion des documents électroniques. Le SAAC joue un rôle essentiel dans le développement de normes et de règles nationales et on attend l'établissement d'un Centre national des documents électroniques.

Le Macro Dictionnaire de terminologie archivistique : un outil de normalisation dans l'aire de langue espagnole

Carmen Díez Carrera, José Ramón Cruz Mundet, Isabel González Corral y Santiago Morán Medina

En Espagne, s'est développé un projet de création d'un outil commun aux plus de vingt pays qui partagent l'espagnol, un Macro Dictionnaire de Terminologie Archivistique. C'est un projet de l'université Carlos III, dirigé initialement, en 2004, par le professeur José Ramón Cruz Mundet et, depuis 2005, par le professeur Carmen Díez Carrera. L'équipe de recherches est composée de personnes provenant de différents domaines (Droit, Archivistique, Linguistique).

Le projet vise à la création d'un Macro

Dictionnaire de Terminologie Archivistique conçu comme une base de données lexicographique de la connaissance en archivistique; ce sera un fichier basé sur des textes d'archivistique, dont seront tirés les termes.

Dans ce projet, il est essentiel d'obtenir des résultats pratiques directement transférables à la société, et, en particulier, à la communauté scientifique. Concrètement, il y aura :

- ▶ la publication d'un dictionnaire d'usage de Terminologie archivistique et d'un Macro Dictionnaire d'Archivistique
- ▶ le développement de la page web dynamique du projet
- ▶ un fichier terminologique de référence de l'archivistique espagnole, en texte complet.

Après trois ans, le projet a développé une base de données terminologique, un fichier terminologique, en texte complet, et un dictionnaire, dans un état avancé d'élaboration, et qui comprend une sélection d'environ 500 termes tirés des près de 3000 sur lesquels il a été travaillé.

Une nouvelle norme internationale pour décrire les fonctions des producteurs d'archives : ICA-ISDF

Claire Sibille-de Grimoüard, Padré Lydie Gnessougou Baroan-Dioumency

Le principal objectif du classement et de la description archivistiques est de préserver le contexte original de production des archives, en sauvegardant leur valeur de preuve et leur authenticité. Les notices d'autorité conformes à ISAAR(CPF) permettent de collecter toute information importante sur les producteurs d'archives, collectivités, personnes ou familles. C'est là la raison de l'élaboration et de la mise à disposition de descriptions séparées mais liées des archives et de leurs producteurs – cela permet aux archivistes de développer

des systèmes de description dynamiques et multidimensionnels.

Les fonctions sont souvent transférées d'une collectivité à une autre. Il sera donc beaucoup plus difficile pour les utilisateurs de reconstituer le contexte de production des archives, s'ils n'ont à leur disposition que des notices d'autorité décrivant les collectivités qui ont exercé la même fonction. Des descriptions séparées mais liées de fonctions peuvent améliorer la compréhension de ce contexte et peuvent être utilisées en conjonction avec des descriptions conformes à ISAD(G) et des notices d'autorité conformes à ISAAR(CPF) permettant ainsi un meilleur accès aux descriptions des documents et de leurs producteurs dans les systèmes de description archivistique. Cette approche constitue la base de la nouvelle norme internationale ISDF qui donne des règles pour la préparation de descriptions de fonctions de collectivités associées à la production et à la gestion des archives.

Une nouvelle approche de l'évaluation : poser les bases d'une nouvelle méthode d'évaluation des archives

Robbert Jan Hageman,
Charles Jeurgens, Ruud Yap

Les institutions publiques doivent faire face à deux problèmes dans l'archivage de l'information : le retard accumulé dans l'archivage des documents-papier et le caractère éphémère de l'information numérique. En 2006, le gouvernement hollandais a établi huit points d'action pour traiter ces problèmes. L'un d'entre eux consiste en une nouvelle approche de la sélection d'archives. *Past appraised*, le Comité pour l'évaluation et la sélection qui a été mis en œuvre par l'Archiviste national des Pays-Bas et auquel ont participé archivistes, historiens et spécialistes de l'information, offre un tout nouvel objectif à la sélection des archives gouvernementales, avec une méthode

appropriée au but poursuivi. Le principe est que sélection et acquisition sont deux faces de la même pièce du patrimoine culturel : tous deux servent à élaborer une collection représentative. La première tâche du Comité fut un examen critique des objectifs de la méthode courante d'évaluation et de sélection, appelée PIVOT. Un certain nombre d'éléments méritaient des reproches fondamentaux. Les objectifs, après tout, fournissent une direction pour l'évaluation et la sélection. Le Comité a formulé un objectif bien plus large que les buts de sélection poursuivis jusque là si on adopte le principe que le premier but de l'archiviste est de documenter une certaine période pour la Société comme un tout. Cela a été défini comme suit : « l'objectif de l'évaluation, de la sélection et de l'acquisition est de rassembler et de conserver des sources qui permettent à des individus, des organismes et des groupes sociaux de découvrir leur histoire et de reconstruire le passé de la nation et de la société, de même que l'interaction entre les deux ». A l'opposé de l'objectif courant, le nouveau implique que dans les systèmes d'évaluation et de sélection, il n'y a pas de différence entre les archives créées par des organismes publics et celles créées par des institutions ou des personnes privées.

Les bâtiments d'archives et le développement durable

France Saïe Belaisch

Il existe en France une longue tradition de bâtiments d'archives. La prise en considération des questions environnementales n'est pas une préoccupation récente. Des chiffres sur le contenu des magasins permettent de comprendre l'importance des documents eux-mêmes en ce qui concerne l'environnement climatique. Une première étape dans le développement durable a été une étude sur la résistance des planchers qui a permis d'économiser des matériaux. Tout en recherchant un environnement adapté à la bonne conservation des archives, l'étape suivante a été l'assouplissement

des règles de base qui conduisaient presque automatiquement à l'emploi de système de climatisation. Ces recommandations sont explicitées ici et sur le site de la Direction des Archives de France. La conversion de bâtiments existants s'inscrit dans un contexte de développement durable car les bâtiments anciens possèdent en général une bonne inertie thermique. Cette option permet également de faire des économies de matériaux. Pour les bâtiments contemporains, diverses techniques architecturales permettent de concevoir un bâtiment passif. La différence entre bâtiment passif et bâtiment à énergie positive est explicitée, ainsi que la différence entre l'énergie solaire et l'énergie photovoltaïque. Deux pensées se rejoignent pour conclure : "Le développement durable c'est faire une architecture que l'on a le désir de conserver" de Jean Nouvel et celle de notre Ministre de la Culture "l'architecture ne peut pas se réduire même aujourd'hui aux questions de développement durable".

Planification des désastres en matière de documents électroniques

Sungun Nam, Dai Hyun Yoon

L'article est un projet élaboré aux Archives nationales de Corée afin de planifier l'action de recouvrement des documents électroniques en cas de désastre. Grâce à l'impulsion donnée par un projet gouvernemental en Corée, la masse des documents électroniques s'est rapidement accrue et l'archivage est passé de l'archivage des documents-papier à l'archivage des documents électroniques. En outre, la quantité et la valeur à long terme des documents électroniques continue aujourd'hui à s'accroître rapidement. Un plan de recouvrement en cas de désastre est essentiel pour protéger de façon sûre les documents électroniques importants. Il serait possible d'assurer une conservation sûre et toute la maintenance des documents en maintenant la permanence du travail en cours, et en assurant un recou-

vrement rapide des données nécessaires pour poursuivre le travail fondamental dans certaines circonstances de désastre. L'auteur explique certains résultats par l'analyse des risques et leur influence sur le travail archivistique. Il présente la stratégie de permanence du travail en cours, la réponse à donner et la procédure systématique en cas de désastre, et les exercices à faire. Il illustre sa présentation de la procédure de recouvrement des documents électroniques en cas de désastre telle qu'elle a été appliquée aux Archives nationales de Corée, au siège de Daejeon, et dans les branches de Seongnam et Busan, et évoque le plan futur du système de recouvrement en cas de désastre (DRS, *Disaster recovery system*). Enfin, il esquisse un calendrier des plans futurs pour le DRS des documents électroniques.

Innovations en matière d'archivage et problèmes des archives présidentielles en Corée

Sangmin Lee

Au cours de sa récente administration, le gouvernement coréen a lancé à son niveau une innovation en matière d'archivage, à l'initiative et avec le soutien du précédent président, M. Roh Moo Hyun, et avec l'appui de professionnels civils à l'intérieur d'une forte structure gouvernementale. La loi relative à la gestion des documents publics (*Public Records Management Act*, PRMA) a été revue pour être rendue effective et la Loi sur les archives présidentielles (PRA) a été votée.

Au cours de cette période, les Archives nationales de Corée (NKA) ont triplé leur personnel et ont réalisé des innovations pour les documents publics. A la fin de son mandat, le précédent président a fait numériser tous ses documents présidentiels pour conserver les documents électroniques à son usage personnel, et a transféré aux NAK les archives présidentielles « authentifiées ». Ses anciens secrétaires furent accusés de violation de la Loi sur les

archives présidentielles par les NAK. Le transfert massif et la copie des documents présidentiels numérisés ont déclenché en Corée des questions graves et controversées sur le plan politique, légal, institutionnel et technologique.

Dans cet article, je résume les questions relatives aux archives en insistant sur la gestion des documents électroniques. La question des documents politiquement sensibles dans les archives publiques est également abordée.

Un exposé sur MOWCAP

Ray Edmonson

MOWCAP est le Comité régional *Mémoire du Monde* de l'UNESCO pour l'Asie Pacifique. Son domaine d'action s'étend de la Mongolie au Nord à la Nouvelle Zélande au Sud, du Kazakhstan à l'Ouest aux îles du Pacifique à l'Est, et il couvre 43 pays en tout. 15 d'entre eux ont créé leurs propres comités nationaux sous les auspices de leur Commission nationale de l'UNESCO et certains ont lancé des registres nationaux « Mémoire du Monde ». Le comité MOWCAP travaille à promouvoir et étendre le programme « Mémoire du Monde » dans la région ; il a ainsi créé un registre de ce genre pour l'Asie Pacifique et il fournit des conseils et une formation ; il encourage l'établissement de nouveaux comités nationaux et incite les différents pays à procéder à des inscriptions au registre international « Mémoire du Monde » où actuellement le patrimoine européen est prédominant. Un certain nombre de projets ont déjà été achevés et couronnés de succès.

Le programme Mémoire du Monde de l'UNESCO

Miriam Nisbet

La « Mémoire du Monde » (Memory of the World, ou MOW) est l'héritage collectif des peuples du monde et elle représente une proportion significative du patrimoine mondial des réussites de l'humanité depuis

l'aube des temps. Bien qu'une partie ait été transmise oralement, sous sa forme enregistrée, il est plus communément connu sous l'appellation de « patrimoine documentaire ». Mais il est fragile car sujet à de nombreuses détériorations et désastres provoqués à la fois par la nature et par l'homme. Le programme MOW de l'UNESCO a été lancé en 1992. Ses objectifs étaient (1) la préservation par la formation, l'information et l'obtention de subsides pour les projets ; (2) l'accès par la numérisation, la publication d'ouvrages, etc. ; (3) l'augmentation de la prise de conscience globale de la signification du patrimoine documentaire. Ce dernier point est surtout tributaire de l'identification du patrimoine documentaire d'importance mondiale et de son enregistrement dans un inventaire MOW. Il y a trois types de registres : international, régional et national. Tous contiennent des matériaux ayant une signification au niveau mondial et un article peut apparaître dans un ou plusieurs registres en fonction de sa sphère géographique d'influence. Des propositions d'inscription à ce patrimoine peuvent être faites par *n'importe quel* individu ou organisme et un Comité consultatif international se réunit tous les deux ans pour décider des entrées dans le registre. En outre, il existe une structure de comités régionaux et nationaux, mais elle est incomplète et doit être renforcée.

L'Europe et le programme « Mémoire du Monde » (MOW)

Wladyslaw Stepniak

Le programme « Mémoire du Monde » a une signification particulière pour nombre de pays européens et la date de sa création, 1992, coïncide avec la libération de beaucoup d'entre eux de la domination communiste. Les objectifs généraux du programme MOW, préservation du patrimoine culturel et, plus spécifiquement, accès à ce patrimoine, étaient en effet d'un grand intérêt pour les archivistes. Cela a été particulièrement le cas en Pologne où, ce sont les archivistes

plutôt que comme ailleurs les bibliothécaires qui ont pris la tête des travaux du comité national. Bien que l'ICA ait été fortement impliqué dans la formation du MOW, il était également réservé quant à son application vis-à-vis des archives parce que les critères de sélection des documents étaient incompatibles avec les règles de l'archivistique. Bien qu'il y ait des problèmes pour inclure des fonds entiers dans l'inventaire, les notions générales d'incompatibilité sont exagérées et il serait fort dommage que les réserves émises par l'ICA entravent d'autres comités nationaux dans leur sélection de matériel documentaire, surtout s'il s'agit de pays en dehors de l'Europe, cette dernière totalisant en tant que région 50 % des entrées de l'inventaire.

Les archives ecclésiastiques après l'entrée de la Pologne dans l'Union européenne

Julia Dziwoki

Cet article présente les progrès réalisés dans la gestion, la conservation et l'accès aux archives de l'Eglise catholique en Pologne depuis l'entrée de ce pays dans l'Union européenne en 1994.

Archives anciennes de la Corée pré-moderne : les documents relatifs à la vie des gens dans les archives anciennes

Kwisun Si

Les « archives anciennes » relatives aux rapports entre les gens et le gouvernement ont largement survécu en Corée. Bien qu'il y ait eu des pertes substantielles dans le passé, plus d'un million de pièces de ce genre datant d'entre 1392 et 1910 sont encore présentes dans les archives et les bibliothèques coréennes. Quoique difficiles à interpréter, elles sont maintenant de plus en plus étudiées et elles constituent une ressource de grande valeur pour ceux qui

étudient la Corée pré-moderne, particulièrement dans les domaines de l'histoire sociale et économique. La majorité de ces *documents privés* ont trait à la propriété, à l'héritage et au droit d'établir ou de vendre des privilèges. Les documents prouvent l'évidence de pratiques sophistiquées de gestion documentaire sous la dynastie des Joseon. L'existence même de systèmes de ce genre contredit l'opinion décrétee sous la période coloniale japonaise de la Corée pré-moderne, d'une société primitive, stagnante et irrégulière, opinion destinée à justifier le processus de colonisation.

Une interprétation archivistique des Documents véritables (Veritable Records, VR)

Oh Hang-Nyeong

Les Documents véritables, de 1392 à 1910, sont une des sources les plus abondamment utilisées pour l'étude de l'histoire coréenne. Il s'agit de séries de documents compilés à partir de 14 autres séries incluant, par exemple, les déplacements du Roi, les résultats des examens des officiers, les nominations des officiers, les cas criminels, les documents diplomatiques et les documents relatifs à des désastres. Longtemps considérés comme représentant une tradition de bonne gestion archivistique en Corée, ils n'ont cependant pas été étudiés du point de vue spécifique de l'archivistique. Un examen de la façon dont les documents ont été créés, gérés et conservés, souvent de manière cérémonielle, montre l'importance qu'on leur accordait. En outre, ils étaient considérés par les administrateurs contemporains comme ayant des caractéristiques d'authenticité et de fiabilité, bien que leur « fiabilité » soit parfois contestée par des historiens parce qu'ils étaient compilés et ne constituaient pas une source de première main. Cette restriction n'est toutefois en l'occurrence pas décisive.

Zusammenfassungen

Allgemeiner Zugang zu Primärquellen und brasilianische Geschichtsschreibung

Myriam Bahia Lopes

Die zwei Projekte, das „Netzwerk visuellen Gedächtnisses der Bucht von Vitoria“ und „Orte und Namen von Itabirito“, sind ein Ansatz, um historische Informationen auf eine breitere Basis zu stellen. Sie wenden sich an den im Internet recherchierenden Historiker. Nun kann dieser Sammler kritisch der Geschichte von *Baía de Vitória* und der Region von *Itabirito* in Brasilien nachgehen. Diese Präsentation wird als Netzwerk angeboten, da jede angefragte Information mit einer Reihe ähnlicher Dokumente verbunden ist. Durch dieses Vorgehen unterscheidet sich das Informationsnetz von der allgemeinen Geschichtsschreibung und der Darstellung zeitlicher Abfolgen, in denen Zeitabfolgen vorweg ein Gefühl für die historische Entwicklung und die logische Aneinanderreihung der Fakten liefern. Das Netzwerk bietet unterschiedliche Zugangsmöglichkeiten zu den Bildern und Texten, indem man das Internet durchforscht und technische Effekte im Gegensatz zur linearen, homogenen Zeit verbindet.

Dem Forscher mit Online-Findmitteln helfen: Die Erfahrungen des Nationalarchivs für die französischen Überseegebiete

André Brochier

Das Nationalarchiv für die Überseegebiete (ANOM), dessen Aufgabe es ist, das Archivgut der französischen Verwaltung in den Überseegebieten zu erhalten, zu erschließen und nutzbar zu machen, richtet sich an ein breites internationales Publikum. Für dessen Informationsbedarf hat es die Internetsuchmaschine IREL entwickelt. Seit der Online-Stellung einer Beständeübersicht des Archivs im Jahr 2004 hat sich IREL durch Einbeziehung einer Bilddatenbank (Ulysse), von Personenstandsunterlagen bis 1880 und den Beständen der ANOM-Bibliothek weiterentwickelt. Die Einbindung detaillierter Findmittel erfolgte im Jahr 2009 und ermöglicht für bestimmte Unterlagen den Zugang zu digitalisierten Dokumenten. Die Suche in den Findmitteln beruht auf einem gängigen Referenzsystem aus Schlagworten und einem Index aller in den Findmitteln genannten Personennamen. Zusätzlich zu einer Freitextsuche steht eine Suchhilfe mit vorgegebenen Suchbegriffen zur Verfügung.

Bei der Suche nach einem Thema (z. B. „Sklaverei“) wird nach allen einschlägigen Worten und Ausdrücken gesucht.

Die Zugänglichkeit von Archivquellen im System der israelischen Distriktarchive

Michal Henkin

Im Zusammenhang mit einer wachsenden öffentlichen Bedeutung der Kommunalverwaltung verändert sich diese von einer organisationsorientierten zu einer ziel- und ergebnisorientierten Institution. Dabei kann sie entweder weiterhin Dienstleistungen direkt anbieten, oder es werden Netzwerke geschaffen und unterhalten, die den gemeinsamen Interessen der Partner entsprechen. Die Kommunalverwaltung könnte ihre Dienstleistungen für die Öffentlichkeit einem Serviceunternehmen übertragen, das seine finanzielle und professionelle Fähigkeiten innerhalb eines langfristigen Franchise-Netzwerks unter Beweis gestellt hat, wobei die Service-Standards vorgeschrieben und ihre Einhaltung abgesichert werden müssen. Die Grenzen der Kommunalverwaltung wandeln sich so von geografischen und formellen Begrenzungen der Gebietskörperschaften zu jenen, die von den gemeinsam gemanagten Bereichen bestimmt werden. Diese Netzwerke könnten für die Dauer bestimmter Projekte oder für unbestimmte Dauer bestehen, je nach Wunsch der Partner. Sie könnten aber auch in verschiedenen föderativen Netzwerken institutionalisiert werden.

