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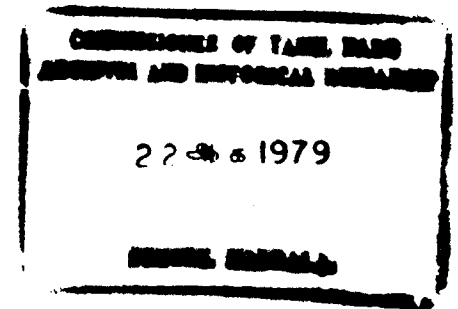
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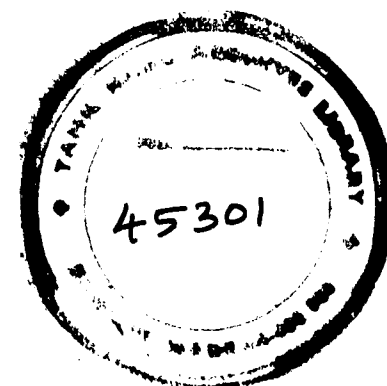
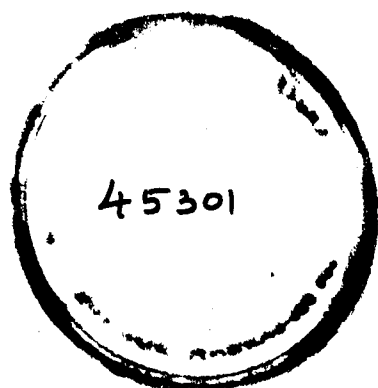
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OPENING SESSION OF CONGRESS SÉANCE D'OUVERTURE DU CONGRÈS

The 8th. International Congress on Archives, on the theme "The Archival Revolution of Our Time", was held in Washington, D.C., from 27th. September to 1st. October, 1976.

It was attended by 1355 participants, from 73 countries.

The opening session took place at the Statler Hilton Hotel, Washington, on the afternoon of 27 th. September

MESSAGE FROM GERALD R. FORD,

President of the United States of America.

The White House, Washington, September 24, 1976

In this Bicentennial year, the United States is especially pleased to host the Eighth Congress of the International Council on Archives. On behalf of my fellow citizens, I extend a warm welcome to the delegates who will attend these important sessions.

Thirty years ago an Archivist of the United States characterized the archives of the world as the official record of human experience in organized living. Dr. Solon J. Buck cautioned that neglect of this record anywhere would be a loss to the whole, and he appealed to his colleagues in other lands to be concerned with the "protection and effective utilization of man's total archival heritage."

Others besides Buck held this view, and the International Council of Archives was formed two years later to promote good archival practices throughout the world. In the years since, it has grown from a narrow base to a vital international organization. Its purpose continues to be the sharing of archival wisdom for the safeguarding and use of the records of human experience.

I am happy for the opportunity to applaud the archivists of America represented by the National Archives and Records Service of the General Services Administration and the Society of American Archivists on their initiative in arranging this conference. I hope that the exchange of information, the forming of new friendships and the participation in constructive discussions will make this a most worthwhile and rewarding event.

Gerald R. Ford

MESSAGE FROM THE HON. JACK ECKERD,

Administrator of General Services of the United States

Along with other Americans, the men and women of the U. S. General Services Administration feel honored that the International Council on Archives is holding its Eighth Congress in our capital city at a time when our nation is celebrating its Bicentennial. We welcome you to Washington.

As the parent agency of the National Archives and Records Service, a sponsor of ICA '76, the General Services Administration has a further interest in this Congress. We recog-

nize the value to the archival profession generally of the information exchanges and the discussions which take place at these quadrennial gatherings of you, the world's record-keepers. There is much to be explored and pondered since you last met. The pace of technological development has been accelerating, and I do not think the planners of the 1976 Congress were exaggerating when they adopted the theme "The Archival Revolution of Our Time." Everyone engaged in archival work stands to gain from your efforts here this week. We, certainly, expect to benefit from your collective wisdom. May your deliberations be stimulating and fruitful and may your stay in Washington be enjoyable.

ADDRESS BY DR. JAMES B. RHOADS,

Archivist of the United States

As Archivist of the United States – one of your hosts – as an officer of the International Council on Archives, and as a colleague and friend of many of you, I am delighted that the archivists of the world are meeting in Washington, D. C., for the Eighth International Congress on Archives.

I am confident that in the days ahead as we meet in plenary session, in committee, and in General Assembly, we shall take new steps toward professional improvement in our work. As you are well aware, the Society of American Archivists is meeting concurrently with ICA '76, so there will be an opportunity to participate in an array of SAA sessions and workshops.

It occurred to me once again during the past week – as the Executive Committee of the International Council on Archives was meeting in the Virginia Blue Ridge Mountains – that we archivists are a close-knit fraternity. We assemble from great distances, but the barriers of borders and of language disappear as we work together on matters of professional concern.

Last week we had a successful Executive Committee Meeting under the Chairmanship of President Dolgih. I am confident that we shall have a successful, productive Congress in the week of work which starts today.

I thank everyone who has made this Washington Congress possible: the Officers and Executive Committee of ICA, the Coordinating Committee, the Organizing Committee, and everyone else who has provided assistance. We are grateful to the Society of American Archivists for being a joint sponsor of the Congress, to the National Endowment for the Humanities for substantial financial help, to the Tinker Foundation and the Eleanor Roosevelt Institute for providing funds to bring many participants here, and for the organizations which have provided their buildings and facilities for our social events. We hope that you will profit from the professional sessions and enjoy the social events which have been arranged for you.

We trust that you will remember the 1976 Washington Congress of the International Council on Archives as a time of professional accomplishment and camaraderie.

ADDRESS BY DR. ELIZABETH H. KEGAN,

President of the Society of American Archivists.

On behalf of the Society of American Archivists, it is a great pleasure to welcome you to Washington for the 8th International Congress on Archives. You honor us in choosing our national capital in this, the Bicentennial year of our Independence as a nation.

This is a year of double celebration for us, because the Society of American Archivists is marking its 40th anniversary. We have grown from a membership of 124 individuals and 4 institutions to more than 2700 members of all kinds.

Although four decades ago we emerged as an organized profession, most of us had much to learn before we became professional archivists. We turned often to the experience and

writings of our colleagues abroad – and benefited from both. Your theories were not always applicable to our situations, but we share many basic principles as well as problems.

The theme of this Congress, "The Archival Revolution of our Times", illustrates our continuing purpose and desire to exchange information in a common concern for the preservation and utilization of our national heritages. As you know – because we share a program as well as a common concern – the SAA is meeting concurrently with the ICA. I would like to stress that all ICA registrants are welcome at all SAA meetings. And tonight I hope to greet all of you at the reception at the Library of Congress.

May your stay in Washington be both happy and fruitful.

ADDRESS BY DR. RONALD BERMAN,

Chairman of the National Endowment for the Humanities.

The Endowment's support for this Eighth International Congress on Archives is made possible through a special program for support of International Bicentennial Scholarly Conferences which we established as one of the Endowment's major contributions to the observance of this country's creation as an independent democratic nation.

On the occasion of the Bicentennial it seemed to us that such a program would be particularly appropriate for several reasons. American humanistic scholars have been guests abroad in years past at a number of international conferences supported by other governments. It was clearly time for us to repay on behalf of American scholars this debt of hospitality. Furthermore, the United States is interested during this Bicentennial period in providing friends abroad with the opportunity to visit America. Finally, we at the Endowment felt that it would be particularly appropriate at this time to support a series of international scholarly gatherings designed to focus international scholarly interest and discussion on themes appropriate to the occasion and to strengthen our cultural ties with nations around the world.

Through this conference program the Endowment is supporting more than 25 international conferences representing the major humanistic fields, from ethnic literature in America to examination of the impact abroad of American cultural institutions. All have some relevance to the Bicentennial and will, we believe, make important contributions to the various scholarly fields represented. In regard to this particular meeting, the Eighth International Congress on Archives, we felt that Endowment sponsorship was particularly appropriate as a demonstration of our ongoing concern for our national heritage. We are particularly pleased that this Congress is meeting concurrently with the annual meeting of the Society of American Archivists and I hope you will have several opportunities to meet representatives of the American archival profession, to attend sessions describing the latest developments and trends in that field in this country, and to exchange ideas and information with your colleagues here.

The National Endowment for the Humanities has a particular interest in fostering and developing transnational, collaborative research. As we all know, in the interest of our mutual political and environmental safety, nations can no longer exist in isolation from each other. And for our cultural and intellectual well-being, humanistic scholars in different nations must also begin a process of greater sharing and cooperation. Among the results of this congress, I would hope to see several ideas and specific projects emerge for encouraging and facilitating the collection, preservation, description and increased accessibility for scholarly and other users of the recorded history of this and other countries. The Endowment stands ready to consider and within our means to support such efforts.

A special program which has been developed during the past two years is the Endowment's Division of Research Grants to provide funds to make materials of all kinds which will be useful for advanced humanistic research more accessible to scholars and other users. Naturally, a great many of these materials are archival in nature and a larger number of the awards from this program have been made for archival purposes. NEH has thus become,

along with the National Historical Publications and Records Commission, one of the two main sources of federal funding for archival projects throughout this country.

For example, we are supporting several survey projects to locate and inventory materials dealing with women's history, with labor history, with immigration to this country, and with materials relating to the various ethnic and racial minorities which have played such an important role in our nation's evolution. Several grants have also been made to process collections already deposited in an archive, to prepare finding aids to microfilm important manuscript collections in several foreign archives so that American scholars can have access to these sources without going abroad. We also provide funds to microfilm American collections which are deteriorating from age and use so that they will be preserved for future generations. A recent grant for this purpose was to microfilm the Indian archives at the Oklahoma Historical Society, the most important collection of such materials in this country outside the National Archives. Several grants have also been made to institutions which already have their collections under control to prepare guides to their holdings which can be disseminated to potential users both in this country and abroad.

Last year, the Collections Program made what we hope will be one of its most useful grants – to the Society of American Archivists to develop an archival security program which should help to decrease thefts of valuable materials from archives throughout the country. At the moment, the Division of Research Grants is administering 56 current grants dealing with archival materials. In addition, another 35 grants will be awarded by the end of this month for a wide variety of archival projects. These include support for two conferences which we hope will make recommendations leading towards solutions for major problems currently confronting archivists. The first concerns a number of knotty issues revolving around responsibility for, control of, and access to the papers of public officials, especially Congressmen. The second conference will try to establish priorities for dealing with all historical archival materials. The papers to be presented at both conferences and the results of their discussions will be disseminated widely among the profession and the general public, and we hope you will be as interested in them as we expect to be.

So that the Endowment is engaged in the kind of work that sustains our profession while it searches for the means to undertake that support. We hope to do our best at it.

ADDRESS BY MR. FILIP I. DOLGIH,

President of the International Council on Archives

International Council on Archives, the most respected forum of the professional archivists of the world, today begins its eighth Congress, this time in the capital of the United States of America. The Organizing Committee has done excellent work in planning and preparing for this meeting. As a result of its activity, we have the opportunity to meet in this very pleasant atmosphere to discuss current topics of general concern to archivists in all countries of the world, and in particular questions of the theory of archival science. I will permit myself on your behalf, as well as on behalf of myself as the President of the International Council on Archives, to express our sincere appreciation to the Organizing Committee.

The questions we shall be discussing at the Eighth Congress are of the greatest significance and urgency. In the course of the last decade, far-reaching economic, social, and intellectual activity. These changes have influenced, indeed they could not help but influence, every aspect of the organization and activity of archives as an indispensable element of the infrastructure of every government.

Allow me to touch on a few aspects of these developments. One of the most significant factors currently affecting archival affairs is the scientific-technological revolution, which has dramatically extended the effectiveness of many social processes, in particular the production and management processes. As production and management activity develops and

changes, new types of records are created. The whole sphere of documentation in the traditional meaning of the term is undergoing radical change before their accession into archives. This, in my opinion, is the first group of vitally important questions which our Congress must discuss.

The overall increase in the effectiveness of social processes brought about by the technological revolution has set off a whole series of changes in related areas, including archival affairs in their role as a necessary stage in the management process: the stage of accumulation of contemporary and retrospective information. Moreover, other factors which are the unavoidable result of the scientific-technological revolution – the appearance of new types of documents, and the exponential growth of the volume of documentation, for instance – demand that archivists develop new methods to deal with them. The technological revolution in archival affairs, which is part of the greater archival revolution, is the second area which is subject to discussion here.

The significance of retrospective information in the world today goes beyond a purely academic study of the past. Today, retrospective information – perhaps it is an exaggeration – but I believe retrospective information is becoming to some degree a force in the production process. It is absolutely essential in making correct decisions. The fundamental changes which characterize our world today call for no less radical improvement of the mechanisms for the use of retrospective information. This too is a subject which our Congress must discuss.

Finally, we note that the archives of all countries of the world, regardless of their social structure, reflect the global character of the basic social processes of the present time. The professional interests of archivists all over the world are beginning to converge more and more. More than ever before, it is now appropriate, I think, to speak of a geoarchival revolution. This is a subject of extreme importance to our Congress, especially in regard to the question of the future of archival affairs.

Our prestigious international organization has come together here during the year of the two hundredth anniversary of the independence of the United States of America. Allow me on your behalf to congratulate our American colleagues on this occasion, and to congratulate all of the American people.

Four years ago, as many of you remember, we said farewell in Moscow, knowing we would meet again in Washington. The Moscow Congress, judging by the comments of the delegations there and the letters I received from participants, which I presume were sincere, was a productive meeting for all of us. I am sure that our work in Washington will be no less fruitful, and I am likewise convinced that the Eighth International Congress will make valuable contributions to our common concerns. Our discussions will be a true example of the friendship of peaceful peoples of all countries of the world.

ADDRESS BY MR. JOHN RICHARDSON, JR.,

Assistant Secretary of State for Educational and Cultural Affairs.

On behalf of the Department of State of the United States, I would like to supplement the message from President Ford and to extend a warm welcome to the distinguished delegates from countries around the world to this 8th International Congress on Archives, the first regular quadrennial meeting of this body to be held in the Western Hemisphere.

Along with your U. S. colleagues here today, you are leaders in a profoundly significant profession dedicated to the preservation of a crucial product of human creativity: the record of the efforts of humanity to establish justice, promote welfare and to progress toward social and international harmony.

Some of you were among those whose foresight and breadth of spirit led to the formation of the International Council on Archives, founded in Paris in 1948 and affiliated as a non-governmental organization with UNESCO. We are all in your debt because this was an essential step to repair the ravages of war and to build toward today's impressive system of closely interrelated archives and libraries around the world. The American public, increas-

ingly aware of the central role of national, state, urban, private and professional archives in our society, is also cognizant of the generous access other governments have given to their archival treasures. During this Bicentennial year we, as a nation, have had the rare privilege of exhibiting many priceless documents from your great national collections, especially those bearing upon our colonization period and struggle for independence.