Um die Kosten für die Betreuung von Archiven zu senken, das Niveau der Dienstleistungen zu heben und den Informationszugang zu verbessern, muss ein anderes Organisationsmodell gewählt werden als das bestehende. Ohne Vorgaben der Zentralregierung wird dieser Wandel sicher schwer umzusetzen sein. Die Einrichtung von Distriktarchiven sollte auf der bestehenden Gebietseinteilung und den bestehenden Kooperationsvereinbarungen

der Gemeindeverbände beruhen. Künftig wird die Öffentlichkeit ihre Nachfrage nach dem Zugang zu Informationen als grundlegendem Bürgerrecht erhöhen, und es wird der Kommunalverwaltung nicht länger möglich sein, diesen wachsenden Bedarf zu ignorieren.

Die Anforderungen der Archivbenutzer an die Informationssuche: eine Fallstudie des Jabotinsky Instituts in Israel

Masha Zolotarevsky

Die Anforderungen der Archivbenutzer haben schon in den vergangenen Jahrzehnten großes Interesse der Archive gefunden, aber das Verständnis des Benutzerverhaltens bei der Suche nach und dem Abfragen von Information ist inzwischen von besonderer Bedeutung, da viele Archive laufend Findmittel im Internet einstellen, die ein unabhängiges Recherchieren außerhalb des Lagerorts ermöglichen. Eine Studie des Archivs des Jabotinskyinstituts untersucht die Art und Weise, wie Benutzer ihren Forschungsgegenstand definieren, und wie sie ihre Suchstrategie aufbauen. Sie hat wertvolle Informationen für die künftige Ausrichtung effizienter und benutzerfreundlicher Such- und Findwerkzeuge geliefert. Insbesondere hat die Studie ergeben, dass häufig Personennamen, oft mit verschiedenen Variablen verknüpft, als Suchbegriffen der Vorrang gegeben wurde; dass Benutzer eher schlichte Suchoberflächen den komplizierten vorziehen, und dass die normale Sprache den linguistischen Funktionen vorgezogen wurde, wie z.B. Booleschen Variablen, die von den meisten Systemen angeboten werden. Diese Ergebnisse zeigen die Modifikationen auf, die bei existierenden und künftigen Systemen gemacht werden können, um den Benutzern die bestmöglichen Suchergebnisse zu liefern.

Analyse der gegenwärtigen Situation bei Archiven mit Beständen zu auswärtigen Angelegenheiten in Lateinamerika: Grundlage für ein Kooperationsprogramm

Mercedes de Vega

Mit dem Begriff *Governance* haben Verwaltungswissenschaftler das Bedürfnis definiert, den Vollzug der Regierungsgewalt mit einer Epoche weltweiter Vorherrschaft freiheitlicher Demokratie in Einklang zu bringen. Diese neue Sichtweise zielt darauf ab, Synergien zwischen den Staatsregierungen, ihren internationalen Repräsentanten und Nichtregierungsorganisationen (Wissenschaften, Massenmedien, Nichtregierungsorganisationen usw.) herzustellen, aber sie bringt ernsthafte Herausforderungen für Länder mit jungen demokratischen Ordnungen und wirtschaftliche Schwellenländer mit sich, wie jene in Lateinamerika. Tatsächlich hat es sich auch erwiesen, dass dann, wenn dieses Vorgehen in solchen Ländern ohne Anpassung an die örtlichen Gegebenheiten angegangen wurde, es lediglich als rhetorische Floskel endete, mit den ursprünglichen Absichten eher entgegen gesetzten Folgen. Archive, als Einrichtung zur Bewahrung der Unterlagen für das Selbstverständnis einer Nation, die sie in demokratischen Staaten der Gesellschaft zur Verfügung stellen, bilden davon keine Ausnahme. Ausgehend von einer Analyse der Situation bei 19 Archiven für auswärtige Angelegenheiten des Verbundes der lateinamerikanischen diplomatischen Archive (Ein Programm des Generalsekretariats der iberoamerikanischen Gipfelkonferenz – SEGIB) werden Lösungsmöglichkeiten untersucht, um diese diplomatischen Archive zu echten Hilfsmitteln für den demokratischen Fortschritt und Entwicklung der Völker Lateinamerikas zu machen.

Das Archiv des französischen Westafrikas im Nationalarchiv von Senegal: Ein gemeinsames historisches Erbe besser nutzen

Papa Momar Diop

Das Archiv der Regierung von Französisch-Westafrika (1895-1959) blieb in Dakar (Senegal), als die neun Kolonien und Territorien dieser Region unabhängig wurden. Es stellt ein gemeinsames Erbe von Senegal, Mauretanien, Mali, Guinea, Burkina Faso, Niger, der Elfenbeinküste, Benin, Togo und für Frankreich selbst dar. Um dieses Erbe effektiver nutzen zu können, wurde mit der Hilfe Frankreichs ein Verfilmungsprogramm organisiert. Wegen fehlender finanzieller und personeller Ressourcen ist die Umsetzung jedoch noch nicht in Gang gekommen; außerdem bestehen erhebliche Probleme im Bereich der Bestandserhaltung. Das Nationalarchiv von Senegal hat ein Digitalisierungsprojekt gestartet, kann dieses aber nicht durchführen, da als erster Schritt Bestandserhaltungsmaßnahmen notwendig sind. Der Autor ruft alle beteiligten Partner auf, ihre Anstrengungen zur Erhaltung dieses außergewöhnlichen Erbes zu bündeln.

In globalem Maßstab: Die Entwicklung weltweit abgestimmter Softwareanforderungen für die digitale Schriftgutverwaltung

Adrian Cunningham

Dass zur digitalen Schriftgutverwaltung gute Systeme nötig sind, ist bereits seit den 1990er-Jahren bekannt. Die Festlegung internationaler Standards als Grundlage solcher Systeme, besonders des Standards ISO15489, war ein bemerkenswerter Erfolg, jedoch blieb es für die Softwareanbieter schwierig, ein Produkt anzubieten, das

bei der starken Zunahme der nationalen und rechtlichen Voraussetzungen weltweit den Standards entspricht. Auf Initiative des Nationalarchivs von Australien gründeten der ICA und die Australasian Digital Recordkeeping Initiative (ADRI) eine Projektgruppe zur Entwicklung eines einheitlichen, weltweit gültigen Anforderungskatalogs, den alle beteiligten Verwaltungen unterstützen konnten und der ihnen zur Entwicklung und Anpassung eigener, auf sie zugeschnittener Anforderungen dienen kann. Sowohl mit den beteiligten Nationalarchiven wie auch mit Softwareanbietern, Unternehmen, Regierungen, der Europäischen Union und der ISO erfolgten umfangreiche Konsultationen. Eines der Hauptziele des Projektes war, einen Anforderungskatalog für elektronische DMS zu entwickeln, der auch den Zielen und Realitäten ärmerer Länder entspricht. Die drei „Hauptmodule“ sind (1.) eine Belegstellenübersicht und eine Darstellung der Grundsätze, (2.) detaillierte Anforderungen und Richtlinien für eine Software zur digitalen Schriftgutverwaltung und (3.) Richtlinien und Anforderungen zum Dokumentenmanagement in Geschäftsanwendungen. Dieses letzte Modul ist besonders interessant für Organisationen, die Unterlagen eher in bestehenden Geschäftsanwendungen (z. B. in E-Commerce und Kundenverwaltungssystemen) als in einem separaten Dokumentenmanagementsystem verwalten wollen.

Verbündete oder Fremde? Welche Beziehungen bestehen zwischen akademischer und praxisorientierter Forschung?

Caroline Williams

Der Text diskutiert die Beziehungen zwischen den Forschungsansätzen von Akademikern und „Praktikern“. Er untersucht, wie die Aufgaben und Ziele der Organisationen, bei denen die Forscher

jeweils tätig sind, die Art und die Methoden der von ihnen durchgeführten Projekte beeinflussen. Optimal für die Zusammenarbeit zwischen Akademikern und „Praktikern“ ist ein kooperatives, interaktives und wiederholbares Modell. Der Text untersucht einige aktuelle Beispiele internationaler Kooperationsprojekte und beschreibt, wie das britische Nationalarchiv, als ein großer „Praktiker“ und eine der sieben „Unabhängigen Forschungseinrichtungen“ Großbritanniens, seine Forschungsstrategie neu ausrichtet. Abschließend werden einige der laufenden Forschungsvorhaben des Nationalarchivs vorgestellt, darunter das „Semantic Web“, die Archivierung von Internetseiten, die Problematik von Bestandserhaltung und Klimawandel, das Verstehen von Online-Benutzern und die Entwicklung eines Wikis für die Benutzer des Nationalarchivs.

Fortbildungsmöglichkeiten für Wirtschaftsarchivare: Wege zur Schaffung einer Sparte innerhalb des Archivarsberufs

Peter Blum

Die Vereinigung deutscher Wirtschaftsarchivare bietet eigene Fortbildungskurse und Beratungsdienste für deutsche Wirtschaftsarchivare an. Das Unterrichtsprogramm besteht aus Kursen von drei bis fünf Tagen, die zweimal bis dreimal jährlich jeweils für bis zu 20 Teilnehmer angeboten werden. Unter anderem soll diese Ausbildung Wirtschaftsarchivare ermutigen, sich gegenüber der Öffentlichkeit besser zu positionieren und sich so darzustellen, dass sie den wirtschaftlichen Interessen ihrer Arbeitgeber entgegen kommen. Schwerpunkte sind die Öffentlichkeitsarbeit, rhetorisches Geschick und Managementfähigkeiten.

Elektronische Unterlagen der Verwaltung in China: Gegenwart und Zukunft

Wang Liangcheng

In letzter Zeit haben zwei Untersuchungen der chinesischen Staatsarchivverwaltung (SAAC) den Umfang aufgezeigt, den elektronische Unterlagen bei der Mehrheit der Unterlagen bei der Zentralregierung und anderen Organisationen ausmachen. Allerdings sieht sich China ernsthaften Herausforderungen bei der Verwaltung und Bewahrung elektronischer Unterlagen gegenüber. Während ein umfassendes Gesetzes- und Rechtssystem zu Informationsmanagement und Datensicherheit das Land in die Lage versetzt, eine gut funktionierende moderne Informationsgesellschaft aufzubauen, fehlt noch eine umfassende nationale Strategie hinsichtlich der elektronischen Registraturverwaltung. Die SAAC übernimmt bei der Entwicklung nationaler Standards und Normen eine führende Rolle und man rechnet damit, dass ein nationales elektronisches Zentrum für digitale Unterlagen der Verwaltung eingerichtet wird.

Das Makro-Lexikon der Archivterminologie: ein Standardisierungswerkzeug im Bereich des Spanischen

Carmen Díez Carrera, José Ramón Cruz Mundet, Isabel González Corral, Santiago Morán Medina

Das an der Universität Carlos III. in Madrid realisierte Projekt eines Makro-Lexikons der Archivterminologie hat das Ziel, ein Werkzeug für die 20 spanischsprachigen Länder zu entwickeln. Das ursprünglich im Jahr 2004 von Prof. José Ramón Cruz Mundet und später von Prof. Carmen Díez Carrera geleitete Vorhaben umfasst ein Team von Forschern verschiedener Disziplinen (Jura, Archivwissenschaften, Linguistik).

Das Makro-Lexikon der Archivterminologie ist als eine lexikografische Datenbank zum archivarischen Fachwissen geplant und basiert auf Fachtermini, die facharchivischen Texten entnommen wurden. Da praktische Ergebnisse erreicht werden sollen, die direkt der Gesellschaft und vor allem der archivarischen Community zur Verfügung gestellt werden, sind folgende Ergebnisse geplant: 1. die Veröffentlichung eines Lexikons der aktuellen Archivterminologie und eines Makro-Lexikons der Archivwissenschaft, 2. die Entwicklung einer dynamischen Internetseite für das Projekt, 3. eine terminologische Verweisliste für die spanische Archivwissenschaft als Volltext.

Nach drei Jahren sind im Rahmen des Projekts eine Datenbank, eine Verweisliste und ein Lexikon in einem vorangeschrittenen Entwicklungsstadium entstanden, welches eine Auswahl von ca. 500 Termini aus über 3.000 geprüften Termini enthält.

Ein neuer internationaler Standard zur Beschreibung der Funktion von Registraturbildnern: ICA-ISDF

Claire Sibille-de Grimouard, Padré Lydie Gnessougou Baroan-Dioumency

Das Hauptziel archiverischer Ordnung und Verzeichnung ist die Erhaltung des ursprünglichen Entstehungszusammenhangs der Aktenbildung, indem ihre Beweiskraft und Authentizität erhalten werden. Mit dem ISAAR (CPF) abgestimmte Normdateien ermöglichen es, wichtige Informationen über die Registraturbildner, Körperschaften, Personen und Familien zusammen zu tragen. Daher werden eigenständige, aber miteinander verbundene Beschreibungen von Schriftgut und Schriftgutproduzenten zur Verfügung gestellt. Dies ermöglicht es Archivaren dynamische und mehrdimensionale Verzeichnungssysteme zu entwickeln. Funktionen werden oft von einer Körperschaft zur anderen verlagert. Daher wird es für

Anwender schwierig, den Zusammenhang der Schriftgutbildung wiederherzustellen, wenn sie nur über Normdaten verfügen, welche Körperschaften mit der gleichen Funktion beschreiben. Eine getrennte aber verlinkte Beschreibung von Funktionen kann das Verständnis dieses Zusammenhanges verbessern und im Zusammenhang mit Beschreibungen, die dem ISAD(G) entsprechen, und ISAAR(CPF) Normdateien als Werkzeug für eine wirksame Auffindung der Beschreibung von Registraturen und Schriftgutbildnern im archivischen Verzeichnungssystem verwendet werden. Dies Vorgehen stellt die Grundlage des neuen internationalen Standards ISDF dar, der Richtlinien zur Anfertigung der Funktionsbeschreibung von Körperschaften im Zusammenhang mit der Entstehung und dem Unterhalt von Archivkörpern bereitstellt.

Ein neuer Ansatz bei der Bewertung: Bausteine für eine neue archivische Bewertungsmethode

**Robbert Jan Hageman,
Charles Jeurgens, Ruud Yap**

Zwei Probleme, vor denen staatliche Einrichtungen bei der Archivierung ihrer Unterlagen stehen, sind der Übernahmerückstau bei Papierdokumenten und die ephemere Qualität digitaler Informationen. Zur Bewältigung dieser Probleme erließ die niederländische Regierung 2006 einen Acht-Punkte-Aktionsplan, der auch einen neuen Ansatz bei der archivischen Bewertung beinhaltet. „PastAppraised“, das vom niederländischen Nationalarchivar gegründete Komitee für Bewertung und Auswahl, in dem Archivare, Historiker und Informationsspezialisten mitwirkten, offeriert ein neues, ganzheitliches Ziel für die Bewertung staatlicher Unterlagen sowie eine geeignete Methode, um dieses Ziel zu erreichen. Im Grundsatz geht es darum, dass Auswahl und Übernahme zwei Seiten einer Medaille sind: beide dienen dem Aufbau eines repräsentativen Bestandes.

Zunächst unterzog das Komitee die aktuelle Bewertungsmethode PIVOT einer kritischen Prüfung. Von zahlreichen Seiten wurde dessen Geltungsbereich bemängelt. Letzten Endes bestimmen die Ziele die Richtung der Bewertung und Auswahl. Im Vergleich mit den existierenden Bewertungszielen formulierte das Komitee eine viel umfassendere Zielstellung, die besser dem Grundsatz entspricht, dass es das Hauptziel des Archivars ist, die Gesellschaft in einer gewissen Periode als Ganzes zu dokumentieren. Das wird wie folgt dargelegt: „Das Ziel der Bewertung, Auswahl und Übernahme ist es, Quellen zu sammeln und zu erhalten, die es Individuen, Organisationen und sozialen Gruppen ermöglichen, ihre eigene Geschichte zu entdecken sowie die Vergangenheit von Staat und Gesellschaft und die Wechselwirkungen zwischen beiden zu rekonstruieren.“ Im Unterschied zu den aktuellen beinhalten die neuen Ziele, dass im System der Bewertung und Auswahl kein Unterschied zwischen Unterlagen staatlicher Stellen und solchen von privaten Einrichtungen und Personen mehr besteht.

Grüne Archivgebäude: Archivbauten und nachhaltige Entwicklung

France Saïe Belaisch

In Frankreich gibt es eine lange Tradition des Archivbaus. Unter dem Einfluss von Michel Duchemin wurden zwischen 1965 und 1985 viele Archive in Turmform gebaut. Viele davon müssen jetzt neueren Erkenntnissen entsprechend renoviert werden, insbesondere wegen Problemen der Wärmedämmung. In der Zeit danach wurden die Gebäude niedriger errichtet. Heute kennt man verschiedene Varianten, die alle unterschiedliche Ansätze hinsichtlich der Nachhaltigkeit aufweisen. Studien zu den Verhältnissen im Magazinbereich führten zu einer Anpassung der Standards der Klimatisierung und Untersuchungen der Belastungsfähigkeit von Baustoffen haben zur Verwendung wirtschaftlicherer

Materialiengeführt. Alte Gebäude mit dicken Mauern bieten häufig gute Bedingungen zur Aufbewahrung von Archivalien und sind nachhaltig, da sie die Wiederverwendung vorhandenen Materials erlauben. Zusätzlich profitieren Benutzer und Archivangehörige von den architektonischen Vorzügen solcher Baulichkeiten. Bei zeitgenössischen Gebäuden ist zwischen Passiv- und Positivenergiegebäuden zu unterscheiden wie auch zwischen Solarenergie und Photovoltaik. Nachhaltige Gebäude müssen allerdings weiterhin so beschaffen sein, dass wir sie gerne längerfristig erhalten, und sogar heute kann die Baukunst nicht auf Fragen nachhaltiger Entwicklung beschränkt werden.

Katastrophenplanung für elektronische Unterlagen in Korea

Sungun Nam, Dai Hyun Yoon

Der Artikel führt in die Katastrophenplanung zur Rettung elektronischer Verwaltungsunterlagen ein, die vom Nationalarchiv von Korea erarbeitet wurde. Infolge eines E-Governmentprojekts ist in Korea die Zahl der elektronischen Unterlagen stark angestiegen, und die Archivarbeit hat sich von der Archivierung von Papierdokumenten zu jener elektronischer Dokumente gewandelt. Außerdem nimmt gegenwärtig die Menge und die langfristige Archivwürdigkeit elektronischer Unterlagen stark zu. Die Katastrophenplanung ist unabdingbar, um wichtige elektronische Unterlagen zuverlässig zu schützen. Es sollte möglich sein, eine sichere Aufbewahrung und die volle Zugänglichkeit der Unterlagen zu bewerkstelligen und gleichzeitig die Kontinuität der Geschäftsabläufe zu wahren, die zügige Wiederauffindbarkeit der benötigten Daten zu gewährleisten und seinen Kernaufgaben auch im Falle von Katastrophen weiter nachzukommen. Der Verfasser bespricht einige Ergebnisse der Ableitung von Risikofaktoren durch Risikoanalyse und deren Einfluss auf die

Archivarbeit. Er erklärt die Strategie und Methode der Geschäftskontinuität, einer systematischen Reaktion auf Katastrophen und deren Einübung. Das gegenwärtige Katastrophenschutzprogramm wird beim Nationalarchiv in seiner Zentralstelle in Daejeon und den Zweigarchiven in Seongnam und Busan erläutert, anschließend wird der Zukunftsplan eines Katastrophenschutzsystems vorgestellt. Schließlich wird ein Ablaufplan zur künftigen Rettung elektronischer Unterlagen umrissen.