We Americans also had the privilege to take part in some remarkable joint publishing ventures which well illustrate the interdependence of national archives. To take advantage of the unique holdings that exist in archives in the Soviet Union dealing with the history of the United States, and vice versa, a Joint Editorial Board, composed of three distinguished archivists from the two nations, will edit a Bicentennial contribution. It is expected to be an impressive and valuable publication, in Russian and English, covering listings for the period 1775 to 1815, the formative period of early American-Russian political, economic and cultural relations.

So, archivists are in this case working together to illuminate the origins of a relationship which concerns the whole world.

Man's precious common heritage, Secretary of State Henry A. Kissinger pointed out in a speech in Santiago in June, "is the conviction that human beings are subjects, not the objects, of public policy."

No profession, no international activity is more central to the task of making that conviction bear fruit than yours, because you provide the means whereby we all can make use of the past to shape the future in our common interest.

I should also like to welcome warmly to their nation's capital the American delegates to this international Congress, many of whom will also participate in the sessions of the 40th Annual Meeting of the Society of American Archivists. As President Kegan has said, the Society is meeting simultaneously, and with our own National Archives is a co-sponsor of this international Congress. I understand that delegates to both meetings will meet informally at a reception tonight in the Great Hall of the Library of Congress and on another occasion in our National Archives. You will there be in the presence of our original Declaration of Independence and the original Constitution of the United States with its first ten amendments of 1791, the Bill of Rights. No words in our two hundred years of governance are more precious to us than these, speaking to each successive generation of the profound concern of the founders of our country for the rights of man. The texts of these documents, reflecting Anglo-Saxon and Continental European tradition and inspiration and yet evidencing as well the new spirit of the New World, have long been the coin of common speech in the education and civic lives of citizens of this country, and have had their impact on other nations of the world as well. Today, during our Bicentennial, we are more than ever aware of the inspiration these founding documents evoke and we are correspondingly grateful for their preservation along with so much of the rest of the original record of our beginning and of our national existence thereafter.

All of you delegates to these two gatherings – 500 overseas guests and 800 American counterparts – have given generously of your own energies and skills in elevating the worldwide standards of archival administration and methodologies. Working through your own governments, through UNESCO and other organizations you have put us all in your debt. Few governments, institutions, corporations, churches, medical researchers, historians, biographers, scientists, technicians and writers could fulfill their professional tasks without the keys you provide to collective memories.

On behalf of the United States Government, I should also like to express our gratitude to the organizers of this gathering-especially to our colleagues in the National Archives and Records Service of the General Service Administration and the committees of the Society of American Archivists-the custodians of this country's two centuries of archival patrimony. I should also like to acknowledge the generous financial support given to these international scholarly meetings by the United States National Endowment for the Humanities and by the two private American organizations, the Tinker Foundation and the Eleanor Roosevelt Institute,

Humankind first devised some sort of speech around 500 000 years ago. It was not until around 4000 years ago that we began to write down languages. We created the first town archives around 3000 years ago, and invented the movable printing press to speed their records a little more than 500 years ago.

But it is in the fantastic inventions of the last century and a half that humankind has revolutionized the life of the species, including our habits of record keeping and naturally our relations with all of our fellows. As your President has already pointed out, the pace of invention has spectacularly accelerated: the telegraph is only 140 years old, the typewriter 110, the telephone a century old, the radio half a century, television and the computer a quarter of a century, and Xerox, microfilm, microfiche, reprographic facilities-even newer.

One index of the technological explosion: – by the end of the 1970's a world total of more than 215 000 computers is anticipated, with more than 100 000 of them scheduled for operation in this country alone, another 50 000 in Western Europe, an estimated 35 000 in the Soviet Union, 20 000 in Japan, that fount of miniaturization, and another 10 000 in the other nations of the world.

But it isn't these technologies that count in shaping a better world for future generations – it is the use made of them. Nothing could be more constructive, in this context, than the cooperative projects of the International Archival Development Fund. They exemplify some of the most hopeful tendencies in human society, because we are painfully emerging from an age of ethnocentrism, and are entering an age of cultural identity, of inter-cultural awareness, of global consciousness. All of us recall those first colored images of Planet Earth photographed from the moon. We suddenly realized we were living in an intimate spaceship where all must come ultimately to recognize and respect their common heritage, their human variety, if the common life-support systems are to continue to function.

The Smithsonian Institution, in one of whose galleries you will meet at a reception on the evening of September 30, has often been called "America's attic," where almost every artifact of our past could be experienced and studied. The Library of Congress, where you will also all meet, has often been called "America's mind." The national Archives, with its familiar motto engraved in granite: "The Past is Prologue" and where you will also gather has been called "America's memory." And as Northrop Frye recently said: "A Nation, like a man, is senile if it has no memory."

Today this American memory, for all its 200 years, is not rummaging in an attic of the past, not looking backwards in Bicentennial self-congratulations about supposed accomplishments, not paying only lip-service to those ideals behind our national goals made explicit in the Declaration of Independence and the Preamble to the Constitution. Instead, we look to a future in which human society is changing into an interacting whole – a community wherein the capacity to manage political, economic and security issues is increasingly dependent upon, and limited by, our grasp of the human dimension – our ability to relate to other human beings.

Archivists, concerned with the utilization of the records of mankind, as well as in their conservation and safeguarding, and those professionals in the related fields of documentalist and library sciences, play a central role in developing the base of knowledge of ourselves upon which human understanding must be built.

The International Council on Archives (with the support of UNESCO), the organizations the Council has inspired and fostered, such as the International Archival Development Fund, and the many internationally-oriented archival societies in countries around the world, have taken specific steps to make that base of information accessible to all paths crucial to the development of a functioning global community. During the last ten years, for example, ICA has helped the development of archival schools and institutes at Dakar, Accra, Cordoba in Argentina, and one now planned for Malaysia. Through publication of professional literature, through exchanges of publications, technical know-how, but more importantly through personal interaction, the Council has emerged as a powerful integrating force in the archival profession. It has supported agreements on more liberalized access to holdings. The linkages it has fostered have not resulted in any weakening of traditional na-

tional loyalties, in which we all take just pride, but in strengthening our higher sense of transnational, trans-ideological, global commitment to human betterment. For in an age when man has seen the earth from the moon, and when his ploughs have made furrows in the valleys of Mars, the ancient barriers to human relationship – cultural as well as political – are intolerable.

It is a great privilege, Ladies and Gentlemen, for me hereby to declare open the Eighth International Congress on Archives in the City of Washington, District of Columbia, Monday, September 27, in the year of the Bicentennial of the United States of America, 1976.

FIRST PLENARY SESSION PREMIÈRE SÉANCE PLÉNIÈRE DE TRAVAIL

Tuesday 28 September/mardi 28 septembre, 10 h – 13 h.

THE PRE-ARCHIVAL REVOLUTION

LA RÉVOLUTION DU PRÉARCHIVAGE

Chairman/Président:

Dr. Wilfred I. SMITH, Dominion Archivist, Ottawa (Canada).

Reporters/Rapporteurs:

Mr. Artel RICKS, Regional Commissioner, National Archives and Records Service, Region 9, San Francisco (USA)

M. Guy DUBOISQ, Conseiller d'Etat, ancien Directeur général des Archives de France, Paris (France)

Dr. Åke KROMNOW, Director General, Riksarkivet, Stockholm (Sweden).

RECORDS MANAGEMENT AS AN ARCHIVAL FUNCTION

Report by Mr. Artel Ricks¹

One historian views records management as an archival function aimed at trimming down the bulk of records holdings to that nucleus which will best serve the needs of researchers. More precisely he defines it as:

"... the process of selectively reducing to manageable proportions the bulk of records indigenous to modern civilization in such a way as permanently to preserve those of future cultural value without impairing the substantive integrity of the mass for purposes of research."²

At the opposite end of the spectrum are those who see records management as the application of scientific management to paperwork for purposes of efficiency and economy with any benefits to future researchers simply a fortunate by-product.

Somewhere between these extremes is the viewpoint endorsed by the National Archives and Records Service (NARS) of the United States Government and which may be found defined in legislation now pending before Congress.³ Under this concept, records management extends to the full life-cycle of records from their creation to ultimate destruction or consignment to archives for permanent retention. It is directed at insuring adequate documentation, preventing the unessential, simplifying systems of paperwork creation and use, improving the way records are organized and retrieved, providing for proper care and inexpensive storage of records in records centers, and insuring the proper disposition of records no longer needed in conducting current business. This is the concept addressed in this report.

1. Unique aspects of the United States experience.

At the outset we want to identify a few of the factors that have nudged, pulled, and molded records management in the United States and which may differ from factors influencing records management in other countries.

First. The sheer volume of records created by the United States Government every year, currently over 7 000 000 cubic feet, or enough to fill a file drawer over 1 300 miles long. Possibly an even larger quantity may be created by states, counties, and cities, which are government entities administered independent of the Federal Government.

Second. The advanced state of technological and economic development of the United States. One obvious manifestation of this influence is evident in the extent to which automation is being employed here to perform office tasks.

Third. The propensity Americans seem to have for new ideas and change, probably less bound by traditional ways than many people. Admittedly, this may lead to either rapid and meaningful progress or to wasteful experimentation with gadgets and unproven concepts simply because they are new.

1. Abridged version of the preliminary report distributed to members before the Congress.

2. O. Lawrence Burnette, *Beneath the Footnote*, (Stevens Point, Wisconsin: Worzalla Publishing Co., 1969), p. 26.

3. U. S. Congress House, *Federal Records Management Amendments of 1976*, H. R. 13828, 94th Congress, 2nd Session, 1976

Fourth. The lateness of the United States in establishing a national archives, almost 150 years after the first national archives came into being in France. This regrettable slowness to appreciate its rich archival treasures was not without at least one advantage in that the United States Government was able to learn from the archival experience of others and then add its own special contributions. Records management is perhaps the most significant of these contributions.

2. *Evolutionary development of a concept.*

Our present records management concept evolved over the entire life span of our nation although it was given a name only a quarter of a century ago. What it has become can probably be best understood if we first see how it evolved.

Records management in the United States traces its antecedents to the earliest years of our Republic. Many of the laws enacted by the First Congress expressed concern for the adequate documentation of Government activities and transactions and for the preservation of such records.

Over the years, as ever increasing volumes of records were created there slowly developed a recognition of the need for disposal of records no longer serving a useful purpose, but acceptance of this idea was slow in coming. A commission appointed in 1877 by the President soundly rejected the disposal idea with the statement that "every paper worthy at any time to be recorded and placed in the public files may be of value at some future time, either in an historical, biographical or pecuniary way to the citizens of the nation." However, the pressure of the mounting accumulation of records ultimately proved unbearable and in the 1880's Congress began to authorize destruction of some useless records.

Concern for adequate documentation, preservation, and selective disposal led to another aspect of managing government records – efficiency in their creation and use. In 1887 a committee was established by the Senate to "enquire into and examine the methods of business and work in the Executive Departments of Government, the time and attention devoted to the operations thereof, and generally to enquire into and report to the Senate the causes of delays in transacting the public business of the said Departments."⁴ This proved to be the first of a succession of committees and commissions looking into the efficiency of Government paperwork.

A pivotal point in the evolutionary development of records management in the Federal Government occurred in 1934 with the appointment of the first Archivist of the United States. Thereafter the National Archives provided the institutional vehicle needed to pull together the segments of what was at first known as records administration and to develop a comprehensive and viable program.

When the National Archives was first established, there were those who believed that all that was needed was to establish an archival institution where documents of enduring value could be placed. This passive concept was soon relinquished as the records flooded in from numerous agencies. The usability of some of the records was seriously hampered because of inadequate files arrangement and maintenance practices by agencies. Consequently, archival personnel found it necessary to visit Federal agencies and provide instructions so that the records to be accessioned into the Archives would be in useful order and condition, unencumbered by temporary and useless papers. As stated by a senior member of the National Archives at that time, archivists "entered the records administration field because of the archivist, and because the result of good or bad records administration affect the job that archivists can later do with the records."⁵

While a comprehensive and far reaching concept of records management had not yet been developed by the National Archives, though it was beginning to show signs of life elsewhere, recognition was at least given to the need for management attention to records from their creation to final disposition. This *life-cycle concept* was not yet fully crystalized but it had already modified somewhat the archival profession.

At about this same time a few agencies of government were beginning to use the term "records management" to describe a new approach to the problem with emphasis on efficiency. They saw a need for *continuing program attention* in contrast to the traditional symptomatic or "patchwork" method of dealing with specific records problems. They visualized it as a never ending job of education, promotion, and *management control*. The latter involves regulation, review, and approval. The Department of the Navy developed the most comprehensive of these early records management programs with provision for controls over the creation of records; guidance in developing efficient forms, reports and correspondence; standardization of filing equipment and supplies; and development of efficient mail and filing systems.

In addition, the Navy program embodied another concept that has since come to be a significant cornerstone of records management – that of *specialization*. As paperwork becomes more complex it calls for individuals with specialized knowledge, such as might be needed to design forms or to develop good reporting systems, since one person cannot hope to master and provide the depth of knowledge required to adequately assist officials in all phases of managing paperwork. However, a specialist need not necessarily be limited to one speciality. Under this concept, large paperwork studies are usually carried out by teams of specialists.

Since those early formative years of records management, the number of identifiable specializations has increased as the nature of paperwork has changed, expanded and become more complex. Today we have specialists in records centers, files, reports, forms, directives, microfilm, source data automation, machine readable records, general paperwork procedures, and several other areas, all flying the banner of records management.

Records management was formalized and institutionalized in the Federal Government with passage of the Federal Records Act of 1950. Responsibility for Government-wide supervision and implementation of this law was assigned to the National Archives which, significantly, was renamed the National Archives and Records Service.

We conclude that records management in the United States came into being in a slow and evolutionary way, but is today solidly based on four cornerstones: (a) the life-cycle concept, (b) continuing program attention, (c) management control, and (d) specialization by practitioners.

3. *Revolutionary impact.*

While the coming forth of records management was the product of a long evolutionary process, when it finally emerged it produced a revolutionary impact on the archival function. Probably the most readily demonstrable effect of the advent of records management is seen in the organizational structure of the National Archives and Records Service itself. That institution has changed drastically since 1950 when the Archivist of the United States was first charged with overseeing the records management program of the Federal Government and for "developing, promoting, and coordinating standards, procedures and techniques" which promote the efficient and economical handling of government records.⁶ To carry out this function, two major offices were created, each headed by an Assistant Archivist. They are the Office of Records Management and the Office of Federal Records Centers. Both offices have close interaction with the Office of the National Archives and with records officers within the various agencies of government.

4. "Selected Readings on Records Management," ed. Seymour Joseph Pomrenze (unpublished, copyright 1966), p. 5.

5. Philip Brooks, "Archivists and Their Colleagues: Common Denominators, *The American Archivist*", XIV (January, 1951), p. 34-35.

6. Records Management by Administrator of General Services, 82 Stat. 1295, 44 U.S.C., Sec. 2909-2910 (1968).

The *Office of Records Management* concentrates on the creation of recorded information and on its current maintenance and use. With a staff of approximately 140 people it assists agencies in fulfilling their records management responsibilities, issues regulations, publishes guidance handbooks, provides training, evaluates agency adherence to regulations, offers consultation services, conducts studies which the agencies cannot do for themselves, and performs a variety of related activities.