Neuerungen der Registraturverwaltung und Fragen im Zusammenhang mit den Unterlagen des Präsidenten in Korea

Sangmin Lee, C.A., Ph.D.

Während der letzten Amtsperiode des Präsidenten durchlief die Registraturverwaltung der gesamten koreanischen Staatsverwaltung einen Innovationsschub. Dieser wurde vom vormaligen Präsidenten, Herrn Roh Moo Hyun, eingeleitet und gefördert, und von Verwaltungsfachleuten im Hinblick auf eine starke rechtsstaatliche Verwaltungsstruktur unterstützt. Das Gesetz über die öffentliche Schriftgutverwaltung wurde novelliert, um es effektiver zu gestalten, und das Gesetz über die Unterlagen des Präsidenten wurde verabschiedet.

Während dieses Zeitraums verdreifachte sich das Personal des koreanischen Nationalarchivs und die Registraturführung der gesamten Staatsverwaltung wurde erneuert. Zu Ende seiner Amtszeit kopierte der vormalige Präsident seine gesamte Registratur in elektronische Form und behielt sie für seine Zwecke zurück, während er die „authentifizierten“ Unterlagen seiner Präsidentschaft an das Nationalarchiv abgab. Seine ehemaligen Sekretäre wurden vom Nationalarchiv wegen Verletzung des Gesetzes über die Präsidentenunterlagen angeklagt. Die umfangreiche Aktenabgabe

und das Kopieren der elektronischen Präsidentenunterlagen löste in Korea einige ernsthafte und kontroverse Fragen zu Schriftgut auf den Gebieten der Politik, Gesetzgebung, Regierungseinrichtungen und Technologie aus.

In diesem Bericht gebe ich einen Überblick über Fragen im Zusammenhang mit dem Schriftgut, um anschließend die elektronische Schriftgutverwaltung näher zu untersuchen. Ich gehe auch auf die Frage der politisch sensiblen Unterlagen in den öffentlichen Archiven ein.

Informationen über MOWCAP

Ray Edmondson

MOWCAP ist das Regionalkomitee für das Memory-of-the-World-Programm der UNESCO im asiatischen Pazifikraum. Sein Gebiet erstreckt sich von der Mongolei im Norden bis Neuseeland im Süden, von Kasachstan im Westen bis zu den Pazifischen Inseln im Osten und umfasst insgesamt 43 Länder. In 15 Ländern gibt es eigene Nationalkomitees unter Aufsicht der jeweiligen UNESCO-Nationalkomitees; außerdem haben einige Länder nationale MOW-Register eingerichtet. MOWCAP verfolgt das Ziel, das MOW-Programm in der Region zu fördern und auszuweiten. Unter anderem hat MOWCAP ein MOW-Register für die asiatische Pazifikregion eingerichtet, es bietet fachliche Beratung und Ausbildung an, fördert die Initiative zur Gründung neuer Nationalkomitees und ermuntert die Länder zu Einträgen in das internationale MOW-Register, das gegenwärtig vor allem vom europäischen Kulturerbe dominiert wird. Einige Projekte wurden inzwischen erfolgreich abgeschlossen.

Das Weltdokumentenerbe der UNESCO

Miriam Nisbet

Das UNESCO-Programm „Das Gedächtnis der Menschheit“ (Memory

of The World, MOW) hat das gemeinsame Dokumentenerbe der Völker der Welt zum Gegenstand und stellt einen erheblichen Teil des Erbes an menschlichen Errungenschaften seit dem Beginn der Zeiten dar. Während ein Teil davon mündlich überliefert wurde, ist es in seiner schriftlichen Gestalt weiteren Kreisen eher als ‚Dokumentenerbe‘ bekannt. Es ist aber zerbrechlich und ist in mannigfacher Hinsicht anfällig sowohl für natürlichen Zerfall wie vom Menschen herbeigeführte Katastrophen. Das MOW-Programm der UNESCO wurde im Jahre 1992 eingeleitet. Seine Ziele sind: 1. die Bewahrung derartiger Unterlagen, durch zur Verfügungstellung von Schulung und Informationen, und der Beschaffung von Fördermitteln für die Projekte; 2. durch Digitalisierung, Buchveröffentlichungen usw. den Zugang zu diesen Unterlagen zu verschaffen; 3. weltweit das Verständnis für die Bedeutung der schriftlichen Überlieferung zu wecken. Letzteres wird vor allem durch die Ermittlung von schriftlichem Erbe von weltweiter Bedeutung umgesetzt und durch dessen Eintrag in einem MOW-Register. Es gibt drei Registerkategorien: International, regional und national. Alle enthalten Material von weltweiter Bedeutung, und ein und dasselbe Objekt kann in mehreren Registern erscheinen, je nach der geographischen Zuordnung. Anträge zur Aufnahme in das Register können von jeder natürlichen oder juristischen Person gestellt werden. Ein internationaler Beirat tagt in zweijährigem Rhythmus, um über die Aufnahme zu entscheiden. Zusätzlich gibt es ein System regionaler und nationaler Gremien, das aber unvollständig ist und vervollständigt werden sollte.

Europa und das Gedächtnis der Menschheit –Programm

Władysław Stepniak

Das „Weltdokumentenerbe“-Programm ist von besonderer Bedeutung für eine Reihe europäischer Nationen, da der Zeitpunkt seiner Einrichtung, 1992, in den Zeitraum

fällt, in dem viele von ihnen sich gerade von der Herrschaft des Kommunismus befreiten. Die übergeordneten Ziele des MOW-Programms, die Bewahrung des kulturellen Erbes, und insbesondere der Zugang zu diesem Erbe, waren natürlich für die Archivare von großem Interesse. Dies war insbesondere in Polen der Fall, wo es die Archivare waren, nicht wie anderswo die Bibliothekare, welche die Arbeit des nationalen Komitees anführten. Obwohl der ICA stark in die Bildung des MOW eingebunden war, hatte er auch Vorbehalte hinsichtlich seiner Anwendung auf Archivunterlagen, mit der Begründung, dass die Kriterien für die Aufnahme von Dokumenten nicht mit den Grundsätzen der Archivwissenschaft übereinstimmen. Obwohl es damit Probleme gibt, ganze Archivfonds in das Register aufzunehmen, ist insgesamt der Standpunkt der wissenschaftlichen Unvereinbarkeit übertrieben. Es wäre sehr schade, wenn die Vorbehalte des ICA andere nationale Komitees davon abhalten würden, dokumentarisches Material für die Aufnahme auszuwählen, insbesondere in Ländern außerhalb Europas, dessen Beiträge alleine 50% des Registers ausmachen.

Kirchliche Archive nach Polens Eintritt in die Europäische Union

Julia Dziwoki

Der Artikel untersucht die Fortschritte bei der Verwaltung und Bewahrung der Archive der katholischen Kirche in Polen, wie auch dem Zugang zu ihnen, in dem Zeitraum seit Polens Antrag zur Aufnahme in die Europäische Union 1994.

Alte Archivbestände in Korea aus der Zeit vor der Moderne: Die Dokumentation über das Leben der Menschen in den alten Beständen

Kwisun Si

Die „Alten Archive“, welche die Beziehungen zwischen Einzelpersonen und der Staatsverwaltung belegen, haben in großem Umfang in Korea überdauert. Trotz großer Verluste gibt es bis heute in koreanischen Archiven und Bibliotheken über eine Million solcher Dokumente, v.a. aus der Zeit zwischen 1392 und 1910. Obwohl sie manchmal schwierig zu interpretieren sind, werden sie inzwischen zunehmend untersucht und sie stellen eine wertvolle Grundlage für die Erforschung des vormodernen Korea v.a. auf dem Gebiet der Sozial- und Wirtschaftsgeschichte dar. Die Mehrzahl dieser privaten Unterlagen bezieht sich auf Vermögen, Erbschaft und das Recht Privilegien zu erwerben oder zu verkaufen. Viele beziehen sich auf die ehemals weit verbreitete Sklaverei. Außerdem bezeugen diese Unterlagen die hoch entwickelte Schriftgutverwaltung während der Choson-Dynastie. Schon die Existenz solcher Systeme steht im Widerspruch zu der während der japanischen Kolonialzeit verbreiteten Sichtweise des vormodernen Korea als einer primitiven, stagnierenden und ungeordneten Gesellschaft, einer Sichtweise, die einstmals zu Rechtfertigung der Kolonialisierung diente.

Eine archivwissenschaftliche Interpretation der Annalen der Choson-Dynastie

Oh Hang-Nyeong

Die Annalen der Choson-Dynastie (koreanisch: Joseon wangjo sillok, englisch: Veritable Records, 1392-1910) sind eine der am meisten benutzten Quellen zur Erforschung der koreanischen Geschichte.

Sie waren eine Serie von Dokumenten, die aus 14 anderen Dokumentengruppen zusammengestellt wurde, z.B. den Erlassen der Könige, den Ergebnissen der Beamtenexamen, Bestallung von Beamten, Strafverfahren, diplomatischen Unterlagen und Dokumenten über Katastrophen. Sie galten lange als gutes Beispiel der Archivierungstradition in Korea, aber sie wurden nicht aus der Sicht der Archivwissenschaft untersucht. Eine Untersuchung der Art und Weise, wie sie entstanden, verwaltet und bewahrt wurden, manchmal unter zeremoniellen Umständen, belegt die ihnen zugemessene Bedeutung. Außerdem wurden ihnen von den zeitgenössischen Verwaltungsbeamten Authentizität und Glaubwürdigkeit zugeschrieben, obwohl die Glaubwürdigkeit manchmal von Historikern aufgrund der Tatsache infrage gestellt wurde, dass es sich um eine Zusammenstellung von Unterlagen handelte und um keine Primärquelle. Diese Unterscheidung kann jedoch hier außer Betracht bleiben.

Resúmenes

Acceso universal a las fuentes primarias y la historiografía brasileña

Myriam Bahia Lopes

Los proyectos *Red de Memoria Visual de Baía de Vitória e Itabirito*, nombres y lugares construyen una metodología para universalizar la información histórica. Se dirigen al historiador que recoge información navegando en Internet como herramienta para enlazar datos. El presente de esta persona que recoge información es una reflexión crítica sobre la historia de Baía de Vitória y la región de Itabirito en Brasil. La serie está distribuida como una red, dado que cada pieza de información solicitada está conectada a un conjunto similar. Esta concepción aleja la red de la historia universal y el tiempo de las cronologías, en el que la secuencia de fechas suple un sentido *a priori* para el desarrollo histórico y el lógico secuenciar de los hechos. La red ofrece muchas formas diferentes de acceso a las imágenes y textos, explorando la web y entretejiendo efectos tecnológicos en contra del tiempo homogéneo lineal.

Atención al investigador a través de instrumentos online: la experiencia de los Archivos Nacionales en los territorios franceses ultramarinos

André Brochier

Los *Archivos Nacionales de Ultramar (Archives Nationales d'Outre-Mer, ANOM)*, cuya misión es preservar, hacer accesible y poner a disposición los archivos de la presencia francesa en las colonias ultramarinas, tienen una amplia demanda internacional. Para responder mejor a las necesidades de información, se ha desarrollado un motor de búsqueda en Internet (IREL). Lanzado en 2004 mediante la difusión *online* del estado general de fondos, IREL se ha ido expandiendo gradualmente hasta incluir un banco de imágenes (Ulysse), los documentos del estado civil hasta 1880 y los fondos de la biblioteca de ANOM. La integración de los inventarios detallados de los fondos estará operativa en 2009 y permitirá, para algunos materiales, el acceso a imágenes de documentos digitalizados. La búsqueda en todos estos inventarios descansará en particular en sistemas de referencia comunes (listas y registros de autoridades) y en una base de datos onomástica que contiene todos los nombres de personas

citadas en los inventarios. Además de la búsqueda por texto libre, estará disponible una búsqueda asistida por vocabulario contenido en el motor de búsqueda. Será posible preguntar por temas (por ejemplo, «esclavitud») lo que llevará a una búsqueda en todas las palabras y expresiones.

La accesibilidad de las fuentes archivísticas en el sistema de archivos del distrito israelí

Michal Henkin

A medida que aumenta la importancia de la administración local, su configuración irá cambiando desde institución proclive a la organización hacia una organización inclinada a objetivos y resultados. Tanto si la autoridad local continúa proporcionando servicios directamente o si se crearán diferentes redes de gestión de acuerdo con los intereses conjuntos de los socios implicados. La administración local podría organizar servicios para el público mediante un proveedor de servicios que haya probado habilidades financieras y profesionales dentro de un marco de franquicia a largo plazo, dictando estándares de servicio y asegurando que la franquicia cumple con sus obligaciones. Los límites de la administración local en esta situación cambian desde las limitaciones geográficas y formales de las unidades municipales que comprenden la autoridad local hasta aquellas determinadas de acuerdo con las materias gestionadas conjuntamente. Estas redes podrían hacerse accesibles por el tiempo que dure un proyecto particular o de forma continuada de acuerdo con los deseos de los socios. También podrían ser institucionalizadas en varios marcos federativos.

Con el fin de producir un cambio que reduciría los costes de mantenimiento de archivos, incrementaría el nivel de servicio proporcionado y mejoraría el acceso a la información. Debe elegirse un modelo organizativo distinto del modelo actual. Sin duda, sin instrucciones de la admi-

nistración central, será difícil implementar este cambio. La creación de un archivo de distrito debería estar basada en divisiones regionales ya existentes y en organizaciones cooperativas de asociaciones municipales existentes. Según pasa el tiempo, el público incrementará su demanda de acceso a la información como uno de sus derechos ciudadanos básicos, y la autoridad local no será capaz de ignorar por más tiempo esta demanda creciente.

Las necesidades de recuperación de información de los usuarios de archivos: estudio del caso del Instituto Jabotinsky de Israel

Masha Zolotarevsky

Las necesidades de los usuarios de archivos ha sido el tema de gran parte de la atención profesional en las últimas décadas, pero la comprensión del comportamiento de los usuarios cuando buscan y recuperan información es de particular importancia ahora que muchos archivos están en proceso de producir instrumentos de descripción basados en la web, lo que permite búsquedas independientes desde fuera del archivo. Un estudio en el Archivo del Instituto Jabotinsky investiga sobre las maneras en las que los usuarios definen el tema de sus investigaciones, y cómo construyen una estrategia de búsqueda, ha proporcionado información valiosa para la futura construcción de herramientas de búsqueda y recuperación eficiente y amigable. En particular, el estudio identificaba que los nombres personales, a menudo asociados a diferentes variables, eran preferidos como términos de búsqueda; que los usuarios preferían interfaces de búsqueda simples más que avanzadas; y que el lenguaje natural era preferido a las funciones lingüísticas, tales como la búsqueda Booleana, proporcionadas por la mayoría de los sistemas. Tales instrumentos sugieren las adaptaciones que pueden hacerse para los sistemas existentes y

futuros para proporcionar a los usuarios los mejores resultados de búsqueda posibles.

Diagnóstico de la situación actual de los archivos diplomáticos iberoamericanos: bases para un programa de cooperación

Mercedes de Vega

La "gobernanza" es el concepto mediante el cual los teóricos de la administración pública han definido la necesidad de adaptar el ejercicio gubernamental a los tiempos de la deseada preeminencia de la democracia liberal en el mundo. Esta nueva perspectiva tiene como propósito crear sinergias entre los gobiernos, los actores estatales internacionales y los actores no estatales (académicos, medios de comunicación, ONG, etc.), e implica serios retos para países con democracias jóvenes y economías emergentes como los latinoamericanos. Y, de hecho, ha probado ser una perspectiva que cuando se impone en países con estas características, sin adaptaciones a su propia realidad, termina como un recurso retórico con consecuencias contrarias a las buscadas.

Los archivos, como entes encargados de preservar los documentos que contienen el conocimiento que los Estados tienen de sí mismos y ponerlos a disposición de las sociedades en los regímenes democráticos, no son la excepción. A partir de un diagnóstico de la situación de diecinueve archivos diplomáticos de los países miembros de la Red de Archivos Diplomáticos Iberoamericanos (RADI), programa de cooperación de la Secretaría General Iberoamericana, se discutirá en torno a las posibilidades de esta Red para crear alternativas y soluciones que hagan de los archivos diplomáticos verdaderos instrumentos del avance democrático y el desarrollo de los pueblos de Iberoamérica.

Archivos del África Occidental Francófona en los Archivos Nacionales de Senegal: cómo compartir mejor un patrimonio histórico común

Papa Momar Diop

Los archivos de la administración del África Occidental Francófona (1895-1959) permanecieron en Dakar (Senegal) cuando las nueve colonias y territorios que la componían alcanzaron la independencia. Estos archivos representan un patrimonio común para Senegal, Mauritania, Mali, Guinea, Burkina Faso, Níger, Costa de Marfil, Benin, Togo y para la propia Francia. Para ser capaces de compartir este patrimonio de manera más efectiva, se ha establecido un programa de microfilmación con la ayuda de Francia. Sin embargo, a causa de la falta de recursos económicos y humanos, la implementación no ha avanzado y existen ahora, además, severos problemas en términos de conservación. Los Archivos Nacionales de Senegal han lanzado una iniciativa de digitalización, pero no pueden llevar a cabo tal ejercicio ya que, como primer paso, se necesitan los fondos que deben ser conservados. Papa Momar Diop hace un llamamiento a todas las partes implicadas para combinar sus esfuerzos para asegurar la preservación de este patrimonio excepcional.

Hacia lo global : Desarrollo de especificaciones globalmente armonizadas de software para documentos

Adrian Cunningham

La necesidad de buenos sistemas de gestión de documentos electrónicos ha sido claramente reconocida por los profesionales desde la década de 1990. La producción de estándares internacionales sobre los que basar tales sistemas, principalmente la ISO 15489, ha sido un logro importante; sin

embargo, ha sido difícil para los vendedores de software desarrollar un producto que sea internacionalmente aplicable dada la proliferación de requisitos funcionales nacionales y de jurisdicciones específicas. A iniciativa de los Archivos Nacionales de Australia, el CIA y la Iniciativa de Archivo Digital de Australasia (Australasian Digital Recordkeeping Initiative, ADRI) estableció un equipo para el proyecto de elaborar una declaración de requisitos únicos globalmente armonizados que todas las jurisdicciones implicadas pudieran abordar y usar como base para desarrollar o revisar si fuera necesario los requerimientos de las jurisdicciones específicas. Además de las instituciones archivísticas nacionales implicadas, se realizaron amplias consultas entre los vendedores de software y empresas industriales, gobiernos, la Unión Europea, ISO, etc. Uno de los principales objetivos del proyecto era elaborar una declaración de requisitos para EDRMS que se ajustara a los propósitos y realidades de los países más pobres. Los tres "módulos" principales eran (1) documento general y declaración de principios; (2) requisitos de alto nivel y directrices para el software de sistema de gestión de documentos electrónicos; y (3) directrices y requisitos para gestión de documentos en sistemas empresariales. El último módulo es especialmente interesante porque está diseñado para permitir a las organizaciones gestionar documentos en sistemas ya existentes (por ejemplo, sistemas de comercio electrónico o de gestión de relaciones con clientes), más que para crear documentos en una aplicación y gestionarlos como documentos en una aplicación ERM separada.

¿Aliados o "aliens"? ¿Cuál es la relación entre la investigación académica y la fundamentada en la práctica?