Of particular interest to the archival profession is the attention records management has focused on improving agency filing practices, including systems of records arrangement and retrieval. Microfilming of records is another area in which much guidance has been given by records management specialists, affecting both current operations and archival needs. Other influences on the archival profession may be less obvious but nevertheless important. For example, records managers are expected to be on the lookout for records of archival value or for any systems and procedures which might impact on archival interests. It was quite natural that records managers should be the first to sound the alarm when it was discovered that great quantities of data being recorded on magnetic tape, including demographic, sociological, and scientific information, would be useless to future researchers because of poor documentation of programs and operations governing use of the tapes.

The *Office of Federal Records Centers* was for many years within the Office of Records Management and its activities are still considered to be a part of the records management function. This office is the largest of those in NARS with approximately 1300 employees or about 60 percent of all personnel on the Archives payroll.

It operates fifteen records centers located across the United States for the economical storage and servicing of 12 million cubic feet of records belonging to virtually all federal agencies. Even though these records are too inactive to justify retention in office space, they still require about 13 million references to them every year. The economical type of building space and shelving used permits a savings of more than \$100 million a year over what it would have cost to have retained the records in office space and filing cabinets. Each year the center system receives more than one million cubic feet of new records and systematically destroys a nearly equal quantity made up of those which have aged and no longer have any administrative, legal, or other value. Professional archivists, working within the centers, carefully search for the small two or three percent of records of enduring value. All members of the center system are also expected to be alert for such archival records.

This office also evaluates agency records retention and disposition programs, oversees the Government's vital records protection program, reviews the operation of a few agency records centers, performs reimbursable microfilming services for agencies at considerable savings to the Government, and assists agencies in records disposition and scheduling.

The *Office of the National Archives* completes the life-cycle with its primary concern for records of enduring value. It controls about 1,200,000 cubic feet of records on paper documents, microfilm, audio tapes, motion picture films, photographs, data processing tapes, and cartographic records. It has final authority in determining what records are of permanent value.

While NARS has government-wide responsibility for guiding and assisting federal agencies in records management matters, the responsibility for an active continuing program for the economical, and efficient management of the records of an agency rests with each agency. Every agency is required to designate a records officer and bears responsibility for following NARS guidance and for conforming with applicable laws, regulations, and policies. The degree of responsiveness of agencies has differed greatly and it must be admitted that all agencies fall short, in varying degrees, of the comprehensive program encouraged by the National Archives and Records Service.

Some of the blessings records management has bestowed on the archival function may be readily recognized in the foregoing statement of functions of the National Archives and Records Service. Others may not be so apparent:

(a) Records management has given the archivist greater assurance that the policies and activities of government are adequately documented, that related records will more frequently be found filed together, that files will be arranged in a more logical and orderly manner, that fewer useless and transitory records will be mixed with the permanently valuable, and that there will be less likelihood of destruction of records of enduring value.

(b) Records management has brought a greater awareness throughout the government of the significance of records, in whatever media, and of the need for their proper care and preservation.

(c) The Archives has unquestionably received considerable prestige and increased budget support as it has become recognized as an institution that saves considerably more money than it spends due to its records management activities.

(d) The records management function of records centers has provided a convenient regional facility within which to locate regional archives and respond to the research needs of the public. Bringing archival services to the people has helped enhance national appreciation and support for the archives.

4. Status of Records Management within State Governments.

The United States is a federation in which a group of states combined and surrendered their general sovereignty to a central government while retaining certain residuary powers. As a result, the manner in which state agencies and programs are administered is generally not within the purview of the Federal Government. Applied to records management, this means that the Federal Government cannot dictate or control the archival or records management programs of the states. There is, of course, an exchange of ideas that has manifestly affected both state and federal programs.

Elements of Records Management	Organizational Location					
	Archives		Other		Total	
	No.	Percent %	No.	Percent %	No.	Percent %
Records Center Management	14	43	15	45	29	88
Records Control Scheduling	15	45	14	43	29	88
Files Management	7	21	11	33	18	54
Vital Records Management	11	33	9	27	20	61
Machine Readable Records Management ..	3	9	12	36	15	45
Information Retrieval Systems Management	5	15	11	33	16	48
Documentation Management	6	18	7	21	13	39
Correspondence Management	5	15	6	18	11	33
Mail Management	1	3	13	39	14	42
Forms Management	4	12	12	36	16	48
Reports Management	2	6	8	24	10	30
Directives Management	1	3	9	27	10	30
Microform Management	10	30	14	43	24	73
General Paperwork Procedures Management	3	9	12	36	15	45
Source Data Automation Management	0	0	12	36	12	36
Word Processing Management	1	3	8	24	9	27
Office Equipment Management	3	9	10	30	13	39
Evaluation Surveys	6	18	10	30	16	48

Figure 1. Program elements being carried out by the archives or other central office of the 33 states responding to the questionnaire. (Percentage figures were derived by dividing the number of programs shown for each element by 33, for all states reporting, and rounding off the number.)

In preparing for this paper, the author and his research assistant attempted to survey the status of records management programs within the 50 state governments. A questionnaire sent to the states elicited 33 responses. Each state was asked to indicate for each of 18 records management "elements" whether or not the state had an active, centralized program involving such management aspects as reviews, controls, and the issuance of standards, procedures and guidance materials. They were also asked whether any records program centrally administered is carried out by the archivist's office or by some other state office. Statistical results are given in Figure 1.

The data obtained reveal such interesting facts as that 29 of the 33 respondent states house some of their inactive records in records centers but only 14 of the centers are administered by the state archivist. Likewise, 29 states were also found to be carrying out records control scheduling programs of which 15 are under the archivist direction. Surprisingly, only 18 of the 33 states reported a files management program with a mere 7 of these viewing it as an archival responsibility. Forms management, directives management and most of the other "efficiency" elements fared worse. We conclude that as compared with the Federal Government, the application of records management by most state governments is typically more limited.

5. Status of Records Management worldwide.

Archival authorities in 105 countries were sent virtually the same questionnaire provided to the state governments of the United States. A tabulation of responses from all questionnaires is found in Figure 2:

Elements of Records Management	Organizational Location					
	Archives		Other		Total	
	No.	Percent %	No.	Percent %	No.	Percent %
Records Center Management	21	54	3	8	24	62
Records Control Scheduling	24	61	5	13	29	74
Files Management	14	36	15	38	29	74
Vital Records Management	13	33	8	21	21	54
Machine Readable Records Management	9	23	10	26	19	49
Information Retrieval Systems Management	7	18	10	26	17	44
Documentation Management	9	23	9	23	18	46
Correspondenc Management	5	13	19	49	24	62
Mail Management	5	13	18	46	23	59
Forms Management	5	13	19	49	24	62
Reports Management	3	8	15	38	18	46
Directives Management	2	5	15	38	17	43
Microform Management	13	33	10	26	23	59
General Paperwork Procedures Management	3	8	14	36	17	44
Source Data Automation Management	2	5	14	36	16	41
Word Processing Management	2	5	10	26	12	31
Office Equipment Management	3	8	18	46	21	54
Evaluation Surveys	6	15	9	23	15	38

Figure 2. Program elements being carried out by the archives or other central office of the 39 countries responding to the questionnaire. (Percentage figures were derived by dividing the number of programs shown for each element by 39, for all countries reporting, and rounding off the number).

From the questionnaire and the supporting reference materials submitted by the nations, several observations and conclusions may be drawn as to the status of public records management in the responding countries. A cautious generalization of these findings may yield some insight into the worldwide status of records management and its direction. Those conclusions and observations felt by the author to be of greatest value are:

(a) An average of 52 percent of the elements are being carried out as active centralized programs in the national governments of the respondents, but not necessarily by the archivist's office.

(b) Some 15 percent of the nations reported little or no centralized records management program activity. About 50 percent of the nations reported that at least two-thirds of the 18 elements were being carried out by their national governments, but not necessarily by the archivist's office.

(c) The records management elements are distributed between the archivist's office and "other offices," about 37 percent to 63 percent, with the other offices identified by such diverse titles as: Ministries of Economics, Justice, Finance and Communications, and Departments of Public Works, Treasury, Organization, and Operations. Elements which statistically cluster overwhelmingly in these other offices included: correspondence, mail, forms, reports, directives, general paperwork procedures, source data automation, and equipment management.

(d) Some 21 of the 24 countries reporting records center programs and 24 of the 29 carrying out records control scheduling programs are administering these elements under the aegis of the archivist's office. From this and the preceding observation we conclude that those elements most nearly supportive of the archival function are typically found in the archives office while those more directly related to office efficiency are most commonly found in other offices.

(e) As omissions are often as meaningful as indications of activity, we should note those elements most frequently not carried out by the respondents: machine readable records, information retrieval systems, source data automation, word processing, general paperwork procedures, directives, and reports management. The first four of these are readily understandable as they represent elements closely related to office automation, a technological area that is not yet feasible for general application by the national governments of some of the respondents.

(f) Because the general economic status of a country may have some implications on the nature of its records management needs, the data available was also analyzed by "developed" and "developing" nations. The limitations on the length of this article will not permit presentation here of an analysis of the facts derived. We note, however, that the statistical profile for developed nations does not differ greatly from that of developing nations or the states of the United States.

6. Summary.

By way of summation, some useful generalizations pertaining to the development and status of records management as it relates to the archival function are:

(a) Records management is a function evolving from such universal needs as adequate documentation, prevention of the unnecessary, systematic disposal, efficient processing, economical storage, and identification and preservation of those documents of enduring value.

(b) Records management has been adopted worldwide and appears to be well advanced in many state governments of the United States and in many nations, including developing nations.

(c) The broad gauged program of the Federal Government of the United States with its emphasis on (i) the life-cycle concept, (ii) continuing program attention, (iii) management control, and (iv) specialization by practitioners is not fully duplicated by any other government although there are indications that this may be the direction that many are headed.

Too many variables are involved to believe that there will necessarily be a rapid transition in that direction or even that such a broad program offers a satisfactory answer for some countries.

(d) Those elements of records management most directly affecting the archival function, such as records centers and records scheduling, are most likely to be carried out by the archives office while those with the least impact are generally administered elsewhere, if at all.

(e) Records management has been of great value to the archival function in the United States.

(f) The strong congruence of records management statistical profiles between state, developed, and developing nations, suggests that most governments are responding to similar records management needs and may share similar constraints in money, manpower, and expertise.

(g) Trends toward (i) expansion of the scope of records management programs, (ii) centralization, (iii) increased professionalism, and (iv) mechanization seem intuitively apparent within the United States. However, in the international sphere such an observation must await the support of further study over a period of years to be more than just conjectural.

(f) The fear of some archivists and historians in the early years of records management in the United States that this association between archives and records management might lead to the pre-eminence of efficiency over scholarship and the adulteration of the archives function has proven unwarranted. No doubt any such tendency has been discouraged by the fact that the records management function is administered by the Archivist. Certainly records management is an idea whose time has come, evolving from positive needs and if the archival environment were hostile, it would doubtless thrive elsewhere. Archivists are cautioned, however, by Dr. Wayne C. Grover, former Archivist of the United States, that "records management disassociated from its archival environment, could be positively menacing."⁷

On a more positive note, Dr. James B. Rhoads, the present Archivist of the United States, says: "... I am confident that the liaison between the archivist and the records manager will continue, because it is a natural relationship built on interdependency and mutual benefit. While developing our expertise in the various branches of records work, we must not forget that each of us is part of a larger profession, whose goal is rational order, simplification and economies in maintaining the record of our civilization."⁸

7. Julian P. Boyd, Chairman, and H. G. Jones, Secretary, "Minutes of the First Meeting of the AHA-OAH-SAA Joint Committee on the Status of the National Archives," (unpublished report, April 15, 1967), p. 2.

8. Dr. James B. Rhoads, "Records Management and the Archivist," *Records Management Journal*, XIII, No. 1 (Spring, 1975), p. 8.

Other Sources

Much of the information for this article was derived from a wide range of primary sources as recorded in the author's thesis - "Records Management in the Federal Government: An Analysis of the Adequacy of Law and Executive Policy" (unpublished, School of Government and Business Administration, George Washington University, May 1974).

A second source used liberally was the December 1974 issue of *Information and Records Management*, Vol. 8, No. 11. The authors of articles from which information was extracted were the Archivist of the United States, Dr. James B. Rhoads, and members of his staff: Walter W. Stender, Harold J. Koenig, and Benjamin F. Oliver.

Acknowledgement

John Powell of the National Archives and Records Service, Records Management Division staff, San Francisco, did much of the current research needed with respect to the status of records management in state governments within the United States and in the governments of other nations. He also participated in drafting many of the ideas expressed in this paper. His assistance is gratefully acknowledged.

LE DÉPÔT DE PRÉARCHIVAGE: IDÉE ET INSTRUMENT

Rapport par M. Guy DUBOSCQ¹

Le présent rapport, présenté dans le cadre d'une discussion générale sur la «révolution du préarchivage», concerne plus spécialement le développement des dépôts d'archives intermédiaires, qualifiés en anglais de *records centers* et en français de *dépôts de préarchivage*.

En ma qualité de Directeur général des Archives de France, j'ai été chargé voici quelques années d'imaginer, de créer et d'organiser le plus gros dépôt français de préarchivage, la «Cité interministérielle des Archives» de Fontainebleau, et l'expérience acquise dans ce domaine m'a permis de rédiger pour l'UNESCO, en collaboration étroite avec mon ami Mr. A. W. Mabbs, Deputy Keeper du Public Record Office en Grande-Bretagne et avec l'aide de mon collaborateur à la Direction des Archives de France, M. Michel Duchéin, un petit manuel intitulé en anglais *The organization of intermediate records storage*, en français *Organisation du préarchivage*².

Cette étude nous a donné l'occasion, à Mr. Mabbs et à moi-même, de faire une enquête à travers le monde sur ce sujet et donc de recueillir une documentation qui m'a servi pour le présent rapport.

1. La «révolution» du préarchivage.

Il est inutile (je renvoie pour cela aux versions anglaise et française du manuel précité) de reprendre dans le détail la définition du préarchivage et la distinction qu'il y a lieu de faire entre le mot français *préarchivage* et le terme anglais *records management*.

Ce qu'il faut dire, puisque ce congrès est placé sous le signe de la «révolution archivistique de notre temps», c'est qu'à peu près au même moment dans tous les pays du monde, la science archivistique a pris un tournant déterminant, a fait une véritable révolution. Il ne s'est plus agi pour les archivistes de s'occuper uniquement des documents ayant l'«âge historique», mais de s'occuper aussi et parallèlement des papiers se trouvant dans les administrations et étant dans l'âge de l'utilisation administrative courante.