Caroline Williams

Este artículo debate sobre la relación entre los académicos y los empíricos en

sus concepciones sobre la investigación. Considera cómo la misión y los objetivos de las respectivas instituciones para las que trabajan influyen en la naturaleza y los métodos de la investigación que llevan a cabo. Argumenta que el mejor modelo de relación entre unos y otros es el que resulta de la cooperación y la interacción. Explora algunos ejemplos en marcha de proyectos internacionales de colaboración y describe cómo los Archivos Nacionales del Reino Unido, como uno de los mayores representantes de la investigación práctica y una de las siete organizaciones independientes de investigación británicas, está reposicionándose en su estrategia de investigación. Termina destacando alguno de sus proyectos de investigación en marcha, incluyendo la Web Semántica, el archivo de sitios web, la ciencia de la conservación y el cambio climático, el conocimiento y comprensión de los usuarios en línea y el desarrollo de una Wiki para usuarios de los Archivos Nacionales.

Oportunidades formativas para los archiveros de empresa: Medios para crear una profesión archivística

Peter Blum

La Asociación de Archiveros de Empresa de Alemania ofrece servicios especializados de formación y asesoría para los archiveros de empresa alemanes. El programa de formación consiste en cursos de tres a cinco días convocados entre dos y tres veces al año para un máximo de veinte estudiantes para cada curso. Uno de los fines de la formación es animar a los archiveros de empresa a desarrollar y proyectar una imagen positiva, aquella que apoye las necesidades empresariales de gestores. Pone especial énfasis en el desarrollo de las relaciones públicas y en las habilidades de hablar en público y de gestionar eficazmente el tiempo.

Gestión de documentos electrónicos en China: presente y futuro

Wang Liangcheng

Dos recientes encuestas realizadas por la Administración de Archivos Estatales de China (SAAC) han demostrado hasta qué punto los documentos electrónicos afectan a la mayoría de los documentos de las oficinas de la administración central y otras administraciones. Sin embargo, China se enfrenta a serios desafíos en la gestión y preservación de documentos electrónicos. Mientras que un entorno general reglamentario y legal para la gestión de la información y la seguridad está permitiendo al país construir una sociedad de la información moderna y que funcione bien, todavía falta una estrategia nacional global para la gestión de documentos electrónicos. La SAAC ha asumido el papel de liderar el desarrollo de estándares y regulaciones nacionales y se espera la creación de un centro nacional de documentos electrónicos.

El Macrodiccionario de Terminología Archivística: una herramienta para la normalización en el ámbito de la lengua española

Carmen Díez Carrera, José Ramón Cruz Mundet, Isabel González Corral, Santiago Morán Medina

Se ha desarrollado en España un proyecto para la creación de una herramienta común, un Macro Diccionario de Terminología Archivística, para los más de 20 países que comparten el español. Es un proyecto de la Universidad Carlos III de Madrid, inicialmente dirigido por el Profesor José Ramón Cruz Mundet en 2004 y desde 2005, por la Profesora Carmen Díez Carrera. El equipo de investigación está formado por personas de diferentes áreas (Derecho, Archivística, Lingüística).

El proyecto persigue la creación de

un Macro Diccionario de Terminología Archivística, concebido como una base de datos lexicográfica del conocimiento archivístico, que será un fichero basado en textos archivísticos, de los que se habrán extraído los términos.

En este proyecto es esencial obtener resultados prácticos directamente transferibles a la sociedad y, en particular, a la comunidad científica, que se concretarán en:

- ▶ Publicación de un diccionario al uso de Terminología archivística, y de un Macro Diccionario de Archivística
- ▶ Desarrollo de la página web dinámica del proyecto.
- ▶ Un fichero terminológico de referencia de la archivística española a texto completo.

Después de tres años, el proyecto ha desarrollado una base de datos terminológica, un fichero terminológico a texto completo, y un diccionario en avanzado estado de elaboración con una selección de alrededor de 500 términos, extraídos de entre los cerca de 3.000 con los que se ha venido trabajando.

Una nueva norma internacional para describir las funciones de los productores de documentos: ICA-ISDF

Claire Sibille-de Grimoüard, Padré Lydie Gnessougou Baroan-Dioumency

El principal objetivo de la organización y descripción archivísticas es preservar el contexto original de la producción de documentos, mediante la salvaguarda de su valor testimonial y su autenticidad. Las autoridades que siguen las ISAAR (CPF) hacen posible recoger cualquier información importante sobre los productores de documentos, organismos, personas o familias. Esa es la razón de la elaboración y puesta a disposición de descripciones separadas pero ligadas de los documentos y sus productores –lo que permite a los

archiveros desarrollar sistemas descriptivos dinámicos y multidimensionales. Las funciones son a menudo traspasadas de un organismo a otro. Así será mucho más difícil para los usuarios reconstituir el contexto de producción de los documentos si sólo disponen de autoridades que describen organismos que realizan la misma función. La descripción de funciones separada pero ligada puede mejorar la comprensión de ese contexto y puede ser usada en conjunción con descripciones según la ISAD(G) y autoridades ISAAR (CPF) como herramienta para una recuperación eficiente de descripciones de archivos y productores en sistemas de descripción archivística. Esta perspectiva constituye la base de la nueva norma internacional ISDF que proporciona una guía para preparar descripciones de funciones de organismos asociados con la creación y mantenimiento de archivos.

Nueva aproximación a la valoración y selección: construcción de bloques para un nuevo método de valoración y selección archivísticas

**Robbert Jan Hageman,
Charles Jeurgens, Ruud Yap**

Dos problemas a los que las unidades administrativas tienen que enfrentarse a la hora de archivar su información son la acumulación de documentos en papel que necesitan ser archivados y el carácter efímero de la información digital. En 2006, el Gobierno holandés lanzó ocho puntos de acción para tratar con estos problemas. Uno de ellos es una nueva aproximación a la selección archivística. *Past Appraised*, el Comité de Valoración y Selección, que fue creado por el Archivero Nacional Holandés y en el que participaron archiveros, historiadores y especialistas de la información, ofrece un objetivo integral nuevo para la selección de documentos administrativos, con un método apropiado para conseguir ese objetivo. El principio es que la selección y el ingreso son dos lados de la misma

moneda que es el patrimonio cultural: ambos sirven para construir una colección representativa. Lo primero que hizo el comité fue hacer un examen crítico de los objetivos del método existente, llamado PIVOT. Algunas partes mostraban críticas fundamentales sobre su alcance. Los objetivos, después de todo, dirigían la valoración y selección. El comité formuló un objetivo mucho más amplio en comparación con los objetivos existentes para la selección, uno que se adaptara mejor al principio de que el fin primario del archivero es documentar un cierto periodo para la sociedad en su conjunto. Esto se formuló como sigue: "el objetivo de la valoración, selección e ingreso es reunir y preservar fuentes que hagan posible que los individuos, organizaciones y grupos sociales descubran su historia y reconstruyan el pasado del estado y de la sociedad, así como la interacción entre ambos". En contraste con el objetivo previo, el nuevo implica que en los sistemas de valoración y selección no existe diferencia entre los documentos creados por las unidades administrativas y aquellos por las instituciones o personas privadas.

Edificios verdes de archivos: edificios de archivos y desarrollo sostenible

France Saïe Belaïsch

Francia tiene una larga tradición de edificios de archivos. Bajo la influencia de Michel Duchein, muchos edificios fueron construidos en forma de torre entre 1965 y 1985; muchos de ellos necesitan remodelaciones en la actualidad, en particular a causa de problemas con el aislamiento térmico. Actualmente existen una cierta variedad de evidencias, todas las cuales tienen en cuenta diferentes aproximaciones a la sostenibilidad. Los estudios sobre las condiciones de las áreas de almacenamiento han dado como resultado la revisión de los estándares de control medioambiental y los estudios de cargas han permitido reducciones en materiales constructivos.

Los viejos edificios con gruesas paredes proporcionan a menudo buenas condiciones para el almacenamiento de archivos y son sostenibles porque permiten reutilizar los materiales existentes. Además, permite a los usuarios y al personal beneficiarse de los méritos arquitectónicos de tal acomodación. En los edificios contemporáneos existe la necesidad de reconocer las diferencias entre edificios de energía positiva y pasiva, así como la diferencia entre energía solar y fotovoltaica. Permanece, sin embargo, la situación de que los edificios sostenibles deben ser edificios que nosotros también deseamos preservar y que, todavía incluso hoy, la arquitectura no puede reducirse a cuestiones de desarrollo sostenible.

Plan de desastres en gestión de documentos electrónicos

Sungun Nam, Dai Hyun Yoon

El artículo introduce el tema del plan de recuperación de desastres en documentos electrónicos sobre el que se ha trabajado en los Archivos Nacionales de Korea. Gracias al esfuerzo realizado en el proyecto de administración electrónica en ese país, el número de documentos electrónicos se ha incrementado rápidamente y el trabajo de archivo ha cambiado, del basado en el papel al electrónico. Es más, la cantidad y el valor a largo plazo de los documentos electrónicos continúa incrementándose rápidamente hoy en día. Es esencial un plan de recuperación de desastres para proteger de forma segura los documentos electrónicos importantes. Sería posible proporcionar la conservación segura y pleno servicio de los documentos mientras se mantiene la continuidad del trabajo, la recuperación inmediata de los datos requeridos y la ejecución del trabajo esencial bajo ciertas circunstancias de desastre. El autor aporta algunos resultados sobre la derivación de elementos de riesgo a través del análisis de riesgos y su influencia en el trabajo de archivo. Explica la estrategia de continuidad del trabajo, la respuesta sistemática de desastre y proce-

dimiento y el adiestramiento. Presenta una ilustración del actual procedimiento del plan de recuperación de desastres en documentos electrónicos en los Archivos Nacionales de Korea en el cuartel general de Daejeon, y en las ramas de Seongnam y Busan, seguida por el futuro plan de arquitectura modelo del sistema de recuperación de desastres (DRS). Finalmente, se avanza los futuros planes para el DRS de documentos electrónicos.

Innovaciones en materia de archivo y problemas con los documentos presidenciales en Corea.

Sangmin Lee

Durante su última administración, el gobierno de Corea realizó innovaciones en materia de archivo en toda la administración. Fue iniciado y apoyado por el anterior presidente, Mr. Roh Moo Hyun, y respaldado por funcionarios profesionales en una fuerte estructura administrativa. El Acta de Gestión de Documentos Públicos (PRMA) fue revisada para hacerla efectiva y el Acta de Documentos Presidenciales (PRA) fue aprobada.

Durante este periodo, los Archivos Nacionales de Corea (NAK) triplicó su personal y realizó innovaciones en los documentos de toda la administración. Al final de este periodo, el anterior presidente copió todos sus documentos presidenciales en formato electrónico y los guardó para su uso mientras transfería los documentos presidenciales "autenticados" al NAK. Sus antiguos secretarios fueron acusados por los NAK de violación de la PARA. La transferencia y copiado masivo de los documentos electrónicos presidenciales provocó en Corea serios y controvertidos debates políticos, legales, institucionales y tecnológicos.

En este informe, se resumen aspectos a considerar relativos a la gestión de documentos electrónicos. También se considera el tema de los documentos políticamente sensibles en los archivos públicos.

Sesión informativa sobre MOWCAP

Ray Edmondson

MOWCAP es el Comité Regional para Asia del Pacífico del *Memory of the World* de UNESCO. Su área se extiende desde Mongolia en el norte, a Nueva Zelanda en el sur, Kazajistán al oeste y las Islas del Pacífico al este, abarcando 43 países en total. Quince de ellos tienen comités nacionales propios establecidos bajo los auspicios de su Comisión Nacional de la UNESCO; algunos han creado Registros MOW Nacionales. MOWCAP trabaja para promover y extender el programa MOW dentro de la región: por ejemplo, ha establecido el registro MOW de Asia del Pacífico, proporciona asesoramiento y formación, promueve el establecimiento de nuevos comités nacionales y anima a los países a preparar nominaciones para el Registro MOW Internacional que en la actualidad refleja predominantemente el patrimonio europeo. Hasta la fecha ya se han completado proyectos con éxito.

El Programa Memoria del Mundo de la UNESCO

Miriam Nisbet

El programa *Memoria del Mundo* (*Memory of the World*, MOW) es el registro del legado colectivo de los pueblos del mundo y representa una proporción significativa del patrimonio mundial de los logros humanos desde el amanecer de los tiempos. Mientras una parte del legado es de transmisión oral, en su forma registrada es más comúnmente conocido como "patrimonio documental". Pero es frágil, sujeto a muchos tipos de deterioro natural y de desastres provocados por el hombre. El programa MOW de la UNESCO fue lanzado en 1992. Sus objetivos son (1) la preservación de esos materiales, proporcionando formación, información y obteniendo patrocinio para los proyectos; (2) proporcionar acceso a los materiales a través de la digitalización, publicación de libros, etc; (3) elevar la

conciencia global del significado del patrimonio documental. Este último está siendo llevado a cabo principalmente a través de la identificación de patrimonio documental de importancia mundial y su inventario en un registro MOW. Hay tres tipos de registro: Internacional, Regional y Nacional. Todos contienen material de importancia mundial y un asiento puede aparecer en uno o más registros dependiendo de la esfera geográfica de su influencia. Nominaciones para inscripción pueden hacerse por *cualquier* persona u organismo y un Comité Asesor Internacional se reúne cada dos años para tomar decisiones sobre entradas en el registro. Además, existe una estructura de comités regionales y nacionales, pero resulta incompleto y debería ser ampliado.

Europa y el programa Memoria del Mundo

Wladyslaw Stepniak

El programa *Memoria del Mundo* tiene una especial importancia para muchas naciones europeas ya que la fecha de su establecimiento, 1992, coincidía con el periodo en que muchos de ellos se estaban liberando del yugo comunista. Los objetivos globales del programa MOW, la preservación del patrimonio cultural, y, más específicamente, el acceso a ese patrimonio, fueron desde luego de gran interés para los archiveros. Este fue particularmente el caso de Polonia donde fueron los archiveros, más que los bibliotecarios como en todas partes, los que lideraron el trabajo del Comité Nacional. Aunque el CIA estaba altamente implicado en la formación del MOW, tenía sus reservas en cuanto a su aplicación a los archivos, dado que los criterios para inclusión de documentos eran incompatibles con las reglas de la ciencia archivística. Aunque hay problemas con la inclusión de fondos enteros en el Registro, se han exagerado las nociones generales de incompatibilidad, y sería una gran pena si las reservas del CIA estuvieran inhibiendo a otros comités nacionales de seleccionar material documental

para su inclusión, especialmente países de fuera de Europa, que, como región, solamente cuenta con el 50% de las entradas en el Registro.

Los Archivos eclesiásticos tras la entrada de Polonia en la Unión Europea

Julia Dziwoki

Presenta un panorama sobre los avances en la gestión y conservación, así como en el acceso, de los archivos de la Iglesia Católica en Polonia en el período que abarca la solicitud de entrada en la Unión Europea en 1994.

Los documentos antiguos en la Corea premoderna: la documentación de la vida de las personas en los archivos antiguos

Kwisun Si

Los “documentos antiguos” que documentan la interacción de los individuos con la administración perviven en gran número en Korea. Aunque han sufrido pérdidas sustanciales en el pasado, más de un millón de documentos que datan entre 1392 y 1910 se han conservado en los archivos y bibliotecas coreanos. A pesar de que puede ser difícil interpretarlos, están siendo cada vez más estudiados y proporcionan una fuente valiosa para los estudiosos de la Corea premoderna, particularmente en las áreas de historia social y económica. La mayor parte de estos documentos privados se refieren a la propiedad, las herencias y el derecho a la compra y venta de privilegios. Muchos tratan sobre la esclavitud que estaba muy extendida. Además, los documentos proporcionan evidencias de las sofisticadas prácticas de archivo de la dinastía Joseon. La misma existencia de estos sistemas contradice la visión promulgada durante el período colonial japonés que consideraba la Corea premoderna

como una sociedad primitiva, estancada e irregular, una visión utilizada entonces para justificar el proceso de colonización.

Una interpretación archivística de los documentos auténticos

Oh Hang-Nyeong

Los *documentos auténticos* (*Veritable Records*, VR) 1392 a 1910 son unas de las fuentes más claramente utilizadas para el estudio de la historia coreana. Eran series de documentos compilados a partir de otras catorce series, incluyendo, por ejemplo, cambios de reyes, resultados de exámenes oficiales, solicitudes de ingreso de funcionarios, procesos criminales, documentos diplomáticos y documentos sobre desastres. Ampliamente considerados como representantes de una tradición de buena gestión archivística en Corea, no han sido estudiados, sin embargo, desde la perspectiva de la ciencia archivística. Un examen sobre la manera en que fueron creados, gestionados y preservados los documentos, a menudo según una costumbre ceremonial de la época, demuestra la importancia que les corresponde. Además, fueron considerados por los administradores contemporáneos como poseedores de las características de autenticidad y fiabilidad, aunque su “fiabilidad” es en ocasiones discutida por los historiadores, dado que eran una compilación de documentos y, por lo tanto, no eran una “fuente primaria”. Sin embargo, en estas instancias esta línea de demarcación no es muy grave.

Резюме

Универсальный доступ к первоисточникам и бразильская историография

Мириам Бахия Лопес
(Myriam Bahia Lopes)

Оба проекта *Сеть визуальной памяти залива Виктории*, и *Имена и места Итабирито* создают методологию для унификации исторической информации. Они обращены к историку-собирателю, который использует навигацию Интернета как средство связывания информации. Нынешний день этого собирателя - критическое размышление об истории залива Виктории и области Итабирито в Бразилии. Серия распределена как сеть, поскольку каждый требуемый сегмент информации связан с одинаковым рядом. Этот подход уводит сеть от всемирной истории и времени хронологий, где последовательность данных придает *априорный* смысл историческому развитию и логическому упорядочению фактов. Сеть предлагает много различных способов доступа к изображениям и текстам с использованием Интернета и вовлечением технологических эффектов в противоположность линейному гомогенному времени.

Онлайн-справочники в помощь исследователю: опыт Национального архива французских заморских территорий

Андре Брошь (André Brochier)

Национальный архив заморских территорий (ANOM), чья задача состоит в том, чтобы сохранить, предоставить доступ и организовать использование публичных документов, отражающих французское колониальное присутствие за границей, имеет широкую международную аудиторию. Чтобы лучше ответить на потребность в информации он создал интернетовский исследовательский инструмент (IREL). Стартовавший в 2004 году с размещения в сети общей информации о фондах архива, IREL постепенно расширился, включив в себя банк изображений (Ulysse), документы гражданского состояния до 1880 г. и фонды библиотеки ANOM. Интеграция в систему детальных описей фондов должна была состояться в 2009 г. и позволить обеспечить доступ к некоторым оцифрованным изображениям документов. Поиск по всем описям должен осуществляться на основе общей системы ссылок (списки и документы ведомств), а также на базе именных указателей, включающих всех лиц, упомянутых в описях. В дополнении к свободному текстовому поиску, возможен управляемый поиск

по словарям, содержащимся в системе. Будет возможно уточнить тему (например, “рабство”) и провести поиск по всем словам или выражениям.

Доступность архивных источников в районных архивных системах

Михал Хенкин (Michal Henkin)

По мере того как возрастает значение местного управления, структура местного управления будет меняться от местного учреждения, нацеленного на администрирование, к учреждению, нацеленному на достижения и результаты. Либо местная власть продолжит предоставлять услуги напрямую, либо будут создаваться различные системы и управляться в соответствии с взаимными интересами партнеров. Местное управление может организовать услуги для общественности, используя провайдеров услуг с проверенными финансовыми и профессиональными возможностями, с применением долгосрочной лицензионной схемы, диктующей стандарты услуг, и гарантируя выполнение обязательств. Границы местного управления в этой ситуации переходят от географических и официальных рамок муниципальных единиц, включающих местные власти к границам, которые определяются в соответствии с совместно управляемыми субъектами. Эти системы могут быть доступны на протяжении определенного проекта или непрерывно в соответствии с желаниями партнеров. Они также могут быть основаны в различных федеративных структурах.

Для того, чтобы осуществить перемены, которые сократили бы стоимость технического обслуживания архивов, повысили уровень предлагаемых услуг и упростили доступ к информации, нужно выбрать организационную модель, отличающуюся от текущей. Несомненно, без указаний центрального правительства, будет сложно осуществить эти перемены. Создание районных архивов должно основываться на уже имеющихся региональных отделениях и уже существующих кооперативных образованиях муниципальных объединений. С течением

времени будет увеличиваться потребность общественности в доступности информации в качестве одного из основных гражданских прав, а местное управление больше не будет иметь возможность игнорировать эти растущие потребности.

Нужды архивных пользователей при поиске информации: пример исследования института Жаботинского, Израиль

Маша Золотаревски (Masha Zolotarevski)

В последние десятилетия нужды архивного пользователя привлекают все большее профессиональное внимание, но понимание поведения пользователей в процессе выявления информации представляет особую важность в настоящее время, когда многие архивы находятся в процессе создания поисковых средств, базирующихся на Интернет-технологиях, позволяющих проводить независимый поиск за пределами хранилища.

Исследование института Жаботинского «Архивный поиск» по определению способов, которыми исследователи определяют предмет их изысканий и выстраивают стратегию поиска, предоставило ценную информацию для создания в будущем эффективных и удобных для пользователей средств поиска и выявления. В частности, исследование показало, что собственные имена, часто ассоциирующиеся с различными значениями, предпочитают использовать в качестве поисковых терминов; пользователи отдают предпочтение скорее простым, нежели расширенным поисковым интерфейсам, отдается предпочтение естественному языку, нежели лингвистическим функциям, таким как булев поиск, который предоставляет большинством систем. Такие выводы предполагают изменения, которые можно сделать в существующих и будущих системах, чтобы обеспечить пользователей лучшими возможными поисковыми результатами.

Анализ современного положения латиноамериканских дипломатических архивов: программа сотрудничества

Мерседес де Вега (Mercedes de Vega)

Термином «управление» теоретики государственной службы обозначили потребность правительства приспособить свою деятельность к эре, когда в мире превалируют либерально-демократические идеи. В этой новой перспективе наблюдается стремление к объединению усилий национальных правительств, их международных представителей и неправительственных агентств (ученые, средства массовой информации, неправительственные организации, и т.д.), но это ставит серьезные задачи перед странами с молодыми демократиями и экономикой, находящимися на стадии становления, каковыми являются государства Латинской Америки. На практике получается, что если в этих странах такой подход используется без учета местных особенностей, все заканчивается простой риторикой с последствиями, прямо противоположными ожидаемым. Архивы как учреждения, ответственные за хранение документов, содержащих знания наций о самих себе, и в демократических режимах представляющие их в распоряжение общества, не являются исключением. В процессе анализа положения девятнадцати дипломатических архивов государств - членов Сети латиноамериканских дипломатических архивов (программа Генерального секретариата латиноамериканского саммита - SEGIB) рассматриваются возможности формулирования вариантов и решений, которые сделают дипломатические архивы реальными инструментами демократического продвижения и развития населения Латинской Америки.

Архивы Французской Западной Африки в Национальном архиве Сенегала: общее историческое наследие

Папа Момар Диоп (Papa Momar Diop)

Архивы правительства Французской Западной Африки (1895-1959) оставались в Дакаре (Сенегал), когда девять колоний и территорий, составлявших это образование, стали независимыми. Эти архивы являются общим наследием Сенегала, Мавритании, Мали, Гвинеи, Буркина-Фасо, Нигерии, Кот-д'Ивуара, Бенина, Того и, собственно, самой Франции. Для того, чтобы наиболее эффективно поделить друг с другом этим наследием, с помощью Франции была разработана программа по микрофильмированию документов. Однако из-за недостатка финансовых и кадровых ресурсов, ее реализация не двигается и теперь, кроме того, появились серьезные проблемы с сохранностью документов. Национальный архив Сенегала выступил с инициативой по оцифрованию, но ее реализация в настоящее время также невозможна, т.к. некоторые фонды требуют прежде всего срочной консервации. Папа Момар Диоп обращается ко всем сторонам, вовлеченным в проект, чтобы объединить усилия по обеспечению сохранности этого ценного наследия.

Обретая мировой размах: разработка согласованных технических условий на средства программного обеспечения

Адриан Каннингхэм (Adrian Cunningham)

Потребность в хороших системах электронного документооборота признается специалистами по документообороту с 90 -х годов. Создание международных стандартов, на которых основаны такие системы, а именно ISO 15489, является значимым достижением; однако производителям программного обеспечения было трудно

создать единый продукт, который мог бы стать международным с учетом распространения национальных и специфических юридических функциональных требований. По инициативе Национального архива Австралии, МСА и Австралийская инициатива по электронному документообороту создала проектную группу чтобы разработать единую универсальную совокупность требований, которую могли бы одобрить все задействованные вышестоящие органы и использовать в качестве основы для разработки и изменения специфических юридических требований, где необходимо. Помимо задействованных национальных архивных учреждения, интенсивные консультации велись с производителями программного обеспечения и промышленными группами, правительствами, EC, ISO и т.д. Одной из главных целей проекта было создание совокупности требований для систем по электронному документообороту, которая соответствовала бы целям и реалиям менее богатых стран. Тримя основными модулями были 1. пересмотр документов и совокупности принципов 2. требования и инструкции высокого уровня для управления документами в бизнес системах. Последний модуль особенно важен, так как он разработан, чтобы позволить организациям управлять документами в существующих бизнес системах (т.е. в системах электронной коммерции и управления отношениями с клиентами) а не создавать документы для единственного применения и управлять ими как документами в отдельном приложении электронного документооборота.

Союзники или чужие? Каковы отношения между академическими и практическими исследованиями?

Каролина Вильямс (Caroline Williams)

В этом докладе рассматриваются отношения между академическими и практиками, а также их подходы к проведению исследований. Автор рассуждает о том, как миссия, цели и задачи организаций, сотрудниками

которых они являются, влияют на характер и методы исследований. Он утверждает, что лучшая модель исследовательских отношений между академическими и практиками - модель совместная, интерактивная и итеративная. В докладе приводятся некоторые современные примеры совместных международных проектов и рассказывается о том, как британский национальный архив, как главный практик и одна из семи независимых исследовательских организаций Великобритании пересматривают стратегию исследований. Это выливается в подготовку различных исследовательских проектов, таких как Семантическая Сеть (Semantic Web), архивирование веб-сайтов, исследование вопросов консервации и изменения климата, работа с онлайн-пользователями, а также создание wiki для пользователей Национального архива.

Возможности получения образования для архивистов бизнеса: Способы создания архивной профессии

Питер Блум (Peter Blum)

VdW (Ассоциация немецких архивистов бизнеса) предлагает специализированное профессиональное обучение и службы консультантов для архивистов бизнеса в Германии. Программа обучения состоит из курсов обучения, длительностью 3-5 дней, которые проводятся каждый год два - три раза для двадцати студентов на каждом курсе. Одна из целей обучения состоит в том, чтобы оказать архивистам бизнеса содействие в создании и развитии положительного образа, который удовлетворит деловые требования их работодателей. Специфическое значение придается развитию связей с общественностью, навыкам публичного выступления и навыкам управления временем.

Электронный документооборот в Китае: настоящее и будущее

Ван Лянчжень (Wang Liangcheng)

Два недавних исследования Государственного архивного управления Китая показали, насколько электронные документы важны для большинства документов в центральных правительственных агентствах и других организациях. Однако, Китай столкнулся с серьезными проблемами в управлении и хранении электронных документов. Хотя всеобъемлющая юридическая и регулирующая база для управления информацией и безопасности информации позволяет стране построить хорошо функционирующее информационное общество, до сих пор отсутствует общенациональная стратегия управления электронным документооборотом. Государственное архивное управление Китая играет главную роль в развитии национальных стандартов и правил и ожидается, что будет учрежден национальный центр по электронным документам.

Макрословарь архивной терминологии: способ стандартизации в архивной сфере для испано-говорящих стран

Кармен Диез Каррера, Хосе Рамон Крус Мундет, Исабель Гонсалес Коррал и Сантьяго Моран Медина
(Carmen Díez Carrera, José Ramón Cruz Mundet, Isabel González Corral, Santiago Morán Medina)

Проект «Макрословарь архивной терминологии» осуществляется в университете им. Карлоса III в Мадриде с целью разработки инструмента для 20 стран в которых испанский язык является основным. Проект, изначально в 2004 году выполнявшийся под руководством проф. Хосе Рамона Крууса Мундета в 2004 году, а затем проф. Кармен Диасом Каррерой включает исследовательскую команду, состоящую из специалистов в разных областях (право, архивное

дело, лингвистика). Предполагается, что «Макрословарь архивной терминологии» должен выступить в качестве лексикографической базы данных архивного знания, основанной на терминах, выделенных из архивных текстов. Так как чрезвычайно важно получить практические результаты, которые могут напрямую передаваться обществу, а особенно профессиональному сообществу, итогами работы будут 1. публикация словаря современной архивной терминологии и макрословаря архивной науки; 2. разработка динамического сайта данного проекта в Интернете; 3. терминологический справочный файл, касающийся архивного дела Испании спустя 3 года в процессе осуществления проекта создана терминологическая база данных, терминологический файл и обычный словарь на заключительной стадии развития, который содержит около 500 терминов из более чем 3000 существующих сегодня.

Новый международный стандарт по описанию функций создателей документов: ICA-ISDF

Клэр Сибилл, Падре Лиди Гнессугу Бароан-Думенси
(Claire Sibille-de Grimoüard, Padré Lydie Gnessougou Baroan-Dioumency)

Главная цель упорядочения и описания архивных документов состоит в том, чтобы сохранить первоначальный контекст создания документов, соблюдая их ценность как свидетельства и их подлинность. Описания фондообразователя, соответствующие ISAAR (CPF), позволяют собрать любую важную информацию относительно создателей документов, корпораций, отдельных лиц или семей. Вот причина для создания отдельных, но связанных описаний документов и их создателей - это позволяет архивистам создавать динамичные и многомерные описательные системы. Часто функции передаются от одного корпоративного органа другому. Таким образом, для пользователей будет достаточно сложно воссоздать контекст создания документов, если

они будут получать только характеристику фондообразователя с описанием корпоративных органов, выполняющих одну и ту же функцию. Отдельные, но связанные между собой, описания функций могут улучшить понимание такого контекста и могут использоваться в комбинации с ISAD (G) - соответствующие описания- и ISAAR (CPF) - файлы фондообразователей - как инструмент для эффективного поиска описаний архивов и создателей в архивных описательных системах. Этот подход составляет основу нового международного стандарта ISDF, который представляет руководство по подготовке описаний функций корпоративных учреждений, связанного с созданием архивов и их управлением.

Новый подход к оценке: «Оценка прошлого». Строительные блоки для нового метода экспертизы ценности в архивах

**Роберт Ян Хагеман, Карлс Йоргенс,
Рууд Йеп**
(Robbert Jan Hageman, Charles Jeurgens,
Ruud Yap)

Две проблемы, с которыми правительственные организации имеют дело при архивировании их информации - отставание бумажных документов, которые должны быть переданы в архив, и эфемерное качество оцифрованной информации. В 2006 г. голландское правительство наметило восемь пунктов действий для решения этих проблем. Один из них - различный подход к архивному отбору. «Оценка прошлого», Комитет по оценке и отбору, который был создан голландским Национальным архивистом и в котором участвуют архивисты, историки, и специалисты по информации, предлагает новую интегральную цель для отбора документов в правительственных архивах, и соответствующий метод для достижения этой цели. Принцип заключается в том, что отбор и комплектование являются двумя сторонами «монеты» культурного наследия: оба служат для создания представительного собрания. Первое, что сделал комитет - критически исследовал цели

текущего метода оценки и отбора, т. наз. PIVOT. Некоторые его стороны подверглись фундаментальной критике с точки зрения целей. Цели, в конце концов, определяют направление в оценке и отборе. Комитет сформулировал намного более широкую цель по сравнению с существующими целями отбора, которая лучше соответствует тому принципу, что первичная цель архивиста состоит в том, чтобы задокументировать некоторый период для общества в целом. Это заявлено следующим образом: "Цель оценки, отбора и комплектования состоит в том, чтобы собрать и сохранить источники, которые позволяют индивидуумам, организациям и социальным группам узнать свою историю и восстановить прошлое государства и общества, а также взаимодействия между ними." В отличие от текущей цели, новая подразумевает, что в системе оценки и отбора нет никакого различия между архивами, созданными правительственными органами и созданными частными учреждениями и лицами.

Омолодившиеся здания архивов: здания архивов и устойчивое развитие

Франс Сайе Белаиш
(France Saïe Belaïsch)

Франция имеет богатые традиции строительства зданий архивов. Под влиянием Мишеля Дюшена многие из них в период с 1965 по 1985 г. были построены в форме башни; большинство требует теперь ремонта, в особенности из-за проблем с тепловой изоляцией. Позднее здания строились более низкими. Проблема устойчивости решается в настоящее время самыми различными способами. Исследования помещений хранилищ имели результатом пересмотр стандартов экологического контроля, а исследования в области загрузки хранилищ позволили добиться экономии строительных материалов. Старые здания с толстыми стенами часто обеспечивают хорошие условия для архивного хранения и весьма стабильны, поскольку они позволяют повторное использование существующих материалов. Кроме того, они позволяют пользователям и штату извлекать выгоду из

архитектурных достоинств такого размещения. В современных зданиях необходимо признание различий между зданиями с пассивной и положительной энергией, так же как и различий между солнечной и фотогальванической энергией. Однако, устойчивые здания должны оставаться зданиями, которые мы также хотели бы сохранить, и, даже сегодня, архитектура не должна быть упрощена до решения вопросов жизнеспособного развития.

Меры по ликвидации последствий катастроф в области электронного документооборота

Сунгун Нам, Дай Хун Юн
(Sungun Nam, Dai Hyun Yoon)

Статья представляет планирование по выходу из чрезвычайных ситуаций для электронных документов, разработанное Национальным архивом Кореи. Благодаря успешному проекту «Электронное правительство» в Корее, количество электронных документов быстро увеличивается, и в архивной работе наблюдается переход от хранения бумажных документов к сохранению электронных. Более того, в настоящее время количество электронных документов долгосрочного хранения продолжает расти. Планирование выхода из чрезвычайных ситуаций для электронных документов представляет огромное значение для защиты важных электронных документов. Необходимо предоставить безопасное хранение и полное обслуживание документов, в то же время сохраняя бизнес-процесс, быстрое восстановление необходимых данных и продолжая ключевую работу в условиях катастрофы. Автор обращается к некоторым результатам, касающимся происхождения элементов риска с помощью проведения анализа риска и их влияния на архивную работу. Он объясняет стратегию бизнес-процесса, систематическую ликвидацию чрезвычайных ситуаций, ее процедуру и практическую отработку. Описание настоящего планирования выхода из чрезвычайных ситуаций представлено в Национальном архиве Кореи в штаб-квартире Даехоне и в

отделениях в Сеунгнаме и Бузане и сопровождается будущим проектом архитектурной модели системы по выходу из чрезвычайных ситуаций. Наконец, намечен график будущих планов системы по выходу из чрезвычайных ситуаций для электронных документов.

Новации в документоведении и проблемы с президентскими документами в Корее

Сангмин Ли
(Sangmin Lee)

Корейское правительство в период последней администрации провело масштабную модернизацию в области организации хранения правительственных документов. Она была инициирована и поддержана прежним президентом Но Му Хеном, а также гражданскими служащими в жесткой структуре управления. Закон об управлении публичными документами (PRMA) был пересмотрен, чтобы сделать его эффективней, а также был издан Закон о президентских документах (PRA).

В течение этого периода штат Национального архива Кореи (NAK) увеличился втрое и провел реформу в области организации хранения правительственных документов. В конце срока своего президентства, прежний президент создал электронные копии всех своих президентских документов и держал их для своего пользования пока передавал «заверенные» президентские документы в NAK. NAK обвинил его бывших секретарей в нарушении Закона о президентских документах. Массовая передача и копирование электронных президентских документов вызвали в Корее некоторые серьезные и спорные политические, юридические, ведомственные и технические проблемы, связанные с документами.

В этом сообщении, я суммирую проблемы, связанные с документами для дальнейшего обсуждения управления электронными документами. Также это относится к проблеме политически чувствительных документов в публичных архивах.

Краткая информация об Азиатско-Тихоокеанском региональном комитете программы «Память мира» ЮНЕСКО (MOWCAP)

Рэй Эдмондсон (Ray Edmondson)

MOWCAP это Азиатско-Тихоокеанский региональный комитет программы «Память мира» ЮНЕСКО. Его деятельность распространяется на территорию от Монголии на севере до Новой Зеландии на юге, от Казахстана на западе до островов Тихого океана на востоке, в нем участвует 43 страны, 15 из которых имеют свои национальные комитеты, учрежденные под эгидой их национальных комиссий ЮНЕСКО. Некоторые страны составили национальные реестры Памяти мира. Задачей MOWCAP является продвинуть и распродать Программу «Память мира» внутри региона: например, им был составлен реестр «Памяти мира» Азиатско-Тихоокеанского региона, комитет предоставляет рекомендации и обучение, способствует учреждению новых национальных комитетов и побуждает страны готовить заявки на включение в международный реестр «Памяти мира», который в настоящее время отражает в основном европейское наследие. Некоторые успешные проекты уже завершены.

Программа ЮНЕСКО «Память мира»

Мириам Нисбет (Miriam Nisbet)

«Память мира» является документированным общим наследием народов мира и представляет значительную часть мирового наследия достижений человечества с расцвета времен. В то время как некоторая часть передается в устной форме, в документированном виде она общеизвестна как документальное наследие. Но она является хрупким материалом, страдающим от многих видов природных и антропогенных катастроф. Программа ЮНЕСКО «Память мира» была начата в 1992 г. Её целями являются: 1. сохранение таких материалов путем предоставления обучения, информации и поддержки

проектов со стороны спонсоров; 2. предоставление доступа к материалам путем оцифровки, публикации книг и т.д.; 3. привлечение мирового внимания к значимости документального наследия. Последний пункт выполняется в основном путем определения мировой значимости документального наследия и его занесения в реестр «Память мира». Есть три вида реестров: международный, региональный и национальный. Все содержат материал мирового значения, и элемент может появиться в одном или более реестров в зависимости от географической сферы его влияния. Предложения о включении материалов в реестр могут быть внесены любым индивидуальным лицом или учреждением, Международный консультативный комитет собирается каждые два года для вынесения решений по включению новых материалов в реестр. К тому же существует структура региональных и национальных комитетов, но она еще не закончена и должна быть усилена.