Cette révolution était et est toujours pour les archivistes une condition *sine qua non* de survie. Je m'explique: travailler seulement à trier, à classer, à inventorier, à répertorier et à ficher les documents indispensables à la recherche historique que les siècles nous avaient livrés n'était plus suffisant dans la seconde partie du XX^e siècle pour attirer l'attention des pouvoirs publics et pour obtenir d'eux les moyens en hommes, en crédits et en matériel pour accomplir une telle noble tâche. Il fallait que les archivistes se rapprochent de l'administration au lieu de rester dans leur tour d'ivoire, qu'ils essaient de jouer auprès d'elle un rôle efficace pour son propre travail. S'occuper de ces papiers très contemporains, les ordonner pour les rendre immédiatement utilisables par cette administration, c'était faire à ses yeux oeuvre utile, c'était se rendre auprès d'elle indispensable. Et du même coup c'était s'assurer que pour les historiens, dont les archivistes sont à la fois les auxiliaires et les collègues, toute la documentation dont ils auraient besoin serait beaucoup mieux et plus complètement conservée, puisque déjà placée sous le contrôle des archivistes, que si l'on conti-

1. Texte du rapport préliminaire distribué aux congressistes avant le Congrès.

2. Unesco, *Documentation, Libraries and Archives: Studies and Research*, n° 5 *The organization of intermediate records storage*, 1974, in-8°, 75 p.; *Organisation du préarchivage*, 1974, in-8°, 78 p.

nuait à attendre passivement que l'administration verse dans les dépôts d'archives historiques ce qu'elle voudrait.

Ce concept du rôle nouveau de l'archiviste, cette révolution a germé d'abord dans l'esprit de quelques archivistes de quelques pays et sans trop risquer de me tromper je citerai le Canada, les Etats-Unis d'Amérique et le Royaume-Uni. Elle s'est propagée, comme toutes les idées simples, toutes les idées de bon sens, dans d'autres pays. Je nommerai ici, sans chauvinisme, mon pays, la France. Quand j'ai commencé en 1963 à m'occuper de cette question, j'ai étudié d'abord ce qui s'était fait aux Etats-Unis et en Grande-Bretagne, puis au Canada avant d'essayer d'élaborer une doctrine conforme à l'esprit latin.

Je voudrais à cette occasion signaler le rôle bénéfique que joue pour notre profession depuis plus de vingt-cinq ans le Conseil international des Archives. Par ses congrès, ses comités, ses publications, il tisse des liens étroits entre archivistes de tous les pays. Grâce à cela la science archivistique prend une véritable dimension internationale; ce qui se fait, par exemple, à Kuala Lumpur est connu tant à Dakar, à Washington, qu'à Moscou ou à Paris. Les progrès seront d'autant plus rapides, tant dans le domaine qui nous occupe actuellement que dans les domaines en pleine évolution de la restauration, de la reprographie et dans le plus récent de ceux-ci, l'informatique.

2. Les expériences de préarchivage dans le monde.

À l'heure actuelle il n'est pas de pays où la notion de préarchivage soit ignorée et partout, que ce soit dans les pays de très ancienne tradition ou dans les pays en voie de développement, l'on cherche à mettre au point un système cohérent, qui puisse être compris de l'administration et la séduire.

Puisque le but essentiel de ce rapport est de faire le point du développement du préarchivage dans le monde, je fournirai quelques renseignements recueillis lors de notre enquête internationale sur le sujet. Cela permettra de mieux saisir les aspects différents que, suivant les pays, revêt le préarchivage. Il n'y a pas uniformité mais diversité autour d'une idée commune; il faut s'en réjouir car chacun sait que «l'ennui naît de l'uniformité».

a) *Allemagne fédérale.* En Allemagne fédérale, où un dépôt de préarchivage a été créé à Bad-Godesberg en 1965 pour y recevoir les documents émanant des départements ministériels fédéraux, dépôt remplacé en 1970/71 par un bâtiment spécial édifié à Sankt-Augustin, la définition du préarchivage est la suivante: c'est «la conservation des papiers des administrations pendant une période limitée, dans un local séparé de l'administration qui leur a donné naissance et organisé comme une partie intégrante du dépôt d'archives principal dirigé exclusivement par des archivistes».

Le préarchivage est réglé par différents textes officiels (voir *Archivum*, XVII, 1967, p. 39-40).

b) *Canada.* Arrêtons-nous un instant pour examiner l'expérience canadienne; c'est à mon avis la plus complète, la plus développée et la plus efficace, mais je sais aussi qu'elle serait, telle quelle, inapplicable, du moins actuellement dans un pays comme la France en raison de tout un contexte spécifique. Cette expérience est également la plus ancienne puisqu'on la trouve déjà en germe dans des déclarations de la fin du XIX^e siècle.

Toutes les questions relatives à la gestion des papiers du gouvernement fédéral ressortissent à la Direction des Documents non encore archivés. Cette Direction, qui agit en parfaite harmonie avec la Direction des Archives historiques tout en constituant une unité administrative autonome sous l'autorité de l'archiviste fédéral qui est président du Conseil consultatif des archives publiques, a pour mission d'assister les ministères et les organismes du gouvernement fédéral dans la définition de la politique de gestion des documents; elle fait des suggestions, procède à des vérifications, forme le personnel chargé de la tenue des papiers conservés au sein des administrations.

L'administration des archives prend donc en charge la responsabilité, dès leur naissance, des papiers produits par les ministères et organismes fédéraux; elle édicte les règles de conservation dans les locaux administratifs; elle reçoit dans les dépôts de préarchivage, dé-

nommés *records centers* (à Ottawa, Toronto, Montréal, Vancouver, Winnipeg, Halifax et Edmonton) des quantités considérables de dossiers, qu'elle gère elle-même pour les besoins de l'administration et dont elle assure les éliminations ou les versements aux archives historiques. Toute cette réglementation a fait l'objet du *Public Records Order* (voir *Archivum*, XXI, 1971, p. 48-50).

J'ajouterai enfin, bien que cela soit un peu en dehors de mon sujet, que des listes (schedules) de tous les documents produits par les administrations sont établies par celles-ci en accord avec l'administration des archives pour déterminer les délais de conservation des papiers.

À mon sens, l'expérience canadienne devrait faire l'objet, de la part de tous ceux qui veulent se lancer dans une action de préarchivage de grande envergure, d'une étude très approfondie et très poussée. Cette expérience est en effet arrivée à un degré d'achèvement quasi parfait. Certes l'opération est onéreuse, puisque le gouvernement alloue à la Direction de la Gestion des documents un budget qui dépasse annuellement la somme de \$ 2.500.000, soit environ 10.000.000 de F. F.

c) *Etats-Unis d'Amérique.* Les Etats-Unis d'Amérique sont eux aussi des pionniers en la matière. Le préarchivage s'y applique aux papiers du gouvernement fédéral qui ont cessé d'avoir une utilité administrative active mais qui n'ont pas atteint les délais légaux pour leur destruction ou dont le versement aux Archives nationales n'a pas encore été décidé.

Tous les papiers d'usage non courant dont la conservation dans les locaux de l'administration serait considérée comme non économique (retenons cette notion essentielle), sont transférés dans un *Federal Records Center* (il en existe quatorze). C'est le cas des papiers dont l'utilisation par l'administration n'a plus lieu qu'une fois par mois et par «groupe», à la condition que le coût du transfert ne dépasse pas les économies qui en résulteraient pour leur conservation.

Le programme des *Records Centers* entraîne pour le gouvernement une substantielle économie en dollars, qui était estimée annuellement, en 1973, à \$ 4,33 par pied cube transféré (33 pieds cubes égalent approximativement un mètre cube). L'opération d'ensemble est rendue possible par le coût peu élevé (autre notion à retenir) de la construction des *Records Centers*, comparé à celui des dépôts d'archives traditionnels.

Le préarchivage est réglé aux Etats-Unis par la loi fédérale des Archives (voir *Archivum*, XXI, 1971, p. 91-93).

Deux points sont essentiels dans ce système: l'installation du préarchivage doit faire faire des économies à l'Etat; les dépôts de préarchivage doivent être conçus de manière économique.

d) *Espagne.* L'Espagne, elle aussi, en est venue à s'occuper des papiers contemporains. Elle a créé voici quelques années, à une cinquantaine de kilomètres de Madrid, à Alcalá de Hénarès, un grand dépôt qui a l'originalité d'être à la fois un dépôt permanent d'archives historiques et un dépôt de préarchivage. Ce bâtiment est construit en forme de V; l'une des ailes du V reçoit les documents en préarchivage, l'autre les documents venant du préarchivage et à conserver à perpétuité. Je suppose que cette fonction mixte est due au fait qu'il eût été difficile d'obtenir des crédits suffisants pour construire à la fois dans la périphérie de la capitale un dépôt annexe au dépôt d'archives historiques et un dépôt de préarchivage. Nous connaissons partout ces délicats problèmes, et je crains que cette formule, en raison de la conjoncture économique mondiale, ne soit adoptée pour la même raison dans bien d'autres pays. On peut être favorable ou défavorable à cette solution mais il faut songer aux chercheurs qui ont des difficultés à se rendre en dehors d'un grand centre urbain pour y effectuer leurs travaux et qui ne trouveront pas en dehors de ce centre les autres établissements qu'ils sont appelés à fréquenter, tels qu'une importante bibliothèque ou d'autres centres d'archives.

e) *France.* En France, l'on s'est préoccupé du préarchivage depuis 1962 et l'on s'est inspiré des expériences canadienne, anglaise et américaine. Aucun texte de loi ne régit encore cette institution appelée à un très grand développement, mais c'est un usage dans mon pays de dire et de faire que «la coutume crée le droit». Cependant la loi française sur

les Archives, actuellement en préparation³, ne manquera pas de codifier cette institution nouvelle.

La Cité interministérielle des Archives⁴, dont j'ai déjà parlé, sise à Fontainebleau, est appelée à recevoir, lorsqu'elle disposera de bâtiments définitifs (le premier de ces bâtiments, d'une capacité de 80 kms linéaires, est en construction) tous les papiers produits par les ministères et les administrations centrales de l'Etat lorsqu'ils auront cessé de servir aux besoins courants des services et en attendant qu'ils puissent être détruits ou versés aux Archives nationales à Paris; mais dès maintenant la Cité dispose d'environ 70 kms linéaires de rayonnages, occupés par des papiers de plusieurs administrations centrales.

Dans les départements français, le préarchivage fonctionne dans le Rhône et l'Isère pour les papiers des administrations départementales, en Seine-et-Marne et dans le Rhône pour ceux des administrations de l'Etat décentralisées.

f) *Israël*. Sans avoir à proprement parler de grand dépôt de préarchivage, Israël prévoit que chaque administration doit posséder, à côté de son *registry*, un *record center*. Les archivistes de ce pays neuf estiment que le préarchivage est le seul moyen d'assurer le versement dans les dépôts d'archives historiques de tous les documents à conserver indéfiniment pour la recherche historique.

g) *Italie*. La question et son importance n'ont pas échappé à la Direction générale des Archives d'Etat d'Italie, mais à ma connaissance on n'en est pas encore au stade de réalisations. Nos collègues italiens, qui ont, voici sept ou huit ans, mis cette question à l'étude et en débat lors d'une réunion de conservateurs d'archives à laquelle ils m'avaient convié, considèrent à juste titre que le préarchivage est une opération totalement distincte de l'archivage, que des dépôts spéciaux recevront les papiers n'ayant pas quarante ans d'âge, puisque ce délai est celui fixé par la loi d'archives de 1963 pour le versement des documents dans les dépôts d'archives historiques (voir *Archivum*, XIX, 1969, p. 18–21).

h) *Malaisie*. En Malaisie, on a légiféré aussi avant de passer à l'exécution. Le *National Archives Act* de 1966 (voir *Archivum*, XX, 1970, p. 209–212) distingue *archives publiques* et *papiers publics*. «Archives publiques» signifie archives historiques. Tous les papiers qui auront atteint l'âge de 25 ans (notion assez stricte) et qui auront été déclarés par le Directeur général des Archives comme ayant valeur nationale ou valeur historique, seront transférés du *Records Service Centre* dans les dépôts d'archives historiques. D'ores et déjà, il existe à Petaling Jaya, près de Kuala Lumpur, un *Records Centre* pour le préarchivage des papiers des administrations centrales de l'Etat, climatisé et pourvu de tous les perfectionnements techniques désirables.

i) *Norvège*. En Norvège, à l'exception de l'administration militaire qui a créé son propre dépôt de préarchivage pour ses seuls besoins, il n'y a pas, à ma connaissance, de distinction nette entre préarchivage et archivage. Cependant la Direction des Archives intervient systématiquement auprès des administrations pour que celles-ci, avec son accord, versent au dépôt historique tout document de plus de vingt cinq ans d'âge qui n'aura pas été éliminé. Pendant ces premières vingt cinq années, les administrations gardent auprès d'elles ou dans des locaux spéciaux tous les documents qu'elles produisent.

j) *Pays-Bas*. Aux Pays-Bas, autre distinction entre catégories d'archives, autres délais pour le versement aux Archives historiques. *Archives dynamiques* (papiers restant dans les administrations), *archives semi-statiques* (celles qui relèvent du préarchivage), *archives statiques* (documents à conserver perpétuellement): en somme c'est la théorie des «trois âges» des archives. La loi d'archives de 1962 (*Archivum*, XIX, 1969, p. 52–68) oblige les administrations à placer dans leurs dépôts de préarchivage (donc nouvelle notion du préarchivage qui est à la charge des administrations et non plus à celle de la Direction des Archives) les papiers qu'elles produisent; la loi les contraint également à faire passer aux archives historiques («statiques») les documents ayant cinquante ans d'âge. Dans ce pays comme dans beaucoup d'autres, l'on se plaint du peu de moyens accordés aux services d'archives.

3. Promulguée le 3 janvier 1979.

4. En 1977, il a été décidé que le nom définitif de ce dépôt serait «Cité des Archives contemporaines».

k) *Pologne*. En Pologne, l'on ne distingue que deux âges pour les papiers, l'âge administratif et l'âge historique. Malgré l'absence de préarchivage, la Direction générale des Archives mène une action très déterminante auprès de chaque ministère et de chaque administration centrale dans ce domaine; chacun d'eux et chacune d'elles a son dépôt d'archives courantes qui en somme assume toutes les fonctions d'un dépôt de préarchivage: tri, élimination des papiers inutiles, versements aux Archives d'Etat des documents présentant un caractère historique.

l) *Roumanie*. Même système en Roumanie, où la législation et les instructions archivistiques font à toutes les institutions centrales, de districts, municipales ou locales l'obligation d'organiser pour leurs papiers des dépôts séparés dont ils ont l'entière responsabilité. Ces institutions classent, trient, inventorient leurs papiers sous la direction des organes spécialisés de l'Etat. C'est donc plus que du préarchivage, puisque la notion d'inventaire intervient dans le sens de la mise en valeur de la documentation pour la recherche historique, économique, scientifique et pratique. Cela peut être un bien, si du moins ce travail peut être assuré par des gens compétents pour le faire, c'est à dire les archivistes ou leurs collaborateurs.

m) *Royaume-Uni*. C'est en 1950 qu'a été créé au Royaume-Uni à Hayes dans la grande banlieue londonienne, un vaste dépôt intermédiaire dans une ancienne usine d'armement à qui l'on a donné le nom très suggestif de *limbo* ou «purgatoire», dépendant directement du Public Record Office qui est le dépôt central des archives historiques du Royaume. Ce *limbo* est destiné à recevoir les papiers des ministères et services centraux de l'Etat en attendant soit leur destruction, soit leur transfert au Public Record Office.