Европа и программа «Память мира»

Владислав Стемпняк
(Wladyslaw Stepniak)

Программа «Память мира» имеет особое значение для многих европейских наций, так как дата ее основания, 1992 г., совпала с периодом, когда многие из них освободили себя от коммунистического правления. Общие цели Программы «Память мира» - сохранение культурного наследия и, более значимая, доступ к наследию, безусловно, представляли огромный интерес для архивистов. Особенно это характерно для Польши, где именно архивисты, а не библиотекари, как в других странах, возглавляли Национальный комитет. Хотя МСА был вовлечен в значительной мере в учреждение Программы «Память мира», он также ввел ограничения, касающиеся применения программы к архивам на том основании, что критерии для включения документов были несовместимы с правилами архивной науки. Хотя существуют проблемы с включением целых фондов в реестр, общие представления о

несовместимости были преувеличены, и будет очень жаль, если ограничения МСА не позволят национальным комитетам отбирать документальные материалы для включения в реестр, в особенности неевропейским странам, которые как регион отвечают за 50 % новых поступлений в реестр.

Церковные архивы после вступления Польши в Европейский Союз

Юлия Дживоки (Julia Dziwoki)

Обзор достижений в области управления и сохранения, а также доступности архивов католической церкви в Польше в период после подачи Польшей заявки на вступление в Евросоюз в 1994 г.

Старые архивы во времена, предшествующие современной Корее: документирование человеческих жизней

Квисун Си (Kwisun Si)

старые архивы, документирующие связью отдельных лиц с государством, сохранились в огромном количестве в Корее. Несмотря на то, что в прошлом были понесены значительные потери, более чем миллион таких документов периода 1392-1910 гг. сохранилось в корейских архивах и библиотеках. Хотя возможно их трудно истолковать, они в настоящее время изучаются и представляют ценный источник для исследователя, изучающего времена, предшествующие современной Корее, особенно в социальной области и в области экономической истории. Большинство таких личных документов касаются собственности, наследства и праву покупать и продавать привилегии. Многие касаются рабства, которое было широко распространено. Также документы предоставляют данные об усовершенствованных практиках делопроизводства династии Хосеон. Само существование таких документальных систем противоречит образу ранней Кореи как примитивного застойного и непра-

вильного общества, пропагандируемому во время японского колониального периода, мнение которое когда-то использовалось для обоснования колониального процесса.

Архивная интерпретация «Истинных документов»

О Ханг- Найонг (Oh Hang-Nyeong)

Публикация «Истинные документы 1392-1910 гг.» является самым используемым источником для изучения корейской истории. Это издание документов, составленное путем компиляции из 14 других сборников, и включает, к примеру, перемещения короля, результаты аттестаций должностных лиц, назначения руководителей, уголовные дела, дипломатические документы и документы о чрезвычайных ситуациях. Длительное время рассматриваемые как образец хорошего архивного управления в Корее, в то же время, они еще не были изучены со специфической точки зрения архивной науки. Исследование способов создания, управления и сохранения документов, часто в церемониальном виде, демонстрирует важность, присущую им. К тому же они рассматриваются современными руководителями как достоверные и подлинные, хотя их достоверность иногда оспаривается историками на том основании, что они являются компиляцией документов и не являются, таким образом, первоисточником. Однако это ограничение не является решающим в данном случае.

عانه من خسارة كبيرة في الماضي فقد تبقى أكثر من مليون من تلك الوثائق التي تعود أساساً للفترة من 1392م حتى 1910م، ويحتفظ بها في الأرشيفات والمكتبات الكورية. وعلى الرغم من صعوبة فهمها فإنها توفر مصدراً قيماً للطلبة الذين يدرسون التاريخ الاجتماعي والاقتصادي. فغالبية تلك الوثائق من النوع الخاص، وتتعلق بالملكية، والميراث، وحق شراء وبيع المزايا. وكثير منها يتعلق بالعبودية التي كانت منتشرة في تلك الفترة. وبالإضافة إلى ذلك توفر السجلات الدلائل على الممارسات المتقدمة في مجال حفظ السجلات الخاصة بأسرة جوسيون الحاكمة. ويتعارض مجرد وجود مثل تلك النظم مع الرأي الذي تم الترويج له خلال فترة الاستعمار الياباني، والذي يذهب إلى أن كوريا ما قبل الحديثة كانت تضم مجتمعاً بدائياً راكداً وغير منتظم، وهو رأي قد استخدم لتبرير العملية الاستعمارية.

تفسير أرشيفي للسجلات الحقيقية

(Oh Hang-Nyeong)

«السجلات الحقيقية» (1910-1392) واحدة من أكثر المصادر استخداماً لدراسة التاريخ الكوري، وهي سلسلة من الوثائق تم جمعها من 14 سلسلة من سلسلات السجلات بما في ذلك - على سبيل المثال - تحركات الملك، وتناجح امتحانات الضباط، وتعيين الضباط، والقضايا الجنائية، والوثائق الدبلوماسية، والوثائق المتعلقة بالكوارث.

ولطالما اعتبرت تلك السجلات نظاماً جيداً لإدارة الأرشيفية في كوريا، ومع ذلك فإنها لم تخضع بشكل مناسب للدراسة من وجهة نظر علم الأرشيف. ويتبين من فحص طريقة إنشاء تلك السجلات، وإدارتها، وحفظها (وغالبا ما كان يتم ذلك بشكل احتفالي) مدى الأهمية التي كانت تحظى بها. ويضاف إلى ذلك أن المدراء المعاصرين ينظرون إليها باعتبارها مصادر أصيلة ويعتمد عليها، وإن شكك بعض المؤرخين في مصداقيتها أحيانا على أساس أنها تجميع للسجلات، ومن ثم فهي ليست مصدراً أولياً. ومع ذلك فإن هذا الانتقاد ليس هاماً في تلك الحالة.

أوروبا وبرنامج «ذاكرة العالم»

ولاديسكو ستبنياك

(Wladyslaw Stepniak)

لبرنامج «ذاكرة العالم» أهمية خاصة بالنسبة لكثير من الأمر الأوروبية حيث أن تاريخ إطلاقه - 1992م - قد تزامن مع الفترة التي حرر الكثير منها نفسه من الحكم الشيوعي. والأهداف العامة من برنامج «ذاكرة العالم» هي الحفاظ على التراث الثقافي، وبصفة خاصة توفير إتاحتته، ومن ثم فقد اهتم به الأرشيفيون كثيراً. ولقد حدث ذلك في بولندا بصفة خاصة حيث تولى الأرشيفيون - وليس أمناء المكتبات كما في دول أخرى - قيادة العمل باللجنة الوطنية. وعلى الرغم من المشاركة المكثفة للمجلس الدولي للأرشيف في تشكيل «ذاكرة العالم» فقد كان له تحفظات حول تطبيق المشروع على الأرشيفات باعتبار أن المعايير المستخدمة في الانتقاء لا تتماشى مع قواعد علم الأرشيف. وعلى الرغم من وجود مشاكل حول ضم مصادر بأكملها للسجل، فإننا وبصفة عامة نجد الأفكار حول عدم الموائمة مبالغ فيها، ومن ثم فإنه لأمر مؤسف أن تؤدي تحفظات المجلس الدولي للأرشيف إلى تثبيط همم لجان وطنية أخرى عند انتقاء المواد التوثيقية لضمها للسجل، خاصة في الدول خارج أوروبا التي تشكل مواطنيها 50% من إجمالي مدخلات السجل.

أرشيف الكنيسة بعد انضمام بولندا للاتحاد الأوروبي

جوليا زيوكوي

(Julia Dziwoki)

ترصد هذه الورقة التقدم الذي حدث في إدارة وحفظ، وإتاحة سجلات الكنيسة الكاثوليكية في بولندا في الفترة منذ تقدم بولندا للانضمام للاتحاد الأوروبي في 1994م.

الأرشيف القديم في عهد ما قبل كوريا الحديثة: توثيق حياة الناس في الأرشيف القديم

كويسون سي

(Kwisun Si)

يتوافر الأرشيف القديم الذي يوثق التفاعل بين الأفراد والحكومة في كوريا. وعلى الرغم مما

المتحدة للتربية والعلوم والثقافة (يونسكو)، ويمتد نطاق عملها من منغوليا شمالاً حتى نيوزيلندا جنوباً، ومن كازاخستان غرباً حتى جزر المحيط الهادي (الباسيفيكي) شرقاً، وبذلك تغطي 43 دولة إجمالاً. ولدى خمسة عشر من تلك الدول لجان وطنية خاصة بها تم تشكيلها تحت رعاية اللجان الوطنية ليونسكو، وقام بعضها بإنشاء سجلات خاصة ببرنامج «ذاكرة العالم». وتعمل اللجنة الإقليمية الآسيوية الباسيفيكية على تعزيز وامتداد برنامج ذاكرة العالم في إطار منطقتها. فعلى سبيل المثال فقد أنشأت سجل ذاكرة التاريخ الخاص بآسيا والباسيفيك، وتسدي النص والمشورة، وتوفر التدريب، وتشجع إنشاء لجان وطنية جديدة، كما تشجع الدول المعنية على إعداد ترشيحات للضم للسجل الدولي لذاكرة العالم الذي يتركز حالياً على التراث الأوروبي. ولقد تم إنجاز العديد من المشروعات الناجحة.

برنامج اليونسكو حول ذاكرة العالم

ميريام نسبت

(Miriam Nisbet)

برنامج «ذاكرة العالم» هو التراث المجمع المسجل لشعوب العالم، ويشكل قسطاً كبيراً من التراث العالمي المتمثل في المنجزات البشرية منذ فجر التاريخ. وإذا كان جزءً من ذلك التراث ينقل شفاهياً، فإنه في شكله المسجل يعرف بصفة عامة باسم «التراث الوثائقي». ولكنه على ذلك النحو هش، وعرضة للكثير من أشكال التدهور الطبيعي، والكوارث التي يتسبب فيها الإنسان. ولقد أطلق برنامج اليونسكو لذاكرة العالم في 1992، وأهدافه هي: (1) الحفاظ على مثل تلك المواد عن طريق توفير التدريب، والمعلومات، وتأمين الرعاية للمشروعات؛ (2) توفير الإتاحة للمواد من خلال الرقمنة، ونشر الكتب، الخ؛ (3) زيادة الوعي العالمي بأهمية التراث الوثائقي. ويتم تحقيق ذلك الهدف الأخير بشكل أساسي عن طريق تحديد التراث الوثائقي ذي الأهمية العالمية، وضمه في سجل ذاكرة العالم. وثمة ثلاثة أنواع من السجلات: دولي، وإقليمي، و وطني. وكلها تضم مواد ذات أهمية عالمية، ولذا فقد يظهر الشيء الواحد في أكثر من سجل، ويعتمد الأمر على المدى الجغرافي لأهميته. ويمكن لأي فرد، أو هيئة ترشيح المواد لضمها لسجلات ذاكرة العالم، وتجتمع لجنة استشارية دولية مرة كل عامين لاتخاذ القرارات بشأن ما يُضم للسجل. ويضاف إلى ذلك ثمة هيكل من لجان إقليمية ووطنية، لكنه لم يكتمل بعد ويحتاج إلى تقوية.

المنظمة للكوارث وإجراءاتها، والتدريب عليها. وي طرح المؤلف النموذج المتبع للتخطيط للتعافي من آثار الكوارث في السجلات الإلكترونية بمقر الأرشيف الوطني الكوري في حاجيون، وفروعه في سيونجنام، وبوسان، كما يطرح خطة معمارية مستقبلية لنظام التعافي من الكوارث. وأخيراً يقدم برنامجاً زمنياً للخطة المستقبلية الخاصة بالتعافي من الكوارث في السجلات الإلكترونية.

الجديد في حفظ السجلات، والمسائل المتعلقة بالسجلات الرئاسية في كوريا

د. سانجمن لي

(Sangmin Lee)

خلال فترة الحكم الماضية أدخلت الحكومة الكورية تغييرات في حظ السجلات بكافة أجهزتها، وقد أطلق تلك المبادرة ودعمها الرئيس السابق رو مو هويين، بمساعدة مهنيين مدنيين شكلوا هيكلًا حكوميًا متينًا. وتم مراجعة قانون إدارة السجلات العامة لزيادة فعاليته، كما تم إصدار قانون السجلات الرئاسية. وخلال تلك الفترة، ازداد حجم الأرشيف الوطني لكوريا ثلاث أضعاف، وتم إدخال تغييرات في إدارة سجلات مختلف الهيئات الحكومية. وفي نهاية فترة حكمه، أمر الرئيس السابق بنسخ كافة السجلات الرئاسية في هيئة إلكترونية، واحتفظ بالاستخدام الشخصي، بينما قام بتحويل السجلات الموثقة للأرشيف الوطني الكوري. ولقد اهتم ذلك الأرشيف العاملين السابقين بسكرتارية الرئيس بانتهاك قانون السجلات الرئاسية إذ نتج عن النسخ الشامل للسجلات الرئاسية الإلكترونية بعض من القضايا الخطيرة التي أثارت جدلاً سياسياً، وقانونياً، ومؤسسياً، وتقنياً كبيراً. وفي هذا التقرير ملخص لقضايا السجلات يعطى مزيداً من الاهتمام بإدارة السجلات الإلكترونية. كذلك تناقش هذه الورقة مسألة السجلات السياسية الحساسة في الأرشيف العام.

نبذة عن اللجنة الإقليمية الآسيوية الباسيفيكية لمشروع «ذاكرة العالم»

راي إدموندسون

(Ray Edmondson)

اللجنة الإقليمية الآسيوية الباسيفيكية لبرنامج «ذاكرة العالم» من اللجان التابعة لمنظمة الأمم

وغالبيتها يحتاج الآن للتحديث، خاصة في ضوء المشاكل المتعلقة بالعزل الحراري. وبعد 1985 باتت المباني أقل ارتفاعاً، ويظهر اليوم عدة مداخل تتعلق بالديمومية. ولقد أدت الدراسات حول الشروط الواجب توافرها في مناطق الخزن إلى إعادة النظر في المعايير الخاصة بالتحكم في البيئة، وإطلاق المزيد من الدراسات حول الأحمال، الأمر الذي مكن من تحقيق الاعتبارات الاقتصادية من حيث مواد البناء. ويلاحظ أن المباني القديمة ذات الجدران السميكة غالباً ما تشكل أفضل الظروف للخزن الأرشيفي، كما أنها تتسم بالديمومية لأنها تسمح بإعادة استخدام المواد المتوفرة، ويضاف إلى ذلك أنها تسمح للمستخدمين والعاملين من الاستفادة من المزايا المعمارية. أما في المباني المعاصرة فثمة حاجة للتعرف على الفروق بين المباني ذات الطاقة السلبية، وتلك ذات الطاقة الإيجابية، وكذلك الفروق بين الطاقة الشمسية المباشرة، والطاقة الضوئية المستمدة من الطاقة الشمسية التي تتحول إلى تيار مستمر). ومع ذلك يظل هناك مشكلة أن المباني المستدامة ينبغي أن تكون مبانٍ نرغب في الحفاظ عليها، مع العلم بأنه حتى في أيامنا هذه لا يمكن اختزال فن العمارة عند التفكير في متطلبات التنمية المستدامة.

التخطيط لمواجهة الكوارث في ظل الإدارة الإلكترونية للسجلات

سونج نام، داي هيون يون

(Sungun Nam, Dai Hyun Yoon)

تطرح هذه المقالة تخطيطاً للتعافي من آثار الكوارث في ظل الإدارة الإلكترونية للسجلات، وقد أعدها الأرشيف الوطني الكوري. فمن خلال مشروع للحكومة الإلكترونية في كوريا ازداد عدد السجلات الإلكترونية بشكل سريع، وتحول العمل الأرشيفي من أرشفة السجلات الورقية إلى أرشفة السجلات الإلكترونية. ويضاف إلى ذلك أن كمية السجلات الإلكترونية وقيمتها على المدى الطويل في تزايد سريع اليوم، ومن ثم فإن التخطيط للتعافي من آثار الكوارث بات أمراً بالغ الأهمية من أجل المحافظة على السجلات الإلكترونية العامة. وينبغي العمل على توفير الحفظ الآمن، والخدمة الكاملة للسجلات مع الحفاظ على إستراتيجية العمل، والاسترجاع السريع للبيانات المطلوبة، ومواصلة العمل الأساسي في ظل ظروف وآثار الكوارث. ويتناول المؤلف بعض النتائج المتعلقة باستنباط عناصر الخطر، وتحليل الأخطار، وأثر ذلك في العمل الأرشيفي، كما يشرح إستراتيجية تواصل العمل، والاستجابة

مدخل جديد للتقييم: لبنات بناء طريقة جديدة للتقييم في الأرشيف

روبرت جان هيجمان، تشارلز جيرجنز،
رود ياب

(Robbert Jan Hageman, Charles
Jurgens, Ruud Yap)

ثمة مشكلتان تواجهان المؤسسات والهيئات الحكومية فيما يتعلق بأرشفة معلوماتها، وهما: تراكم الوثائق الورقية التي يتعين أرشفتها؛ والطابع الطيار للمعلومات الرقمية. وفي 2006م وضعت الحكومة الهولندية خطة عمل من ثماني نقاط للتعامل مع هاتين المشكلتين. ومن بين تلك النقاط مدخل مختلف للانتقاء الأرشيفي. فلقد طرحت لجنة التقييم والانتقاء (التي شكلها الأرشيف الوطني الهولندي ويشارك فيها أرشيفيون، ومؤرخون، وأخصائيو معلومات) طريقة ملائمة تستخدم للوصول لذلك الهدف. والمبدأ هنا هو أن الانتقاء والاقتناء جانبان لعملية واحدة هي التراث الثقافي. وكان أول ما فعلته تلك اللجنة القيام بفحص دقيق لأغراض الطريقة الراهنة للتقييم والانتقاء، والتي تعرف باسم ييفوت (PIVOT). ولقد أبدى عدد من الأطراف انتقاداً أساسياً لمجالاتها، فالأغراض أولاً وأخيراً توفر التوجيه بالنسبة للتقييم والانتقاء. لذا فقد حددت اللجنة غرضاً أكثر اتساعاً بالمقارنة بالأغراض الراهنة للانتقاء، وهو يتماشى بدرجة أكثر مع المبدأ القائل بأن الهدف الأولي للأرشيفي هو توثيق فترة معينة من حياة المجتمع ككل، وهو ما يمكن بيانه كالتالي: «الغرض من التقييم، والانتقاء، والاقتناء هو جمع وحفظ المصادر التي تمكن الأفراد والهيئات والجماعات من اكتشاف تاريخها وإعادة بناء ماضي الدولة والمجتمع، وكذا التفاعل بين الإثنين». وعلى النقيض من الغرض الراهن نجد أن الغرض الجديد ينطوي على نظم للتقييم والانتقاء لا تفرق بين الأرشيفات التي تنشئها الهيئات الحكومية، وتلك التي تنشئها المؤسسات الخاصة أو الأفراد.

المباني الخضراء للأرشيف: مباني الأرشيف والتنمية المستدامة

فرانس ساي بيلاش

(France Saie Belaïsch)

لمباني الأرشيف تاريخ طويل في فرنسا. فبإيعاز من ميشيل دوستين تم إقامة العديد من المباني في هيئة أبراج في الفترة من 1965 حتى 1985،

معياري دولي جديد لوصف وظائف منشئي السجلات: المجلس الدولي للأرشيف المعياري الدولي لوصف الوظائف (ISDF - ICA).

كلير سيبيلي، بادريه ليدى جنسوجو
بارون - ديومنسي

(Claire Sibille-de Grimouard
Padré Lydie Gnessougou Baroan-
Dioumency)

الهدف الرئيسي من الترتيبات والتوصيفات الأرشيفية هو الحفاظ على السياق الأصلي لإنشاء السجلات من خلال حماية قيمتها الدلالية، ومصداقيتها وأصالتها، ويعمل المعيار الدولي للسلطة الأرشيفية للسجلات الخاصة بالمؤسسات والهيئات والجمعيات (ISAAR CPF) على جمع المعلومات الهامة حول منشئ السجلات، والهيئات والمؤسسات، والأشخاص، والعائلات، وبهذا يتوف أوصاف منفصلة وإن كانت مرتبطة للسجلات ومنشئها، الأمر الذي يمكن الأرشيفيين من وضع نظم للوصف، ديناميكية ومتعددة الأبعاد. وغالباً ما تتغل الوظائف من هيئة إلى أخرى، ومن ثم فإنه من الصعب كثيراً على المنتفعين إعادة بناء سياق إنشاء للسجلات إذا ما اقتصر ما يحصلون عليه على السجلات السلطوية التي تصف الهيئات والمؤسسات التي قامت بالوظائف ذاتها، وهكذا فإنه عن طريق التوصيفات المنفصلة - المتصلة للوظائف يمكن تحسين فهم ذلك السياق، وبذلك يمكن أن يستخدم جنباً إلى جنب مع توصيفات (G) (ISAD -، والملفات الوصفية الخاصة بـ ISAAR CPF كأداة جيدة لاسترجاع السجلات الأرشيفية. ويمثل ذلك المدخل الأساسي لمعيار دولي جديد لوصف وظائف منشئ السجلات يساعد في إعداد أوصاف لوظائف المؤسسات والهيئات ذات الصلة بإنشاء وصيانة الأرشيفات.

القاموس الأكبر لمصطلحات الأرشيف: أداة للتوحيد في مجال اللغة الأسبانية

كارمن دياز كاريرا، جوزيه رامون كروز
ماندت، إيزابيل جونزاليز كوارل، سانتياجو
مواران ميدينا

(Carmen Díez Carrera, José Ramón
Cruz Mundet, Isabel González
Corral y Santiago Morán Medina)

يتم تنفيذ مشروع القاموس الأكبر لمصطلحات
الأرشيف في جامعة كارلوس الثالث في مدريد،
ويهدف إلى توفير أداة للدول العشرين المتحدثة
باللغة الأسبانية.

وفي البداية تولى إدارة المشروع البروفيسور
جوزيه رامون كروز ماندت في 2004، بينما تولى
إدارته لاحقاً البروفيسور كارمين دياز كاريرا. ويقوم
بالمشروع فريق بحثي يتألف من أفراد من مختلف
التخصصات (القانون، علوم الأرشيف، اللغويات).

ويعتبر القاموس قاعدة بيانات معجمية حول
المعارف الأرشيفية على أساس المصطلحات
المستمدة من النصوص الأرشيفية. وحيث أنه من
الضروري الحصول على نتائج عملية يمكن نقلها
للمجتمع، وبصفته خاصة للمجتمع المهني مباشرة،
فسوف تكون المخرجات على النحو التالي: (1) نشر
قاموس للمصطلحات الأرشيفية الراهنة، ونشر
قاموس كبير لعلوم الأرشيف.

(2) إعداد صفحة ديناميكية للمشروع على
شبكة المعلومات العالمية. (3) إعداد ملف
مرجعي للمصطلحات الخاصة بعلم الأرشيف
الأسباني في نص كامل. وبعد ثلاث سنوات من بدء
العمل بالمشروع ثم إنجاز قاعدة البيانات الخاصة
بالمصطلحات، وملف للمصطلحات، وقاموس
عادي في مرحلة متقدمة من الإنجاز ويتضمن 500
مصطلح مستمد من أكثر من 3,000 مصطلح
خضعت للدراسة.

للمملكة المتحدة - بصفته من أكبر الممارسين
وأحد سبع مؤسسات بحثية مستقلة بالمملكة -
يعمل على إعادة صياغة إستراتيجيته بحيث تقوم
على البحث العلمي. وتخلص الورقة إلى إبراز بعض
المشروعات البحثية الراهنة بما في ذلك شبكة
المعاني، وأرشفة المواقع الشبكية، وعلوم
المحافظة (على الطبيعة)، والتغيرات المناخية،
وفهم المستخدمين على الخط المباشر، وإنشاء
شبكة (ويكي) لمستخدمي الأرشيف الوطني.

الفرص التعليمية لأرشيفي الشركات التجارية: وسائل استحداث مهنة أرشيفية

بيتر بلوم

(Peter Blum)

يمنح اتحاد أرشيفي الشركات التجارية الألمانية
تدريباً مهنياً خاصاً وخدمات استشارية لأرشيفي
الشركات التجارية في ألمانيا. تشمل برامج التدريب
دورات تتراوح مدتها بين 3 إلى 5 أيام تعقد ثلاث
مرات سنوياً وتستوعب كل دورة عشرين طالباً.
من أهم أهداف التدريب تشجيع أرشيفي الشركات
التجارية على التطوير وإبراز الصورة الإيجابية لدعم
احتياجات العمل لمستخدميهم. وهناك تركيز
خاص في تطوير مهارات العلاقات العامة،
والتحدث في اللقاءات العامة، وإدارة الزمن.

إدارة السجلات الإلكترونية في الصين: الحاضر والمستقبل

وانج ليانجشنج

(Wang Liangcheng)

أوضحت المسوحات التي أجرتها مؤخراً إدارة
سجلات الدولة في الصين مدى انتشار استخدام
السجلات الإلكترونية في الهيئات والمؤسسات
التابعة للحكومة المركزية. ومع ذلك تواجه
الصين تحديات خطيرة في إدارة وحفظ السجلات
الإلكترونية. فبينما تمكن البيئة القانونية
والتنظيمية الخاصة بإدارة وأمن المعلومات
الدولة من بناء مجتمع معلومات حديث فهي
بحاجة إلى إستراتيجية وطنية شاملة لإدارة السجلات
الإلكترونية. وتقوم إدارة سجلات الدولة بدور
قيادي في إعداد المعايير والنظم الوطنية في هذا
الشأن، ومن المتوقع إنشاء مركز وطني للسجلات
الإلكترونية.

دولية لإقامة مثل تلك النظم، وعلى الأخص أيزو 15489. ومع ذلك فقد كان من الصعب على منتجي البرمجيات إعداد برنامج متوافق دولياً، نظراً لتعدد المتطلبات الوظيفية الوطنية، وكذا المتطلبات ذات الصلة بالاختصاصات. وبمبادرة من الأرشيف الوطني الأسترالي، قام المجلس الدولي للأرشيف، والمبادرة الأسترالية للحفاظ الرقمي للسجلات بتشكيل فريق لإعداد بيان منسجم عالمياً حول المتطلبات التي يمكن أن تبنها كافة الاختصاصات، ومن ثم تستخدمها كأساس في تحديد أو مراجعة المتطلبات ذات الصلة بالاختصاصات كلما كان ذلك ضرورياً، وذلك بالتشاور المكثف مع مؤسسات الأرشيف الوطنية المعنية، ومنتجي البرمجيات، والحكومات، والاتحاد الأوروبي، وأيزو... الخ. ومن بين الأهداف الرئيسية للمشروع إعداد بيان بالمتطلبات الخاصة بنظام إدارة الوثائق والسجلات الإلكترونية (EDRMS) تفي بكافة الأغراض، وتتناسب مع الواقع في الدول الأقل ثراءً. وكانت الأقسام الثلاثة هي: (1) وثيقة عامة وبيان بالمبادئ: (2) المتطلبات والموجهات عالية المستوى لبرمجيات نظم إدارة السجلات الإلكترونية: (3) الموجهات والمتطلبات الخاصة بإدارة السجلات في نظم إدارة الأعمال. والقسم الأخير مثير بشكل خاص نظراً لأنه مصمم بحيث يسمح للهيئات والمنظمات بإدارة السجلات في ظل نظم قائمة لإدارة الأعمال (مثل التجارة الإلكترونية، ونظم إدارة علاقات العملاء)، وذلك بدلاً من إنشاء السجلات في ضوء تطبيق ما، وإدارتها في ظل تطبيق منفصل لإدارة السجلات الإلكترونية.

حلفاء أم غرباء؟ ما هي العلاقة بين البحث العلمي الأكاديمي والبحث القائم على الممارسة؟

كارولين وليامز

(Caroline Williams)

تناقش هذه الورقة العلاقة بين الأكاديميين والممارسين من حيث اتجاه كل من الفئتين إلى البحث العلمي، كيفية تأثير رسالة وأهداف وأغراض المؤسسات التي ينتمون إليها في طبيعة وطرق البحوث التي يقومون بها.

وتذهب الورقة إلى أن أفضل نموذج للعلاقة البحثية بين الأكاديميين والممارسين هو ذلك الذي ينطوي على التعاون والتفاعل والتبادل. كذلك تستشرف الورقة بعض الأمثلة الراهنة لمشاريع التعاون الدولي، وتصف كيف أن الأرشيف الوطني

أن ذلك مدخل يأتي بعكس عكس المطلوب في حالة ما لم يطبق مع أخذ الواقع المحلي في الاعتبار. فالأرشيفات بصفاتها هيئات منوطة بحفظ السجلات التي تحتوي على معلومات الأمر حول نفسها، ووضعها (في الدول الديمقراطية) تحت تصرف المجتمع، ليست استثناءً من ذلك. ومن أجل تحليل الموقف تم دراسة حالة الأرشيف الدبلوماسي في تسعة عشر من الدول الأعضاء في الشبكة الأرشيفية (وهي عبارة عن برنامج أطلقته الأمانة العاملة للقيمة الأيبيرية - الأمريكية) ويهدف إلى طرح خيارات وحلول لجعل الأرشيفات الدبلوماسية أدوات فعيلة لدفع التقدم الديمقراطي والتنمية لشعوب أمريكا اللاتينية.

أرشيفات غربي إفريقيا الفرنسي لدى الأرشيف الوطني السنغالي: مشاركة أفضل في تراث تاريخي مشترك

بابا مومار ديوب

(Papa Momar Diop)

ظلت أرشيفات حكومة غربي إفريقيا الفرنسية (1895-1959) في داكار (السنغال) عندما نالت الأقاليم التسع المكونة للمنطقة استقلالها. وتمثل تلك الأرشيفات تراثاً مشتركاً لكل من السنغال، وموريتانيا، ومالي، وغينيا، وبوركينا فاسو، والنيجر، وساحل العاج، وبنين، وتوجو، وفرنسا ذاتها. وحتى يتسنى المشاركة بشكل أكثر فاعلية في الاستفادة من ذلك التراث المشترك، تم إعداد برنامج ميكروفيلمية بمساعدة من فرنسا. ولكن نظراً للافتقار للموارد المالية والبشرية لم يبدأ التنفيذ بعد، بل وبرز مؤخراً مشاكل خطيرة فيما يتعلق بالحفظ. لذا فقد أطلق الأرشيف الوطني السنغالي مبادرة متميزة، لكنه لا يستطيع بمفرده القيام بتلك المهمة، فالخطوة الأولى تتمثل في المحافظة على المصادر الأرشيفية. لذا فإن بابا مومار ديوب يناشد كافة الأطراف المعنية توحيد جهودها لضمان الحفاظ على ذلك التراث الفريد. التعمول: إعداد مواصفات منسجمة عالمياً للبرمجيات الخاصة بالسجلات

أدريان كنجهام

(Adrian Cunningham)

منذ ستينيات القرن العشرين أدرك المهنيون العاملون في مجال حفظ السجلات الحاجة لنظم جيدة لإدارة السجلات الإلكترونية. ومن بين المنجزات الملحوظة في هذا الشأن وضع معايير

احتياجات مستخدمي الأرشيف من حيث استرجاع المعلومات: دراسة حالة من معهد جابوتنسكي - إسرائيل

ماشاشا زولوتارسكي

(Masha Zolotarevsky)

ظفرت احتياجات مستخدمي الأرشيف باهتمام مهني كبير في العقود الأخيرة، لكن لتفهم سلوك المستخدمين الساعين لجمع واسترجاع المعلومات أهمية خاصة، الآن وقد شرع معظم الأرشيفات في إنتاج مساعدات بحثية أساسها الشبكة العالمية للمعلومات، مما يسمح بالبحث المستقل من خارج المستودعات. ولقد أجرى في معهد جابوتنسكي لبحوث الأرشيف دراسة حول الطرق التي يُعرف بها المستخدمون موضوعات بحثهم، وكيف يبنون إستراتيجية البحث. وقد أسفرت الدراسة عن معلومات قيمة سوف تساعد كثيراً في المستقبل في إعداد آلات للبحث والاسترجاع صديقة للمستخدم. وعلى وجه الخصوص فقد أوضحت الدراسة أن أسماء الأشخاص (وعادة ما ترتبط بمتغيرات عديدة) هي وسائل البحث المفضلة، حيث يفضل المستخدمون واجهات البحث البسيطة على تلك المتقدمة، كما يفضلون اللغة الطبيعية على الدالات اللغوية، مثل بحث بولين الذي توفره غالبية النظم. وتوحد تلك النواتج بالتعدلات التي يمكن أن تتم على النظم الراهنة والمستقبلية من أجل تزويد المستخدمين بأفضل نتائج من وراء البحث.

تشخيص الموقف الراهن للأرشيف الدبلوماسي لأمريكا اللاتينية: أساس لبرنامج للتعاون

مرسيدس دي فيجا

(Mercedes de Vega)

حدد منظرو الإدارة العامة في كلمة «الإدارة» الحاجة إلى تبني الممارسة الحكومية في عهد تسود فيه الديمقراطية البرالية العالم.

وتهدف النظرة الجديدة إلى خلق تعاون بين الحكومات الوطنية، وممثلها الدوليين، والمنظمات غير الحكومية (الهيئات الأكاديمية، والإعلام، وغيرها). لكن الأمر ينطوي على تحديات خطيرة للديمقراطيات والاقتصادات الناشئة، مثل تلك في أمريكا اللاتينية. وفي الواقع فقد ثبت

إتاحة المصادر الأرشيفية في نظام أرشيف الأقاليم في إسرائيل

مايكل هنكن

(Michal Henkin)

بازدياد أهمية دور الحكومات المحلية سوف يتغير شكل تلك الحكومات من مجرد مؤسسات تعتمد على التنظيم إلى أخرى تعمل بنظام الأهداف والنتائج. ويبقى الخيار بين مواصلة السلطة المحلية تقديم الخدمات بشكل مباشر، أو إنشاء شبكات مختلفة تدار وفقاً للمصالح المشتركة للشركاء. وبوسع الحكومات المحلية تقديم الخدمات للجمهور باستعمال موردي الخدمات الذين لديهم القدرات المالية والمهنية، وأطر للعمل طويلة المدى، وكذلك القدرة على فرض معايير للخدمات، وضمان احترام الأطراف المعنية لالتزاماتها وفي مثل ذلك الموقف تتحول حدود الحكومات المحلية من القيود الجغرافية والرسمية للوحدات البلدية التي تضم السلطة المحلية، إلى حدود ترسم وفقاً لموضوعات يتم تناولها بشكل مطلق وفقاً لرغبات الشركاء. كذلك فإنه يمكن جعلها شبكات مؤسسية في كثير من الأطر الاتحادية (الفدرالية).

وحتى يمكن تحقيق تغيير من شأنه تقليل تكاليف صيانة الأرشيفات، ورفع مستوى الخدمة المقدمة، وتحسين إتاحة المعلومات، لأبد من اختيار نموذج تنظيمي يختلف عن النموذج الراهن.

وبلا شك، فإنه بدون تعليمات من الحكومة المركزية سيكون من الصعب تنفيذ ذلك التغيير. لذا فإن إنشاء أرشيفات الأقاليم ينبغي أن يقوم على الأقسام الإقليمية الراهنة، كما ينبغي عمل الترتيبات التعاونية اللازمة بين مختلف البلديات. وبمرور الوقت سوف يزداد طلب الجماهير لتوفير الإتاحة للمعلومات باعتبار أن ذلك حق من حقوقها الأساسية، ولن يكون يوسع السلطة المحلية تجاهل ذلك الطلب المتزايد.

مشروعان حول الإتاحة العالمية للمصادر الأولية، ومناهج وأصول التاريخ البرازيلي

ميريام باهيا لوبيز

(Myriam Bahia Lopes)

يشكل مشروع شبكة الذاكرة المرئية في فيكتوريا باي، والأسماء والأماكن في إيتايريتو منهجية لإضفاء الصفة العالمية على المعلومات التاريخية، فهما يخاطبان للمؤرخين جامعين الذين يستخدمون شبكة المعلومات العالمية (الإنترنت) كوسيلة للربط بين المعلومات. ويوفر المشروعان تأملات هامة في تاريخ فيكتوريا باي (خليج فيكتوريا) ومنطقة إيتايريتو في البرازيل. وتتوزع السلسلة في هيئة شبكة حيث تكون كل معلومة مرتبطة بمجموعة من المعلومات المماثلة. لكن ذلك المشروع يباعد بين الشبكة والتاريخ العالمي، وزمن التسلسل التاريخي حيث يوفر تسلسل التواريخ إحساساً مسبقاً بالتطور التاريخي، والتسلسل المنطقي للوقائع. وتوفر الشبكة شبلاً عديدة لإتاحة الصور والنصوص عن طريق البحث وديج المؤثرات التقنية في عكس اتجاه الزمن الخطي المتجانس.

مساعدة الباحث عن طريق مهارات البحث على الخط المباشر: خبرة الأرشيف الوطني للأقاليم الفرنسية وراء البحار

أندريه بروشير

(André Brochier)

المهمة الأساسية للأرشيف الوطني لأقاليم ما وراء البحار هي حفظ، وإتاحة، واستخدام الأرشيف العام للوجود الفرنسي الاستعماري فيما وراء البحار، وبذلك فهو موجه لجمهور دولي عريض. وحتى يتسنى الاستجابة بشكل أفضل للحاجة للمعلومات فقد أنشأ ذلك الأرشيف آلة للبحث عبر الإنترنت (TREL)، وذلك في العام 2004م، حيث بث على الخط المباشر الحالة العامة لمقتنياته. ولقد امتدت تلك الآلة بشكل عام وباتت تضم بنكاً للصور (يوليس)، ووثائق حول الوضع الاجتماعي للأفراد حتى 1880م، ومقتنيات مكتبة الأرشيف. ولقد أدى دمج القوائم التفصيلية للمقتنيات اعتباراً من 2009م إلى مزيد من الإتاحة بالنسبة للمواد والصور والوثائق المرقمنة. ويعتمد البحث في كافة تلك القوائم بصفة خاصة على نظم مشتركة للإحالة، وقاعدة بيانات خاصة بالأسماء تضم كافة الأشخاص المشار إليهم في القوائم. وبالإضافة إلى البحث الحر في النصوص، توفر الآلة البحثية بحثاً موجهاً على أساس مفردات اللغة، وبذلك بات ممكناً البحث حول كافة الكلمات والمصطلحات.