Avantages du système: réduction du coût du stockage des documents, les bâtiments étant situés en dehors de la capitale et construits avec soin, mais très économiquement; possibilité pour le Public Record Office d'exercer un contrôle efficace sur les procédures de sélection des documents destinés à être conservés après triage. Ce dépôt intermédiaire est regardé comme une partie essentielle du système général de contrôle des papiers publics défini par le *Public Record Act* de 1958 (voir *Archivum*, XVII, 1967, p. 184–191).

Le *limbo* n'est pas en Grande-Bretagne le seul dépôt de ce genre; le Scottish Record Office d'Edimbourg est en passe d'en posséder un, s'il ne l'a pas déjà, et à l'image des départements français, plusieurs comtés ont organisé des dépôts du même type.

n) *Suède*. Si la Suède, jusqu'à ces dernières années, s'est passé du préarchivage, c'est en raison de la répartition des documents entre l'âge administratif et l'âge historique sans période intermédiaire; c'est aussi parce que le règlement général des archives suédoises fait aux différentes administrations obligation de classer les documents et de ne procéder à des éliminations que sous le contrôle des Archives royales. Je me demande cependant si cela est suffisant. Par exemple, je pense à la législation française qui dans son état actuel édicte les mêmes obligations, mais les administrations en tenaient plus ou moins compte jusqu'au jour où la Direction des Archives de France a commencé à envoyer dans certaines d'entre elles (mais non dans toutes par manque de moyens) des archivistes «missionnaires» et a créé la Cité des Archives de Fontainebleau.

o) *Suisse*. Pour nos collègues suisses, le préarchivage permet à l'archiviste de prendre en charge les documents produits par les services administratifs dès l'instant qu'ils ont perdu leur utilité courante, de procéder à leur traitement avant de les intégrer définitivement dans les archives historiques ou de les éliminer.

Ce préarchivage est réglementé par des directives élaborées par les Archives fédérales, approuvées par le Département fédéral de l'Intérieur; ces directives sont entrées en vigueur le 1er juillet 1970.

Les archivistes helvétiques ont donné au préarchivage les motivations suivantes qu'il est bon, pour notre réflexion, d'énumérer tout au long: 1) instituer une collaboration étroite et permanente entre les archivistes et les administrateurs; 2) désencombrer les bureaux et locaux annexes des papiers qui ne servent plus à la gestion des affaires courantes; 3) coordonner l'ensemble des versements; influencer et donc améliorer la tenue des dossiers courants; 4) conserver de la façon la plus économique des quantités considérables de docu-

ments de valeur temporaire; 5) mieux organiser les fonds d'archives et les préserver dans leur intégrité; 6) effectuer les triages et pratiquer les éliminations selon des critères modernes; 7) répondre rapidement et avec beaucoup de précision aux questions posées par les administrations ou par les spécialistes de l'histoire contemporaine; 8) enfin n'intégrer dans les archives historiques que les documents retenus pour une conservation permanente.

J'attire l'attention sur la motivation numéro 7, «répondre rapidement et avec précision aux questions posées par les administrations ou par les *spécialistes de l'histoire contemporaine*». En effet, il est admis en général que les documents en préarchivage ne sont consultables que par l'administration qui les a secrétés, les chercheurs n'y ayant pas accès. S'il n'en était pas ainsi il y aurait fort à parier que les administrations hésiteraient à utiliser le préarchivage, car dans la plupart des pays elles sont à tort ou à raison fort jalouses du secret, pendant un certain laps de temps, conservé dans leurs papiers. Mais on connaît la fringale des historiens contemporanéistes, qui estiment que le délai moyen de trente ans pour la consultation des dossiers est beaucoup trop long. Ils voudraient avoir accès aux documents les plus récents, encore chauds d'actualité. A cela on peut répondre que l'histoire objective ne s'écrit qu'avec un recul raisonnable, qui atténue les passions, et qu'aussi des archives ne peuvent être ouvertes à la consultation qu'après avoir été classées et au moins répertoriées. Il nous faudrait partout des moyens décuplés en personnel pour faire face à ce problème. Quoi qu'il en soit, j'aimerais qu'une discussion s'instaure sur ce sujet pendant le présent congrès.

p) *Tchécoslovaquie et Yougoslavie*. La Tchécoslovaquie a créé des dépôts de préarchivage pour le Ministère de la Défense et pour celui du Commerce extérieur; pour les autres ministères le préarchivage existe mais est organisé dans les locaux mêmes des Archives nationales. Aucun texte ne régleme à ma connaissance la matière, pas plus d'ailleurs qu'en Yougoslavie où il existe cependant un dépôt de préarchivage au niveau fédéral et quelques centres au niveau des républiques fédérées et de divers organismes spéciaux.

3. Conclusions.

Voici, sommairement esquissé, le panorama international de ce que représente cette révolution archivistique de la seconde partie du XX^e siècle que sont le préarchivage ou le *records management*. Mon information est certainement et forcément incomplète, et je prie mes collègues des pays que je n'ai pas mentionnés de bien vouloir m'excuser.

Je laisserai de côté, comme n'entrant pas dans le cadre de ce rapport, toutes les questions relatives à la construction et à l'équipement des dépôts de préarchivage, au personnel chargé de s'occuper de ces dépôts et d'y travailler, aux modalités de transfert des papiers dans les dépôts de préarchivage, au traitement des papiers ainsi qu'aux règles d'élimination qui doivent être appliquées, et enfin à la procédure de versement dans les dépôts d'archives historiques des documents venant du préarchivage, à partir de quoi la responsabilité des fonds d'archives appartient sans conteste aux seuls archivistes.

Je me contenterai, en reprenant les termes que j'ai utilisés dans mon petit manuel déjà cité, d'essayer de dégager une définition générale du préarchivage à la lumière de ce qui se passe dans les différents pays.

Le préarchivage était en 1950, lors du premier Congrès international des Archives tenu à Paris et dont l'organisation m'avait été confiée par le Directeur général d'alors, M. Charles Braibant, qu'une notion vague effleurant à peine l'esprit de la plupart des archivistes, à l'exception de rares pays précurseurs. Il est devenu aujourd'hui, vingt-six ans après, au Congrès de Washington, une réalité dans bien des Etats et un objectif à atteindre pour les autres, une institution *vitale* pour les services d'archives des vieux pays comme pour les pays dits en voie de développement et, à mon avis, plus importante encore pour ces derniers. Abandonner cette notion serait pour l'archiviste revenir à une attitude passive, alors que l'évolution des moeurs et des idées veut que notre comportement soit de plus en plus actif, dynamique, enthousiaste.

Les archivistes sont persuadés, les administrations commencent à comprendre que le préarchivage est le plus sûr moyen:

- a) de désencombrer les locaux administratifs des papiers qui ne sont plus utiles au travail courant et qui, entassés dans des placards, des caves ou des greniers, ne sont plus accessibles aux recherches souhaitées;
- b) d'éviter d'encombrer les dépôts d'archives historiques de papiers qui n'ont pas atteint l'âge réglementaire d'être communiqués au public et dont certains, pour ne pas dire le plus grand nombre, sont destinés à être détruits à l'expiration de délais variables;
- c) d'assurer pendant la période intermédiaire qui se situe entre la sortie des papiers des bureaux et leur entrée dans les dépôts d'archives historiques leur tri, de façon à séparer les papiers à détruire de ceux qui seront à verser;
- d) d'assurer pendant cette période intermédiaire la mise des papiers à la disposition des administrations qui les ont produits et qui peuvent en avoir occasionnellement besoin (ce besoin s'est chiffré en France, en 1974, pour la Cité interministérielle de Fontainebleau, à plus de neuf mille communications de dossiers aux administrations déposantes);
- e) enfin de réaliser des économies (l'argument est primordial pour les services d'archives de tous les pays), en assurant aux moindres frais la conservation des papiers durant la période intermédiaire, c'est à dire en les regroupant dans des locaux équipés de façon économique et coûtant moins cher que des rayonnages installés dans les bureaux au centre des villes ou que ceux employés dans les dépôts d'archives traditionnels.

Certains de ces buts, nous l'avons vu, sont atteints parfois sans l'existence de véritables centres de préarchivage, mais cela n'est possible qu'à la condition que la masse des papiers à traiter et à trier soit faible. Dès que cette masse atteint un certain niveau (l'enquête qui a précédé la création des *Records Centers* aux Etats-Unis a permis de constater que les administrations fédérales détenaient environ 7.000 kilomètres linéaires de papiers; l'enquête à laquelle je me suis livré en France a donné le chiffre de plus de 600 kilomètres linéaires de papiers, alors que les Archives nationales possèdent un rayonnage d'environ 350 kilomètres pour entreposer les archives de plus de dix siècles), il devient indispensable que les diverses opérations liées au préarchivage soient effectuées dans des locaux distincts aussi bien des locaux de l'administration productrice des papiers que des locaux des archives proprement dits. Ces locaux spécialement équipés à bas prix permettent de réaliser sur le plan national des économies extrêmement substantielles.

Tous les pays seront, je l'espère, d'accord sur cette définition minimale du préarchivage, mais dans certains d'entre eux, en particulier aux Etats-Unis et surtout au Canada, on va plus loin et on a mis au point une politique de *records management*, c'est à dire une politique d'intervention sur l'organisation même des papiers dès leur naissance dans les administrations, système qui inclut le préarchivage, mais qui en déborde les limites.

En résumé, le préarchivage est, pour nous archivistes, le plus sûr et le seul moyen de remplir pleinement et efficacement notre mission essentielle de pourvoyeurs de l'Histoire, et, pourquoi pas, d'animateurs et d'initiateurs de la recherche historique.

THE APPRAISAL OF CONTEMPORARY RECORDS

Report by Dr Åke KROMNOW¹

1. Introduction

The appraisal of modern records is one of the most important and sensitive problems of archival science. It has been the subject for numerous discussions in textbooks and archival and historical journals. Nevertheless the amount of literature devoted to the appraisal of records has not been in proportion to its significance. The cause for this seeming neglect can probably be traced to a variety of reasons. Difficulties in finding objective standards for appraisal, the inclination to approach problems from a practical rather than a theoretical standpoint and, naturally, limitations imposed by the archivists' own educational and scientific background have certainly played no little part.

The terminology used in the archival field, as we know, is widely varied. Even experts from different countries have difficulties in understanding the concepts and terms used by one another. Often organizational differences between countries lead to misinterpretations.

In this connection it should be stressed that the possibilities for finding acceptable standards for the appraisal of contemporary records depend upon each country's special governmental heritage and administrative routine. It is therefore difficult to draw general conclusions from the experience of any one country.

The original paper was based – as recommended by the organisers of the Congress – on the following:

a) Subject literature which, because of the difficulties of language, is comprised mainly by the works of English, French, German and Scandinavian authors. Among the remaining literature is a work deserving special consideration: F. I. Dolgih's *The relations between State and Administrative Archives* (7th International Congress on Archives)^{1a}.

b) Twenty-six replies to the questionnaire "Enquiry regarding destruction, conditions and problems", which the Swedish National Archives sent to the National Archives or corresponding institutions of some 60 countries in June 1975. The questions were formulated by Claes Gränström, PhD and Jan Lindroth, PhD, archivists at the Swedish National Archives. The replies were reviewed and worked up by Lindroth and the results were used in the preparation of this paper^{1b}.

The references which are made to conditions in certain countries are based on the replies to the questionnaire unless stated otherwise.

1. Abridged version of the preliminary report distributed to members before the Congress. In order to keep within the limits of this volume, four chapters in the original report have been condensed into a very short chapter: "The Organization of Appraisal and Destruction". A chapter concerning appraisal and microfilm has been omitted. Finally, most of the examples taken from the different countries have been left out.

1a. In *Archivum*, Vol. XXIV (1974), p. 33–57.

1b. To a great extent the material and opinions used in this paper come from the works of Sweden's foremost expert on the appraisal and destruction of public records Nils Nilssons's *Arkivkunskap*, Lund 1973, and his *Arkiven och informationssamhället*, Lund 1976, chapter: Arkivgallring på 1700-talet.

2. The reason for records appraisal. The enormous flood of records and its economic consequences

The prominent position of the subject, "The Appraisal of Contemporary Records", on the program of the Congress is a natural outcome of the gigantic growth of archive material during this century. Modern society is dependent on research and information more than ever. So much information is needed, produced and consumed, especially in developed countries, that the concept "information explosion" has become a concret reality, not only for the information scientist and librarian, but even for the archivist. This flood of documents is being helped to expand by the use of modern reproduction techniques, among other things. One report can exist in scores of examples in an agency or business. In some cases archive production has expanded and taken on nearly industrial proportions. This mass production problem has, with good reason, become a dilemma of central interest to the archivist.

It has been speculated that the growth of paper archives can be diminished by the use of new and less space consuming information media: microfilm, magnetic tape etc. This may be the case of certain agencies and authorities with large archives². On the other hand, this trend is simultaneously being obstructed by the extremely quick and comprehensive print-outs by which the computer reports its results. The information media themselves have helped to bring about the great rise in the amount of information. The new information media have not decreased the need for records appraisal, on the contrary, they have increased it. We are still a long way from "the paper free society". The computer and electronic information media have made appraisal even more complicated. No Government can or will spend the money necessary to retain all of this mass of information. In time the paper flood must be tamed and channeled by well planned and rational disposition and destruction programs.

What has been previously mentioned can now be illustrated by the use of some figures. Sweden and Finland, for instance, calculate the yearly storage costs for one linear meter of conventional archive material to be a little more than \$ 5. As the archives of state authorities in Sweden grow by about 40 000 linear meters a year, it would cost the Government about \$ 200 000 a year to store all of the material. At times these costs could even be higher. The replies to our questionnaire from some other countries gave similar indications of cost developments.

In addition to the profitability of the disposal of records, one notices the indiscutable advantage of releasing manpower and premises to be used for other purposes. Special stress should be placed on the indirect gains which appraisal and destruction win by enabling the establishment of better systems for accession; useless and hindering information is destroyed. Regarding magnetic tapes, they can be used several times. Poland has also pointed out the savings that sometimes could be made by re-cycling eliminated records and documents.

Naturally it is not very pleasant for an archivist, as Meyer H. Fishbein says, "to weigh on the same scale costs and cultural benefits"³. Nevertheless, both archivists and researchers must face realities. As a rule, each archival authority's goal must be to reduce the cost of retaining information to a reasonable level by well planned and executed appraisal and destruction system. Preservation costs substantial sums of money and demands large investments on the part of archival authorities⁴.

3. The organization of appraisal and destruction

The great majority of countries give appraisal and destruction practices a central position within the total operations of the archival system. Archival authorities often feel strong

2. Nilsson, *Arkivgallring*, p. 58.

3. Meyer H. Fishbein, A Viewpoint on the Appraisal of National Records. *The American Archivist*, 1970: 2, p. 186.

4. See L. E. Davis' interesting study: *Preservation of Machine-Readable Records*, 1969, USA.

Government pressure to intensify destruction for reasons of the financial gains that it brings to the State. Seen within this context, it is surprising that many countries allocate a relatively small percentage of the personnel of the archival authorities to appraisal and destruction operations.