摘要

普遍利用第一手材料和巴西史学

迈里亚姆·巴伊亚·洛佩斯
(Myriam Bahia Lopes)

维多利亚湾视觉记忆网项目和伊塔比里图姓名地点项目创建了一种普及历史信息的方法。他们同使用网络导航作为关联信息方式的历史学家-收藏家交谈。目前这款收藏家是对巴西维多利亚湾和伊塔比里图地区历史极重要的反映。这就如同网络分布一般把每项信息需求连接到类似的一组。这种方法使网络不同于普通的历史和年表序列，那种时间顺序为历史发展和事实逻辑顺序提供一种由因及果的判断。网络通过探究广域网和编织技术效果比照直系均相时间提供利用图文的各种不同方式。

通过在线帮助研究人员发现艾滋病：法国国家档案馆海外属国的经验

安德烈·布罗希耶
(André Brochier)

法国国家档案馆海外部门 (ANOM) 针对的是一个广泛的国际受众，其使命是保护、利用法国海外殖民地公共档案。为了更好地满足对信息的需求，ANOM开发出了互联网搜索引擎 (IREL)。IREL创建于2004年，从最初的将国家档案馆馆藏

搬上互联网，逐渐扩展到图片库图片（尤利西斯）、截止到1880年的民生档案以及ANOM图书馆的藏书。详细的馆藏基本目录的整合将在2009年进行，并允许检索利用某些材料的数字化文件图像。对所有这些基本目录的搜索将依靠详细的公共参照系统（目录和权威文件）和一个被基本目录引用、载有全体人姓名的数据库。除了自主的文本搜索，还可以使用搜索引擎中的词汇导引式搜索。这使得主题查询成为可能。例如：键入“奴隶”，就可完成对所有的字或词句的搜索。

以色列地区档案馆系统档案资料的利用

米哈尔·亨金
(Michal Henkin)

随着地方政府对民生事务与日俱增地重视，地方政府的结构也将发生变化，从重视社会组织的当地政府机构转变为重视目标和结果的政府机构。地方当局或继续直接提供服务，或是根据合作伙伴的共同利益建立并管理不同的网络系统。地方政府通过借助有财政能力、专业技术以及长期特许经营权的服务提供商为公众提供服务，规定服务标准，并保证其特权能符合其义务。这种情况下，地方政府之间的边界就不再是地理上和行政划分上的，而是根据共同管理的事物来决定。在一个特定项目的期限内使用网络系统，或根据合作伙伴的需

求不断地对其加以利用。同时，也可以使网络系统在全国范围内制度化。

为实现降低档案馆维护费用、提升服务水平、加强信息利用等方面的转变，必须挑选出一个与现有模式不相同的机构模式。毫无疑问，没有中央政府的指导，是很难实现这种转变的。地区档案馆的创建，应建立在已有的地区划分以及现有的市级合作基础上。随着时间的推移，公众将对公民基本权利之一的信息利用有更多的需求，地方当局也无法再对这种与日俱增的需求置之不理了。

档案用户的信息检索需求：以色列Jabotinsky研究所个案研究

玛莎·佐罗塔雷夫斯基
(Masha Zolotarevsky)

近几十年来，档案用户需求倍受关注，但了解用户的信息查询和检索习性尤为重要，目前很多档案馆都在创建基于网络的检索工具，该检索工具允许来自库外的独立搜索。Jabotinsky 档案研究所一项关于用户定义搜索主题及用户如何建立检索策略的研究提供了有关构建高效率 and 用户友好的搜索和检索工具的宝贵资料。尤其是该研究确定了人名（常与不同变量一起）作为优先搜索项；用户更愿意简单而不是先进的搜索界面；更喜欢自然语言的语言功能，如大多数系统提供的布尔搜索。研究结论表明，可以改善现有和未来的系统，以便向用户提供最佳的搜索结果。

拉丁美洲外交档案现状诊断：合作计划的基础

奔驰·维加
(Mercedes de VEGA)

在“管理”这个词中，公共管理理论工作者已经对适应政府工作进入一个自由民主主导世界时代的需要做出界定。这种新观点力求在政府、国际代表和非政府机构（学术机构、大众传媒、非政府组织，等等）之间产生协同增效作用，但这对年轻的民主国家以及像拉美那些新兴经济体国家构成了严峻

的挑战。事实上，在这样一些国家如果不考虑当地实际情况贸然开始实施这种方法，其结果往往成为背离初衷的虚夸策略。档案馆作为被赋予保护那些包括民族知识在内的文件职责的机构，在那些民主国家，要将其保存的文件毫无例外地提供社会自由利用。通过对19家拉丁美洲外交档案网成员国外交档案现状的分析（伊比利亚美洲总秘书处（伊美）的一个项目），探讨使外交档案真正成为推动民主进步和拉丁美洲人民发展手段的可能性。

塞内加尔国家档案馆中的法属西非档案——更好地分享共同的历史遗产

帕帕·莫玛·迪奥普
(Papa Momar Diop)

由9个殖民地和领土组成的地区独立后，法属西非政府（1895至1959年）的档案留在了塞内加尔首都达喀尔。这些档案为塞内加尔、毛里塔尼亚、马里、几内亚、布基纳法索、尼日尔、科特迪瓦、象牙海岸、贝宁、多哥和法国的共同遗产。为了能够分享这些遗产，在法国的资助下，建立了一个更加有效的微缩项目。但由于缺乏财政和人力资源，项目没能继续实施，而且目前还存在保护方面的严重问题。塞内加尔国家档案馆提出了数字化的倡议，但他们无法开展这项工作，因为以全宗为单位保管档案同样也是作为第一步的要求。作者呼吁有关各方携手努力，确保这一特殊遗产得到保护。

全球化：发展全球协调一致的文件软件规范

阿德里安·坎宁安
(Adrian Cunningham)

自20世纪90年代以来，专业人士已清楚认识到良好的电子文件管理系统的必要性。以此类系统为基础的国际标准研究，特别是ISO15489，已取得显著成就，但软件厂商一直难以开发一种适合各国推行和符合特定权限等功能需求的国际产品。在澳大利亚国家档案馆倡议下，ICA和澳大拉西亚数

字文件保存动议(ADRI)成立了一个项目小组,制定一个全球统一的需求声明,即可以签署所有相关权限并在必要情况下以此为基础发展或修订特定权限需求。随着国家档案机构的加入,与软件供应商和行业组织、政府、欧洲联盟、国际标准化组织等进行了广泛的磋商。该项目的主要目标之一是提出电子文件管理系统的需求,电子文件管理系统适用于少数富裕国家的目标和现实。三个主要的“模块”分别为:

(1) 概述文件和原则陈述;(2) 电子文件管理系统软件高层次的要求和指导方针;(3) 业务系统内部文件管理的指导方针和要求。最后一个模块是特别令人兴奋的,因为它是旨在帮助机构来管理现有的业务系统文件(例如电子商务或客户关系管理系统),而不是在单独的文件管理应用程序里管理由应用程序生成的文件。

同盟亦或背道而驰——学院派和实践派研究之间的关系

卡罗琳·威廉姆斯
(Caroline Williams)

本文讨论了学院派和实践派研究方法之间的关系。考虑了他们各自的雇用组织的使命、目标和目的对其研究性质和方法的影响。指出学院派和实践派之间最好的研究模式是合作、互动和迭代。探讨了当前一些国际合作项目实例,并介绍了实践派代表,也是英国7个独立研究机构之一的英国国家档案馆如何重新定位自己的研究策略。本文最后重点介绍了英国国家档案馆最近的研究项目,包括一些语义网、归档网站、保护学和气候变化、了解网上用户并为国家档案馆用户开发一个维基百科。

企业档案工作者教育培训机会——档案业务生成方法

彼得·布卢姆
(Peter Blum)

德国企业档案工作者协会为德国企业档案工作者提供专门职业培训和咨询服务。

培训项目包括3-5天的培训课程,每门课程最多20个学生,每年举办2-3次。培训目的旨在激励企业档案工作者树立和传达正面形象,其中之一就是能为自己雇主的商业需求提供支持。重点放在发展公共关系、公共演讲及时间管理技巧上。

中国电子文件管理——现在和未来

王良诚
(Wang Liangcheng)

中国国家档案局(SAAC)最近两项调查表明,一定程度上电子文件在中央国家机关和其他组织机构文件中占了大多数。中国面临电子文件管理和保存的严峻挑战。虽然全面的关于信息管理和安全的法律、法规环境使中国正在建立一个运作良好的现代信息社会,但仍然缺乏全面的电子文件管理国家战略。国家档案局在研制国家标准和规章方面正在起主导作用,预计国家电子文件中心将成立。

档案术语大词典——西班牙语地区标准化工具

卡门·迭斯·卡雷拉 何塞·拉蒙·桑克斯鲁斯·蒙戴

伊莎贝尔·冈萨雷斯·科拉尔·圣地亚哥 莫兰·梅迪纳

(Carmen Díez Carrera, José Ramón Cruz Mundet, Isabel González Corral y Santiago Morán Medina)

该档案术语大词典项目由马德里卡洛斯三世大学负责,旨在为20个将西班牙语作为共同语言的国家开发一个交流工具。这项2004年最初由何塞·拉蒙教授克鲁兹Mundet负责,后来由卡门·迭斯·卡雷拉教授负责的项目由一个研究小组组成,小组成员来自不同专业领域(法律,档案学,语言学)。档案术语大词典被看作是档案知识词典数据库,以从档案原文中提取的词条为基础。因为它要直接应用到社会特别是专业团体,必须得到实际成果,所以将有(1) 出版物:《当代档案术语词典》、《档案学大词典》;(2) 一个关于项目发展的动态网

页；(3) 术语参考文献，为全文本的西班牙语档案学文献。3年来，该项目已建立了术语数据库、术语文献和处于发展阶段的正式的词典，词典含有500个词条，是经研究从3000多词条中选出来的。

一项描述文件形成者职能的新国际标准：国际档案理事会—职能著录规则

克莱尔·西比莱德·格里穆阿尔，帕德雷·莉迪·吉那苏古·巴龙达欧·西门西

(Claire Sibille-de Grimouard, Padré Lydie Gnessougou Baroan-Dioumency)

档案整理和著录的主要目标是通过保护文件的证据价值及其真实性来维护文件产生的原始背景。官方文件的整理与《法人、个人及家庭背景信息国际档案规范文本》相一致使收集任何有关文件形成者、法人团体、个人或家庭的重要信息成为可能。那就是我们可以提供对于文件及其形成者各自独立而又相互关联的著录的原因。它使档案工作者能够构建动态、多维的著录体系。职能经常从一家机构转移到另一家机构，因此，对于利用者而言，如果仅提供官方文件来对履行同样职能的法人团体进行著录，想要还原文件产生的背景将会困难得多。各自独立而又相互关联的职能著录能加深对背景的理解，并且能与《国际档案著录标准》（总则）配合使用——把著录和《法人、个人及家庭背景信息国际档案规范文本》官方档案作为有效检索档案著录体系中档案和形成者相关描述的工具。这种方法构成了新的国际标准——《职能著录规则》的基础，该《规则》为准备与档案产生和维护相关的法人团体的职能著录提供了指南。

鉴定新方法——档案鉴定新方法的构成

罗伯特·简·哈格曼 查尔斯·强根斯 朗德·亚普

(Robbert Jan Hageman, Charles Jeurgens, Ruud Yap)

政府机构在信息存档时面临的两个问题是大量需要归档的纸质文件未及时归档和数字信息保存短暂。2006年荷兰政府提出了8项行动来应对这些问题。其中之一是一种不寻常的档案挑选方法。由荷兰档案馆馆长任命，档案工作者、历史学家和信息专家组成的名为《Past Appraised》的鉴定和选择委员会提出新的挑选政府档案的综合目标，以及实现这一目标的适当方法。该方法的原则是：选择和收集是文化遗产正反两个方面，因为二者都是为建设代表性馆藏服务。委员会所做的第一件事是仔细研究了当前鉴定和选择（称之为PIVOT）的目标方法。许多政党对各自活动范围都有基本的评判。但目标毕竟提供了鉴定和选择的方向。与已有选择目标相比，委员会制定的目标更清晰、更符合原则，即档案工作者的主要目标是对一定时期的社会作为一个整体进行真实的记录。叙述如下：“鉴定、选择和收集的目的是收藏和保管个人、组织和社会团体的原始资料，使其有可能了解自己的历史并再现国家、社会的过去，以及使两者相互影响。”相对于现有目标，新的目标意味着在鉴定和选择系统内，由政府机构生成的档案和由私营机构或个人生成的档案之间没有差别。

绿色档案建筑：档案建筑与可持续发展

[法] 齐江·贝莱施

(France Saïe Belaisch)

档案建筑在法国有着悠久的历史。1965至1985年，许多档案建筑受米歇尔·迪歇（Michel Duchéin）的影响而建成了塔状，其中有好多由于隔热问题而需要翻新。后来，档案建筑的高度有所降低。如今，各种建筑样式随处可见，所有的建筑均采用不同方式保持其可持续性。有关档案存放条件的研究促使环境监控标准做出了修改，而对档案建筑承重的研究则考虑到了

建材的经济利用问题。有着厚墙体老建筑为档案存放提供了良好的条件，并且由于可再利用既有材料而具有合理利用的价值。此外，利用者和工作人员可充分享受此类阅览和办公场所的建筑优点。当代档案建筑须考虑耗能和节能问题，以及利用太阳能和光电能的差别。可持续发展的档案建筑必然是我们希望保护的建筑物，即使在今天，档案建筑依然需要关注可持续发展的问题。

电子文件管理灾害恢复计划

南善根 戴尹铨

(Sungun Nam, Dai Hyun Yoon)

文章介绍了已在韩国国家档案馆实施的电子文件灾害恢复计划。在韩国，通过一个电子政府项目的努力，电子文件的数量迅速增加，归档工作已经从基于纸质文件的归档转变为电子文件归档。此外，当今电子文件的数量和长期价值仍在迅速增加。灾害恢复计划对安全保护重要的电子文件至关重要。在一定的灾害环境下，它应该能够提供安全保护和文件的全面服务，同时保持业务连续性，迅速复苏所需数据，并持续核心工作。作者通过风险分析及其对档案工作的影响，指出了风险因素导致的后果。强调了业务连续性战略、系统灾害响应和步骤及其演练。举例说明了韩国国家档案馆大田总部当前电子文件灾害恢复计划，对设在城南和釜山的分部进行了介绍，同时还介绍了灾害恢复系统结构模式的未来计划。最后，对电子文件灾害恢复系统未来计划日程表进行了概述。

文件保管的创新和韩国总统文件问题

李相民

(Sangmin Lee)

韩国上届政府在整个政府范围内进行了文件保管的创新。创新获得前总统卢武铨先生的倡导和支持以及管理机构文职专业人员的支持。修订了《公共文件管理法》使其行之有效并颁布了《总统文件法》。在此期间，韩国国家档案馆员工人数增加了

两倍并在政府范围内进行了文件改革。任期末前，这位前总统在将“经鉴定的”总统文件移交给韩国国家档案馆的同时，以电子形式复制了他所有的总统文件并加以保管为其所用。他的前秘书被韩国国家档案馆指控违反了《总统文件法》。大规模的移交和复制电子总统档案在韩国引发了一些有关政治、法律、体制和科技文件等严肃问题的争议。本文对文件进行了概述，对电子文件管理进行了进一步的思考，同时也提出了有关公共档案馆里的政治敏感文件的问题。

关于MOWCAP的简介

雷·埃德蒙森

(Ray Edmondson)

MOWCAP为联合国教科文组织世界记忆工程亚太地区委员会。它的面积从蒙古北部延伸至新西兰南部、哈萨克斯坦西部和太平洋岛屿东部，共涵盖43个国家。其中15个国家在教科文组织国家委员会的赞助下成立了国家委员会，有的建立了国家世界记忆名录。MOWCAP致力于促进和扩大地区世界记忆工程，例如建立了亚太地区世界记忆名录，提供咨询和培训，鼓励建立新的国家委员会，并鼓励各国为国际世界记忆名录准备提名，目前主要反映的是欧洲遗产。已成功地完成了几个项目。

联合国教科文组织世界记忆工程

米里亚姆·仪尼斯贝特

(Miriam Nisbet)

“世界记忆工程”记录了世界各国人民的共同遗产，代表着历史起源以来人类成就的世界遗产之重要部分。有些是口述相传，这种记录方式更普遍地称为“文献遗产”。但却是脆弱的，易受自然退化和人为灾害两方面的多种因素影响。教科文组织世界记忆工程于1992年启动。其目标是：

(1) 通过提供培训、信息和获得项目资助的方式保护文献遗产；(2) 通过数字化、图书出版等提供文献遗产的利用；(3) 提高全球对文献遗产重要意义的认识。最后这点主要通过识别具有世界意义的文献遗产并

选入世界记忆名录来实现。有三种级别的名录：国际的、地区的和国家的。所有具有世界意义的文献遗产可能会出现在一个或多个名录中，这取决于其影响的地理范围。任何个人或机构都可以提名申报，国际咨询委员会每两年召开一次会议，决定是否列入世界记忆名录。此外，还有一个地区和国家委员会，但还不完善，需要加强。

欧洲与世界记忆工程

瓦迪斯瓦·斯泰普尼亚克
(Wladyslaw Stepniak)

世界记忆工程对许多欧洲国家具有特殊意义，该工程1992年发起，期间许多人摆脱了共产党统治。世界记忆工程的总目标，即保护文化遗产，更具体地，利用这些遗产，引起了档案工作者极大兴趣。尤其波兰这种情况，与别处一样，是由档案工作者而不是图书管理员主导国家委员会的工作。虽然ICA致力于世界记忆工程，但同样因为文献列入标准与档案学的原则不符而对其申报的档案附保留条件。尽管列入世界记忆名录的档案存在包括全宗完整在内的问题，但认为整体概念不符合则言过其实了。如果ICA的保留条件约束了其它国家委员会选择文献申报世界记忆名录则是非常可惜的，特别是在欧洲以外的国家，作为一个地区，只有50%左右的文献进入世界记忆名录。

加入欧盟之后波兰的教会档案

朱莉娅·茨沃奇
(Julia Dziwoki)

对波兰1994年申请加入欧盟以来波兰天主教教会档案的保管、保护和利用的调查。

前现代时期韩国老档案——民生档案

奎顺熙

(Kwisun Si)

“老档案”记录了大量韩国民众个体与政府生存的相互影响。虽然在过去遭受重大损失，但仍有100多万件主要源自1392年至1910年间的档案幸存于韩国档案馆和图书馆。虽然内容可能很难理解，但如今对这些档案的研究越来越多，它们已成为研究前现代韩国特别是社会和经济史等领域的宝贵资源。这些私人文件大多数涉及到财产，继承权和买卖特权。还有许多涉及到奴隶制，这在当时很普遍。此外，这些文件证明朝鲜王朝具有完善的文件管理实践。这种制度的存在与日本殖民统治时期发布的前现代韩国是原始、停滞和不稳定的社会这一观点相矛盾，这个观点曾用来证明该殖民化进程。

实录的档案诠释

韩恩英

(Oh, Hang-Nyeong)

该实录时间跨度为1392年至1910年，是韩国历史研究使用最频繁的资料之一。它们汇编为14个文件系列，例如包括国王活动，官员考试结果，官员任命，刑事案件，外交文献和灾害文献。实录一向被视为韩国良好档案管理传统的代表，但未从档案学角度加以研究。这些文件生成、保管和保护的方式往往正式，表明了对它们的重视。此外，他们被当代管理人员视为具有真实和可靠性的特点，虽然他们的“可靠性”有时引起历史学家争议，理由为它们是文件汇编，因此不是“原始资料”。但在这种情况下这种划分不是关键。

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