The largest number of the countries which replied to the questionnaire have issued general appraisal and destruction regulations mainly encompassing routine series, as well as special instructions for certain authorities. The replies to the questionnaire show that instructions or plans (schedules), describing what is to be destroyed at an authority or number of authorities, is a usual instrument in appraisal and destruction operations. They are variously called "disposal lists", "tableaux de tri" (tri = triage) and "Kassationspläne".

Yet most countries seem to have regulations governing the type of records which shall be retained, especially regarding personal and "policy files". Some countries, such as Holland and Sweden, are guided by the main principle that all official documents shall be retained unless the law yields the possibility of destruction⁵. Archival officials in these countries feel that only in this manner can the destruction of valuable official material be avoided before it can be treated in the archival system. On the other hand, the above mentioned principle brings with it a risk that the material which is eligible for destruction may be retained for a longer period than is necessary.

4. Destruction when replaceable material exists ("substitution")

Formerly destruction was often limited to material which could be replaced or substituted from elsewhere. At that time records disposal was thought to be injurious and that the substitute material should be as complete as possible. Copies, duplicates and excerpts could be destroyed without further ado. Soon, however, subjective judgments were being made. How complete must the substitute material be? Could daily and weekly reports be eliminated if summarized monthly reports existed? Could receipts be destroyed if detailed account books were retained? This method is still of current interest. Yet there is always the risk that concrete details are lost and that the subjective evaluation of the substitute material becomes much too time bound⁶. If the discardable material and that which can be substituted for it is not held by the same generating authority, then it is important that the archival authorities maintain control over the archives so as to insure that the mistake of destroying both material does not occur.

It sometimes is ill advised, however, to eliminate records even though substitute material exists. This might be the case of copies, excerpts, etc., placed in dossiers where disposal could bring about a great reduction in the information value of the material. It can be practical, moreover, to retain copies of outgoing letters, partly in chronologically ordered series, and partly in subject ordered series. Keeping records in duplicate series, as is often the case, can be motivated for reasons of accessibility and security.

The substitution method is advantageous because the archivist has little need to judge the research value of the material or is the researcher compelled to work with material which has been abridged.

5. The appraisal of unique material. General

Already at an early stage the need to weed out material has forced the archivist to do the one thing that he seeks to avoid: to destroy records which are *irreplaceable*. In such cases subjective judgments are decisive. At the outset, it was perhaps enough to limit evaluations to so-called *routine records*, for example, records dealing with the purchase of materials or the maintenance of machinery or equipment. These records can be characterized as con-

5. Of course this does not mean routine paper material which is undoubtedly meant to be used for a short period of time: copies, etc.

6. See, *inter alia*: *Grundsätze der Wertermittlung für die Aufbewahrung und Kassation von Schriftgut der sozialistischen Epoche in der DDR* (1st. ed., Potsdam 1977).

taining information which reflects individual variations in a well known pattern (Nilsson). A large amount of space can be saved by weeding out such records. The decision to eliminate such material is easily made for routine records often have little durability.

The great archive problem of today is that records, containing a great deal more significantly unique information, must be disposed of. A qualified appraisal of the present and future research value of archive material is necessary.

The whole structure of science is undergoing a change as new sciences, methods and questions emerge. At an earlier time, material thought to be expendable, because of lack of demand or the belief that its contents were too unmanageable, is now actively sought out by quantitative economic and social historians. Mass data is now of special interest and it can be utilized with the aid of the computer. As is often the case, our judgment is influenced by the times in which we live.

It appears to be impossible for even the most knowledgeable and experienced archivist, historian, official or politician to foresee what kind of material will be needed for future research⁷. It is a risky method, as is done in certain countries, to select one or more parts of a material to be saved as "historically valuable". Yet this type of selection is common in regards to records dealing with "famous individual" or precedential legal decisions.

In this discussion of the problems of appraisal, two main lines of development can be distinguished: a strong belief in experience-based judgment of the archivist, and a desire to find more objective criteria for appraisal and destruction⁸. Among those Europeans who are especially critical of the older generation's belief in the intuition of the scholarly archivist – his "Fingerspitzengefühl" – is Professor Hans Booms of Koblenz⁹. He desires the introduction of an objective appraisal theory. As is often the case, both lines of development contain a great deal of truth. The archivist's knowledge and experience of the nature of historical questions is invaluable for appraisal. Yet this know-how is not enough in the long run. The awareness of his own limitations, must cause him to seek out more objective standards for the appraisal of records. A certain amount of subjectivity, however, can not be avoided.

Unfortunately the length of this paper leaves no place for an account of the discussion, found especially in German literature, of the possibilities for the attainment of an objective appraisal ideology. Representatives of the socialist countries contend that the issue of appraisal can only be solved on dialectical and historical materialistic grounds¹⁰. The position of the records-generating agency in the development of society, and its place in the administrative hierarchy, has great significance for the appraisal of archives¹¹. The system has made it possible for most socialist countries to establish definite groups of institutions, the records of which are subject or not subject to transfer for State custody. It seems that it is mainly the archives of the leading central authorities which are preserved.

German literature has discussed the possibility of judging the value of archives on the grounds of their use or structure¹². These theories, however, do not seem to have received general acceptance. Another interesting attempt at attaining independence from speculative and ideological standpoints has been made by Hans Booms¹³. He recommends that – after fundamental study – records should be preserved which are judged to be valuable by the standards which were contemporary to the origin of the material. One inherent difficulty with this method is that certain phenomena, such as the effects of environmental

problems, are noticed at a later time or even after the passage of a long period of time (Nilsson).

Several countries, Belgium, Canada, Great Britain, Poland, Hungary and the United States among others, give in their replies examples of the type of criteria they use when appraising records. Great Britain's "A Guide for Departmental Record Officers" contains 13 "guidelines for selection of records for permanent preservation", Canada called attention to its pamphlet "Records Scheduling and disposal", wherein the kind of evaluating standards were listed as administrative, legal, fiscal and "information data value", the latter including records of historical interest. In the United States, the General Records Schedules authorize disposal after the lapse of specified periods of time, of records common to several or all Federal agencies and they provide comprehensive disposition plans for the records they describe. On the other hand, these General Records Schedules also specify certain types of records common to several or all Federal agencies which should be *retained* by the agencies which created them and offered to the National Archives. These schedules are supplemented by records retention plans governing selective retention of records with continuing value for specific agencies. Each plan outlines the types of records which should be preserved. The agency is then required to identify specific files which should be offered to the National Archives. The National Archives state that they no longer initiate records retention plans, but completed plans are still in use. It is, however, promulgating a general schedule for permanent records.

Poland has named the following criteria: a) the general character and social position of the generating agency, b) the continuity and independence of the documents when related to other records, c) the documents' degree of repetition within the administration, d) "historical and regional criteria", e) the outward appearance of the documents, f) condition of preservation. Regarding point a) only between 1 and 2% of the 10,000 or so records-generating agencies produce material of permanent value. Usually, the records of fundamental authorities are only of interest when they originate in regions with historical traditions, great economic significance and the like. Experts in the Soviet Union use similar criteria for the appraisal of records. F. I. Dolgih gives, in his above mentioned congress report, which can be referred to for more detail, the following basic criteria for determining the value of records in the Soviet Union: a) role and importance of the institution in question, b) place of the institution within the state system, c) importance of the functions discharged by the institution, d) independent or subordinate role of the institution, e) importance of an event (phenomenon, subject) in the preparation, holding or investigation of which the institution had taken part.

In this connection, the Federal Republic of Germany announced certain basic doubts about schematically laid rules. Yet it is preparing a catalogue of general regulations to be used in its personnel and local administration and the like (the so-called "fachneutrale Aufgaben"). The Danish reply to the questionnaire noted that such records as personal files, containing information of legal significance (birth, death, marriage, inheritance etc.) ought to be retained.

It seems to be relatively easy to establish a system of criteria for selection, which is derived from the State's political, administrative and judicial functions and its organs of contact with its citizens (personal records, legal records etc.). On the other hand, destruction of the detailed information contained in these records about social, economic, medical and other conditions – the type of material very much needed for modern research – is more difficult to do. It is reasonable to ask whether it is possible to develop a system of criteria for the selection of destructible records, one covering all appraisal problems and laying the foundation for practical solutions. It is manifestly evident, however, that each practical case of appraisal can not be solved by the automatic implementation of a fixed scheme. Moreover, such schematic systems become far too general and sweeping. Therefore, it is often necessary that they should be complemented with more detailed plans, suited to the special character of the archive. The use of such schematic method in Sweden is usually avoided. Therefore, the author lacks the experience of working with them. Instead we have

7. Compare with Thornton W. Mitchell, New Viewpoints on Establishing Permanent Values of State Archives, *The American Archivist*, 1970: 2, p. 166 ff.

8. Nilsson, *Arkivgallring*, p. 66.

9. Hans Booms, Gesellschaftsordnung und Überlieferungsbildung, Zur Problematik archivarischer Quellenbewertung, *Archivalische Zeitschrift*, 68, 1972.

10. See, among others, *Grundsätze der Wertermittlung*, Potsdam, 1965.

11. Dolgih, *op. cit.*, p. 35.

12. Compare with Nilsson, *Arkivgallring*, p. 68 ff.

13. Compare with the above cited paper (see note 8).

been employing various other techniques for selection such as type, statistical and geographical sampling.

It is hardly necessary here to point out that not only the information's content, but even its *character* and *form* must be examined. Are the subjects treated in the material of such a nature that they can be the objects of scientific inquiry?¹⁴ Will the material yield itself to scientific methods? Is the material of such reliability that strong conclusions can be made? Is the material extensive enough to make general conclusions? Can it be compared with similar material from other periods of time? And, does it originate from a time when comparative material exists? Another important question is whether the material contains enough relevant information in relation to its size that its retention is reasonable. Hundreds of shelf meters of material can not be preserved if it contains only a small amount of interesting data. Here, however, the dangers of making subjective judgments are great.

6. *The preservation of sample years, records, archives, etc.*

From a technical point of view the easiest form of appraisal implies that all archive material is destroyed immediately or after the lapse of a designed period of time. Often, however, the retention of part of the material is desirable. The spared material can be useful in illustrating office routines, types of errands and so forth. It can also be a question of using the information-content of the material in selective sampling or employing it with relevancy to a certain chosen time, region, group etc. Belgium's reply to the questionnaire pointed out (doubtlessly the opinion of many other countries) that the selection of samples for permanent preservation is the prerequisite for the elimination of the bulk of the material.

It is inevitable that hazardous problems arise when deciding on just which samples to retain. To which end shall the selected samples serve? Which method for sampling best satisfies this purpose? In this and the following of this paper a number of different methods for the selection of samples will be briefly presented. One internationally fixed and accepted method for sampling does not exist. Either the purpose of sampling or its technical aspects could have been treated in this paper. For my purpose, however, the second alternative was chosen. It goes without saying that neither the classifications nor terminology used herein make any claim to being definitive.

Often certain *sample years* are exempt from destruction for example, every tenth year if records are arranged by year¹⁵. Regarding series of individual records or dossiers, every tenth or hundredth is kept as a *sample record* or *sample dossier*. Naturally, records with other physical positions can be retained instead. In Yugoslavia five examples are usually chosen for preservation. In the Soviet Union sample records are often exempted from material which is normally destructible.

It is usual that *sample series* or *sample archives* are kept by one or more authorities chosen from many others with the same functions (regional and local agencies), which destroy corresponding material¹⁶.

At times, the only motivation for exempting a record or series of records from destruction is that their retention gives a picture of the generating authority's administrative routine (USA: procedural samples) or that it helps to illuminate the internal structure of the archive. In series of correspondence or in alphabetically-ordered dossier series, it is possible to select material coming, for example, under the letter A from a certain area or district (USA: categorical samples).

The selection of every tenth year is a primitive but effective method. It is necessary, however, that the authority's functions are not strongly bound to cyclical influences¹⁷. If this method is used in times when momentous events occur, such as, during war, crises, Gov-

ernment changes, reorganizations, etc., then it can cause great damage. Regarding financial material, it is not enough to retain records for only 1935 or 1945, for example. It is often reasonable to make exceptions to the ten year method and keep all of the material for certain periods (for example, during both world wars). The choice of sample years can naturally, as pointed out by Norway, be combined with other methods (for example, regional selection).

7. *The Turnus Method*

This is an often used system of rotation which follows a predesignated plan ("turnus"), by which sample records or archives for different years are kept by agencies with the same functions (regional and local authorities). The records for 1950 are held by agency A, 1951 by agency B, 1952 by agency C and so on. The agencies which remain can dispose of the corresponding material. The system can be refined through the use of statistical methods. It has, however, received the criticism of certain researchers because it does not yield a full possibility for comparing the records of different years, nor does it give a cross section of the whole country when the agencies in question are placed in different areas. Neither should the time intervals be too great.

8. *Regional sampling*

Sample archives and series from different parts of a country can be preserved. Consideration, however, must be given to the differences in population intensity, the degree and structure of industrialization, etc. Whole archives can be retained in special areas (sample areas), while the corresponding material is eliminated in others. The inherent value of this method lies in the fact that it allows the researcher to make a total case study which can clarify in detail the interaction between people and their surroundings. Ethnologists and cultural geographers, among others, in this way can acquire access to the much sought after "individual data", which is usually eliminated. On the other hand, this method has been criticized by certain representatives of the social sciences. They desire the comparison of different regions and are perhaps more satisfied with the sample year method which yields the opportunity for making comparisons on a national scale¹⁸. The selection of a sample area must be made after a careful study of the *character* of the area (urban, rural, contrasting districts, cultural differences, fertility, industry, regional balance, etc.). There is always the risk, however, that the special character of the selected area may change with the passage of time and become a less attractive object for research. If this happens its selection must be reconsidered. Moreover, if the sample area is too small, then only its permanent population can be studied. Selection of an area with a differentiated settlement, industry and culture is the wisest alternative.

The *nature* of the archive material is of great importance in the choice of a sample area. One must consider the size and quality of the archives, their retrospective research possibilities, the cartographic material contained in them and even material available in surrounding areas, so that mobility, etc. can be investigated. The choice of a sample area can also depend on what type of material is at hand. In this way, the need to preserve, for example, social dossiers as well as hospital journals, can dictate the choice of sample area.

Of course, all archive material can not be preserved in the sample area. The question of just which material is to be retained and which is to be eliminated can be a difficult problem. Utilization of the regional sampling method, however, when applied to mass series samples, in spite of many inherent problems, is well worth trying.

9. *Statistical random samples*

Space does not allow a discussion of the question of definition surrounding the concept statistical appraisal. The type of sampling meant by the heading, even called probability

14. Nilsson, *Arkivkunskap*, p. 115; Dolgih, *op. cit.*, p. 35 ff.

15. Besides the replies to the questionnaire, the author has used Jan Lindroth, *Gallring med statistiska urval. RA-nytt*, 1975: 2, Stockholm.

16. Lindroth, *op. cit.*, p. 10.

17. Compare Nilsson, *Arkivgallring*, p. 71, and Lindroth, *op. cit.*, p. 11.

18. Nilsson, *ibid.*, p. 74 ff.

sampling, clearly falls under the term statistical appraisal and constitutes a highly advanced theoretical form of it. In principle, the random factor implies that every archival unit (record, dossier, etc.) can be included in the sample which is to be retained. Naturally, the information to be found in the material can not fully conform to the material as a whole. Yet it comes close to doing so. The value of the sample, as seen in the light of the included variables (type of information), can come very close to the value of the material as a whole. Furthermore, one of the outstanding qualities of the method is that the degree of the inherent uncertainty of sampling can be measured. In this way, sampling can be adapted to the different levels of certainty and precision which are desired by researchers. If the demand for quality is relatively low, then the method's flexibility allows it to adapt itself thereafter. The size of the sample is calculated with, for instance, the aid of fixed tables which give the amount of preserved material in the percent and absolute numbers (amount of records, dossiers, etc.) of the total material. Moreover, stratification of the material before selection allows for special aspects and variables which are in danger of being inadequately illuminated.

Appraisal using statistical random sampling is a method which calls for archive material of a special nature. It must be of great quantity, have a high degree of completeness and it must contain many similar archival units ordered in a consistent, discernible and continual way. The practical realization of the method demands considerable expertise.

For these reasons, it follows that the method can only be applied to a few kinds of archive material and, then, only after detailed preliminary investigation. Rather great expectations have been placed on the method from some quarters. Judging from experience (including the replies to the questionnaires), however, the method has been of little practical use. Theoretically, it appears to be very convincing and it is based on high objective grounds. The percentage of retention in favorable instances is held very low. Nevertheless, the high demands placed the material and its preparation, along with the method's sensitivity for mistakes, limit its use.

10. Combined methods of appraisal. Ethical destruction

It is apparent from what has already been said that it is difficult to find appraisal methods which can satisfy the various demands of research. Often these difficulties can, however, be overcome by using combinations of different methods. Sometimes it is reasonable to exempt certain areas from sampling (see above p. 11) and to be content with the use of sample years, etc. (for example, every tenth year) in other parts of the country.

In a number of countries including Great Britain, the Federal Republic of Germany, Finland and Sweden, a discussion about the desirability of destroying sensitive personal information for the protection of individual integrity is in progress. This type of material can contain information about the illnesses, failures, criminal acts, etc., of private individuals. In this connection, it is feared that computerized personal data registers might encroach upon the integrity of the individual. To some extent, ethical destruction is done in Canada, Poland (criminal registers at the end of the period of limitation), Sweden and the United States (in cases where research value is questionable). Yet most countries try to avoid such destruction by applying more or less rigorous secrecy laws.

Because of its inherent nature, ethical destruction is not a part of archival science; it is more often of a purely political character. It is very important, however, that archivists become aware of what is happening and make sure that over-ambitious destruction does not occur at the expense of objective research.

11. Appraisal and destruction of machine-readable records

In the previous section little consideration was paid to machine-readable records. It seems to be an unanimous opinion that, in principle, these types of records should be subjected to the same regulations which govern conventional material. In the United States, records are defined as "all documentary materials, regardless of physical form or charac-

teristics". In practice, however, a certain amount of special treatment for machine-readable records seems to be unavoidable. The information retained by a magnetic type is not completely comparable with that held by conventional records.

In certain countries, such as Belgium, Denmark and France, the question is under consideration. The British, who regard magnetic tape and the like as being governed by the same regulations as conventional material, are now following the routines described in an unpublished pamphlet: "The selection and preparation for transfer of Machine-readable records: a provisional guide". The disposal schedules issued in the United States are also applied to magnetic tapes. The Swedish Government has issued statutes which include special regulations for the destruction of the information which is stored by electromagnetic techniques.

It has often been pointed out that research, and especially research carried out in the social sciences, is in great need of "raw data", which is mechanically readable. Even if substitute conventional records or computer printouts exist, this material ought to be retained. In this way researchers have material which can be immediately processed.

Unfortunately, material for automatic data processing is not very durable. Punched cards and paper tapes are usually not at all durable. Neither are instant access memories useful as archival medias. Presently only magnetic tapes are objects for archival retention. The life-span of magnetic tape depends on a number of factors – physical quality, handling and care. At best, its span of life is usually not longer than between 10 and 20 years. Many computer centers, however, copy their material after a relatively short period of time (1/2 to 2 years). Because of technical developments (new types of computers, etc.), tapes often need to be converted. Although the nature of magnetic tape is such that it makes a poor archival medium, it must be preserved until other methods for the storage of information are developed. If the process of producing data microfilm can be done in reverse – when COM can be optically re-read by the computer (a significant and current obstruction is the low processing speed) – then a better archival media, microfilm, can replace magnetic tapes. The development of laser techniques can mean, not only greater density, but better durability. Moreover, magnetic tape is already on the way to being partially replaced by so-called mass storage memories. Yet in spite of this, magnetic tape will remain an archival problem for a long time to come. Perhaps it can be of interest to briefly outline the Swedish instructions for the destruction of this type of material. (Swedish regulations indicate only *disposable* material; the remainder is kept).

Machine-readable information concerning the current control and accounting relating to personnel, supplies, purchases or funds of the administration shall be destroyed if the following two conditions are met:

1. the information is available at the agency in question in conventional form. (If this is not the case machine-readable records may be destroyed only with the permission of the National Archives);
2. the processed material has served its purpose and is no longer needed for the agency's operation or auditing.

Information which is preserved in machine-readable form and has been compiled from other information shall be destroyed if the original machine-readable record is intact. Destruction shall occur when the time limit ends.

Information which is preserved in machine-readable form and which is a program, technical description or other comparable documentation, and is needed to derive and comprehend other material shall be destroyed if the following two conditions are met:

1. the information which can be derived or understood through the use of the program, technical description or other documentation is eliminated;
2. the program, the technical description or documentation is not needed for other purposes than to derive or comprehend the eliminated material.

In addition to the afore said, machine-readable information containing errors shall be destroyed when the information has been corrected and is no longer needed for auditing or the protection of individual rights.

In addition to these general regulations, the Swedish National Archives issues instructions to be followed by separate authorities.

12. Results and Control

F. I. Dolgih presented an interesting survey of the effect of destruction in his report to the 1972 Congress. The figures which he put forward can be complemented by the ones that were given in the replies to the questionnaire. They are as follows: Great Britain retains an estimated 1–2% of her records; DDR, USSR, USA 1–4%; Canada and France 5–10%; Austria, India, and the Netherlands 10–20%; Finland, Sweden, Switzerland and Ghana 20–30%; Bulgaria and Australia 30–40%; Norway 40–60%; Rumania 50–70%; and Luxemburg 98%.

A distinct difference between the figures for certain countries, in 1972 and 1975, illustrates the difficulties of calculating them in a similar manner. Naturally, it is interesting to study how different countries estimate the effects of destruction. Judging by the figures, the effects are often surprisingly large.

Returning to machine-readable records for a moment, it would appear that the destruction effect is very large throughout. In Sweden, it is calculated that only about 5% of all magnetic tapes are preserved.

PROCEEDINGS OF THE SESSION PROCÈS-VERBAL DE LA SÉANCE

PANELISTS' CONTRIBUTIONS/EXPOSÉS

Mr. Ionel GAL¹ (Rumania): *The experience of prearchivage in the socialist Republic of Romania.*

In the short time given to present our viewpoint, we wish to emphasize some aspects regarding the improvement of the prearchivage activity in Romania as a result of a 150-year experience, and to display some of the results obtained by us, which were, at the same time, mentioned in Mr. Duboscq's report.

We would like to stress that the improvements in the archival activity are closely linked with the great post-war achievements in our country, with the development at a rapid pace of the entire social-economic life, of science and culture. As a result of the constant progress in all the fields of activity a new legislation on Archives was passed, which not only preserved what was valuable in the past but also adopted new regulations with a view of perfecting the whole system of organizing and carrying out the archival activity. An essential moment in the evaluation of the Romanian Archives was marked by the 1971 Act that set up the *National Archival Fond*. The 1971 Act enlarged the functions of the General Direction of State Archives and made clear the obligations of the agencies and natural persons creating and preserving records.

According to the new Act, the State Archives organizes and controls the whole activity of keeping, preserving, processing and accessioning of records, thus achieving a centralized management of the whole process based on unique rules that are compulsory both for its own branches and for the other archival agencies.

A special chapter in the new Act is dedicated to the activity of appraisal, including precise procedures regarding the full life-cycle of records. This activity is based on special *finding aids*, *masterlists* and *lists of preservation time*, that are used to organize, arrange, describe, appraise and preserve records. The accumulation of documents is indexed in folders by topic and by date fixed in the masterlists and lists of preservation time. The finding aids are compiled by the central agencies in each field of activity and they are approved by the State Archives. The records appraisal is made within each agency by an appraisal commission, which approves the preservation or disposition of records, observing their scientific importance and practical efficiency. Worthless materials are described in a disposal list proposed by the agency management to the State Archives to be checked and approved. The archivists go to the archival agencies whose repositories are, as a matter of fact, intermediate records storage areas, to appraise the value of the records and to approve the disposal list. That is, the State Archives reviews the decision by its *Central Appraisal Commission* and by its branches, which analyse the disposal lists, and takes the final decision on permanently valuable materials.

The aforesaid system involves in this activity a large number of appraisal commissions, as well as of experts from many archival agencies whose role is to appraise records value.

As a consequence of the above mentioned measures, the effectiveness of the appraisal

1. Director General of State Archives, Bucuresti.

process has increased, thus resulting in a quicker scientific retrieval. Due to the management of the whole appraisal process, the documentary basis of the State Archives is continually enriched by new records accessioning for permanent retention; at the same time, new and important repository areas are being created by the destruction of less valuable records.

As part of the improvement of archival activity we will study the possibility of perfecting the appraisal process, assuming new forms and more efficient means for prolonging the life-cycle of records for their preservation and for their good scientific utilization.

To conclude, we would like to emphasize the appropriate conditions in which these international debates on problems of such major interest for all the national archives all over the world are held. Therefore we suggest that the International Council of Archives again place the problem of records appraisal on its agenda, as this activity is of prime importance for the Archives of the future.

Mr. Ian MACLEAN¹ (Australia): *Préarchivage – a case for the positive approach by archives institutions.*

I am most grateful to the organizers of this 8th Congress of the International Council on Archives, not only for enabling me to be present in such a significant year in American history, but also for making it possible for me, as panelist, to study well in advance the three most stimulating invited papers by Guy Duboscq, Artel Ricks and Åke Kromnow. The combination of the three, taken in conjunction with my thirty-old years of experience, much of it in respect of préarchivage² and most of it in the employ of archives institutions of the federal and two largest state governments in Australia, have encouraged me to attempt to present a case for positive involvement by archivists in "préarchivage".

As I picture it, préarchivage and archivage are two segments of one comprehensive records administration system divisible into five major phases that, though they can be separately distinguished, cannot be safely or efficiently conducted in isolation. They are – (i) paper work control; (ii) systematic current record-keeping; (iii) disposition; (iv) record-centre operations; and (v) archives administration. Irrespective of formal patterns of organization, some forms of which are described and quantified in Artel Ricks's paper, or specialisms within phases, I see records managers as having prime responsibility, but considering archival requirements in respect of (i) and (ii), sharing responsibility with archivists in respect of (iii) and (iv), and in a position to affect, at least indirectly, (v). Archivists have similar responsibilities in reverse.

I believe most strongly that each phase should contribute constructively to efficiency within the next. Most of us accept readily that sound paper-work 'birth-control' (or perhaps better 'pre-natal care') contributes significantly to efficient record systems; but it is not always remembered that truly efficient record systems have disposal procedures built in; and whereas one would reasonably suppose that efficient disposal sentencing beforehand was essential for efficient record-centre operations (and results) one also knows of rather negative record-centre policies that permit transfer before the eventual disposition fate is known; and my firm proposition at this Congress is that in any major institution a significant number of archivists should play a positive rather than a neutral or negative role in the earlier phases of préarchivage and particularly the record-centre phase to ensure that as much preparatory work for efficient public archives service as possible is achieved during record-centre processing. Judging from Guy Duboscq's paper, I imagine that our Swiss colleagues, at least, will support this attitude; and with the, to me alarming, revelations by Åke Komrow of the rapidly increasing threat to future archival efficiency posed by modern machine systems that depend on what he calls 'mass memory', I suggest that archives institutions will find it no longer merely desirable but essential to start active involvement as early as possible in the life-cycle of their potential archives.

1. Principal Archivist, Archives Office of New South Wales.

2. Reference: my article in the October 1959 issue of *American Archivist*, pp. 387–418.

As far as the disposition phase is concerned I see the records managers as developing the programme aspects, including the drafting of disposition schedules, with the archivists appraising the more substantive series or classes that are unique to a particular creating agency.

As far as the use of the 'record-centre' stage to prepare substantively for the archives stage is concerned, I believe, in company with it seems a small but growing percentage of the profession, that with the approach conceived and announced by Peter Scott of the Australian Archives in 1966¹, we have a practical means whereby the one basic control system can be used efficiently for both record-centre and archives phases. With this approach, a series can be given, once and for all and even before it leaves the creating agency concerned, a series registration number, irrespective of any past history of changed, or future prospect of changing, provenance – a series number which will remain with it till, value permitting, it becomes part of the national, state (or whatever) archives. This in turn means that archivally significant description can begin without delay. It can be at a minimal level at the accessioning point for all series. Thereafter, at the optimum time, series earmarked as potential archives can receive basic additional processing up to, say, the level required for an entry in a published concise guide or summary inventory and which would permit effective use of agency – prepared finding aids if any. Still later, as close as practical after the point at which the series (or part thereof) becomes available to the public, such detailed processing (whether by 'inventory of items', 'descriptive list' or 'indexing') can be undertaken as public demand may suggest and resources permit. From the general efficiency point of view, double processing is avoided; broadly the same repository staff handle the series (with increasing familiarity) at the various stages; and above all, essential information is recorded at the optimum time but once and once only. Yet provenance, even in face of increasingly rapid changes in structure and functions of organizations, whether governmental (or non-governmental), can be adequately respected and accurately illustrated, by appropriate attribution of series to each and every contributing agency, in both internal and published finding aids.

Mr. A. G. MITUKOV¹ (URSS): *La gestion des documents comme fonction des Archives.*

Le problème de la liaison entre les Archives d'Etat et le records management dans les administrations, largement étudié au cours du 7^e Congrès des Archives, est un des problèmes les plus actuels.

La fonction des Archives, en ce qui concerne la gestion des documents, est, d'après M. Duboscq, la politique de l'intervention des archivistes dans le processus de la création des documents. Pourtant il existe une grande différence quant au degré de la participation des archivistes à la gestion des documents des administrations. Dans certains pays, tels que les USA, les Archives nationales assurent le contrôle du programme de records management du gouvernement fédéral; pour la réalisation de cette tâche ont été créées des institutions spéciales et notamment l'*Office of Records Management* et l'*Office of Federal Records Centers* (problème examiné en détail dans l'intervention de M. Ricks). En URSS les services d'archives effectuent le contrôle systématique de l'état de la gestion des documents et des archives administratives, les résultats de ces inspections servant de base aux propositions visant au perfectionnement de l'organisation du traitement des documents. En revanche beaucoup d'autres pays sont encore au stade de la discussion des possibilités d'intervention des archivistes pour ces problèmes.

Il semble que le Conseil international des Archives doive étudier d'une façon plus concrète l'influence exercée par les Archives nationales sur le processus de la gestion des papiers dans les administrations publiques. La création du Comité du Records Management dans le Conseil international des Archives pourrait contribuer efficacement à cet ob-

1. *American Archivist*, vol. 29 No. 4, Oct. 1966, pp. 493–504.

1. Directeur général des Archives près le Conseil des Ministres de la RSS d'Ukraine, Kiev.

jectif. Le développement de la gestion des documents en tant que fonction des Archives, ainsi que la généralisation de cette expérience, nous obligent à tenir compte d'une circonstance très importante. La conclusion de M. Duboscq prouve que les «dépôts de préarchivage» et les «records centers» existants ou en état de création dans certains pays sont pour nous, archivistes, «le plus sûr et le seul moyen de remplir pleinement et efficacement notre mission essentielle» sans tenir compte de l'expérience des autres pays en ce qui concerne la solution de ce problème.

M. Kromnow a bien noté que le problème du préarchivage avait été parfaitement exposé dans le rapport de M. Dolgih au 7^e Congrès international des Archives (Moscou, 1972). Le point de vue de M. Dolgih, qui estime qu'il faut trouver une solution d'ensemble à tout le complexe des problèmes de la gestion des documents depuis leur production dans les administrations jusqu'à leur versement aux Archives¹, est partagé par tous les archivistes soviétiques.

Les institutions d'archives de notre pays ont le droit d'effectuer le contrôle du *records management* des administrations publiques en vertu du décret «Sur la réorganisation et la centralisation des Archives» signé par V. I. Lénine en 1918.

Ce contrôle s'étend à tout ce qui concerne la gestion des documents depuis leur création jusqu'à leur transfert aux archives et notamment au recensement, au classement et à l'indexation des documents, à l'établissement des nomenclatures, à la formation des dossiers, à l'élaboration des instruments de recherche et à la conservation des documents.

Les archivistes soviétiques lient d'une manière étroite la surveillance sur la partie documentaire de la gestion des documents aux problèmes de l'accroissement des archives d'Etat par des sources documentaires. Nous sommes persuadés qu'il faut procéder à l'évaluation préliminaire des documents, directement au stade de l'expédition des affaires et par conséquent au moment de la formation des dossiers, puisque ce processus est inévitablement lié au classement et au groupement des documents en fonction de leur contenu, de leur importance et des délais de conservation. Ainsi il s'agit de ramener le centre de gravité du tri au domaine de la gestion des documents.

La liaison entre l'organisation de la gestion des documents et le fonctionnement des archives est actuellement la tendance dominante dans le développement de l'archivéconomie soviétique, sa suprême manifestation étant la création de la «gestion unifiée des documents», dont la mise en application est réalisée avec succès par les administrations sous la surveillance méthodique des archivistes soviétiques.

En conclusion, je tiens à souligner que l'organisation de la partie documentaire de la gestion des documents est le processus même de la création du fonds d'archives. La gestion des documents englobant les opérations relatives à la documentation de l'information et au traitement scientifique et technique des documents est, en définitive, une fonction d'archives. Ce fait justifie l'intérêt et la participation active des Archives au perfectionnement de la gestion des documents dans les administrations.

Mr. Alpo SALMELA² (Finland): *Records management as an archival function, records centers, and the appraisal of modern records.*

I suppose we all agree with the reporters on the fact that good records management is an efficient tool for administration, and that we archivists, for this reason and also for the survival of our profession, must concentrate our efforts upon better record keeping in offices. We also agree with Mr. Ricks in that the full life cycle of records must be under control.

But when we take into consideration that the need for information and the ways in which it is gathered and preserved vary highly among different agencies, we – at least archivists in Finland – are wondering whether a central archives office is sufficiently competent to act as

supervisor in the problems relating directly to office efficiency, for instance, in forms and directives management, word processing, or office equipment. Certainly we have to master efficiency aspects in our own work, but at least for the time being, we are not suited or willing to provide us with the general supervision functions in this field. It is, in fact, very difficult to draw the limits of our duties in records management. We must keep to general guidelines in matters chiefly concerning office procedures and come closer to details in our specific field, for instance, when we prepare or check programs for records arrangement and disposal.

The most exciting topic of our theme today seems to be that of *records centers*. M. Duboscq in his report is wondering how Sweden can manage without intermediate storage, while Mr. Kromnow wants to know the reasons why, for example, Belgium and Switzerland have recently adopted this repository system.

In Finland some branches of administration have their own records centers. In exceptional cases, e.g., in connection with discontinued agencies, public archives have taken the role of an intermediate repository or have placed some storage space at the disposal of certain agencies. But centers under the leadership of the central archival administration do not exist in Finland. We have been rather sceptical about them until now. We have been afraid that, should we give government agencies the possibility to get rid of their records by transferring them to a records center, they would fail to arrange them, and the troublesome task of appraisal would also pass over to the archives. Therefore we, like our colleagues in other Scandinavian countries, have concentrated our main efforts on making the agencies aware of their duties in record keeping, that is to see that their records are properly organized and inventoried, and useless papers weeded out before they are transferred to public archives. A new archives law is being prepared along these lines, and the courses we hold for records officers and clerks aim at the same goal.

After this principal task, records centers follow as a secondary matter. It is evident that records centers in suburban areas can be built and managed at lower costs than ordinary archives in the center of cities. Therefore, if neither the originating agencies nor the public archives have sufficient premises for their permanent records, a big records center can be a good solution.

When we in Finland summed up the total amount of records in the government agencies and compared it to the total capacity of the public archives and to the prospects of getting new archives building, we began to think that a records center, attached to a provincial archives, might be a solution also for us in the near future. We have calculated that the building costs of a good records center, excluding land area, but including shelving and other equipment, would be about 40% of the cost of an ordinary archives building.

An alternative to records centers is to transfer historical archives from the crowded metropolitan areas to suburbs and to provide them with adequate storage area, so that they can manage center functions as well, if needed. This has been done in Sweden and is being done in Norway as regards the National Archives of the respective countries. In Finland we are planning to transfer one provincial archives eight kilometers from the city and to place it on a university campus, where the archives will be close to history students. Placing the archives at the outskirts of medium-sized cities should not be too inconvenient for researchers when we bear in mind the transport facilities of our time.

Finally, we agree with Mr. Ricks in that a records center, in addition to its limbo character, could form a part of an active archives institution which would also serve the regional needs of research and education.

Concerning *appraisal* I want only to stress several points: 1) It is the duty of archives to keep in contact with research in order to anticipate its future needs. But in addition to this, we must try to find such objective criteria for appraisal which will ensure that researchers always have adequate material, regardless of the themes of their study. This is a difficult, almost an impossible task, but we must try to do it, because others might do it worse than we would.

2) It is evident that the preservation percentage is higher with the archives of decision-

1. F. I. Dolgih. La liaison entre les Archives d'Etat et les archives administratives. *Archivum*, XXIV, 1974, p. 33–57.

2. Councillor of Archives, Division Head, Valtionarkisto, Helsinki.

making authorities than with those of the lower level. But we need the archives of local government as well in order to study objectively the effects of these decisions, and to find out how people have actually lived.

3) The statistical random sampling system should be applied especially when handling mass documentary material on the local level. As regards personal files, the suitable basis for selections will be the number indicating the birthday of the respective person.

4) Useless and transitory records must not be kept mixed with those that have permanent value. Whenever possible, these should be, from the beginning, kept in the separate units, or at least they should be marked with special signs in order to facilitate their separation. This requirement will add some complexity to the filing systems, but will, at the time of destruction, save money and manpower.

INTERVENTIONS

Dr. Rudolf ENGELHARDT¹ (Deutsche Demokratische Republik): *Bewertung von Registraturgut der Gegenwart.*

In der DDR wird unter Bewertung die wissenschaftliche Untersuchung des Registraturgutes mit dem Ziel verstanden, seinen gesellschaftlichen Wert zur Auswahl des Archivgutes zu ermitteln. Ihr Ausgangspunkt ist die Einschätzung der im Registraturgut dokumentierten Tatsachen auf der Grundlage des Marxismus-Leninismus, wie sie in den Dokumenten der Partei der Arbeiterklasse, den Analysen staatlicher Organe und in Forschungsergebnissen der Gesellschaftswissenschaften (besonders der Geschichte) zum Ausdruck kommen. Infolge der revolutionären Veränderungen der gesellschaftlichen Verhältnisse und der damit verbundenen Beseitigung der Erkenntnisstrahlen gesellschaftlicher Erscheinungen kann sich die Bewertung auf objektive Grundlagen stützen. Die objektive Bedeutung der Tatsachen bildet das wichtigste Bewertungskriterium. Es wird durch die Aussagekraft des Dokuments als Widerspiegelung der Tatsachen ergänzt. Die Aussagekraft hängt ab von der Funktion des Registraturbildners, ihrer Stellung im Staatsaufbau und den sich daraus ergebenden Informationsbeziehungen sowie von der Funktion des Einzelschriftstückes im Informationsprozeß. Aus der Untersuchung der Registraturbildnerfunktion erfolgt im ersten Bewertungsschritt ihre Eingruppierung in 3 Kategorien, wobei die Kategorie 1 grundsätzlich zur Abgabe des Schriftgutes an die Archive verpflichtet ist und von den anderen Kategorien nur eine repräsentative Auswahl des Schriftgutes an die Endarchive abgegeben wird. Im 2. Schritt der Bewertung wird neben dem inhaltlichen Betreff die Funktion der Dokumente auf der Grundlage von Archivgutverzeichnissen und Schriftgutlisten zur Bestimmung der Archivwürdigkeit genutzt. Diese Konzeption der Bewertung wurde in der DDR in den 60er Jahren unter Nutzung der Erfahrungen der sowjetischen Archive ausgearbeitet und in einer Reihe von Beiträgen, die vornehmlich in den „Archivmitteilungen“ erschienen sind, theoretisch begründet.

Prof. Dr. Karl-Heinz HAHN² (Deutsche Demokratische Republik): *Der Wandel des Öffentlichkeitsbegriffs in unserer Gesellschaft – eine Herausforderung des modernen Archivars.*

Die Bewertung amtlicher Dokumente hinsichtlich ihres historischen Überlieferungswertes ist die eine Seite. Sollen die Archive jedoch dem Anspruch gerecht wer-

1. Direktor, Staatsarchiv Magdeburg

2. Direktor des Goethe- und Schiller-Archivs, Weimar

den, Erfahrungsspeicher der jeweiligen Völker und Staaten zu sein, so dürfen wir Archive auch der Frage nach den Wandlungen in dem traditionellen Zuständigkeits- und Einzugsbereich unserer Archive nicht ausweichen. Vorstellung und Realität dessen, was wir heute als „Öffentlichkeit“ begreifen, haben sich während der letzten Jahrzehnte gewandelt. Genau genommen reicht dieser Bereich des „Öffentlichen“ heute weit über die Sphäre der staatlichen Administration hinaus; er – und damit das Leben der Menschen – wird bestimmt und reguliert durch eine Vielzahl von in Kooperation oder auch unabhängig voneinander agierenden staatlichen Institutionen sowie Vereinigungen und Ämtern privatrechtlichen Charakters. Beschränkung auf die dokumentarische Überlieferung der staatlichen Administration bedeutet daher von vornherein Verzicht auf weite dokumentarische Bereiche des gesellschaftlichen Lebens und Beschränkung auf einen Spezialbereich des Gesamtkomplexes. Dies zu erkennen und u.U. zur Gründung staatlicher Spezialarchive, die durch die gemeinsame Aufgabe verbunden sind, den ganzen Bereich archivalischer Dokumentation der gesellschaftlichen Öffentlichkeit zu erfassen und zu betreuen, anzuregen, erscheint mir als eine dringende Aufgabe der Staatsarchive in der ganzen Welt zu sein.

Dr. Jules E. L. STRUICK¹ (The Netherlands): *New trends in records appraisal in the Netherlands.*

During the last few years new developments as to the destruction of archival documents took place in the Netherlands, which involve substituting a systematic method for the former pragmatic procedure. As a result of a symposium of the Society of Archivists, a committee has stated as underlying principles: 1. Objectives should be greater accessibility, reduction of costs and improved efficiency; 2. Increasing the value of the remaining archival documents as juridical or historical proofs or sources for the administration or the public was another aim.

Destruction should not lead to falsifying history or the obliteration of proof because of prejudiced selection. There should be no intermediate storage; destruction should take place as soon as possible by the administration itself, though following the advice of the corresponding archive authority.

The new method implied the drawing up of lists of those groups of archival documents that could be destroyed after a stated lapse of time. Though legally there is no obligation to destroy archival documents, a growing practice is that the listed archival documents must be destroyed.

Mr. Mladen KOSTOV² (Bulgaria): *The organization of the archival system in Bulgaria.*

The State Archives of the People's Republic of Bulgaria and their subdivisions were set up by Decree 515 of the Presidium of the National Assembly on 1st October, 1951. According to this decree all documents of political, scientific and practical significance are the property of the State.

The approval of the overall conception for the development of archives came in 1972. Work on the guidelines for the development of archives began with the endorsement in 1974 by the National Assembly of the People's Republic of Bulgaria of a State Archives Fund Act. The new act provides the definition of the term State Archives Fund and enumerates the sources supplying documents for State and departmental archives.

The Central Office of Archives under the Council of Ministers has been entrusted with the carrying out of the State policy on archives, methodological consultations and control over all channels of archival documents. Under the direct guidance of the Central Office of Archives are the three Central Archives in Sofia: the Central State Historical Archives,

1. City Archivist, Utrecht.

2. Director, Central Department of Archives to the Council of Ministers of the People's Republic of Bulgaria, Sofia.

Central State Archives of the P. R. of Bulgaria and Central State Technical Archives. Each regional centre has its State archives.

Following the setting up of the State Archives Fund of the P. R. of Bulgaria, the State Archives directed their efforts towards the organizing of institution registrars of organizations with a view to carry out principles of expertise and the scientific and technical processing of archival documents in the course of the preparation of the documentation.

The Government in April 1973 entrusted respective institutions with the task of working out a Unified State System of Registrars and Accountancy.

This system comprises all institutions and organizations at all levels. The introduction of the system began early this year and is being carried out in stages.

An important condition for the successful functioning of the system is the setting up of a Unified System of Managerial Documentation approved by Directive No 59 of the Council of Ministers of 15 February, 1975.

Sr. Federico UDINA MARTORELL¹ (España): *La finalidad de los depósitos intermedios.*

Si todo archivo constituye un granero para la Historia, con mayor razón -diría yo- lo son esos archivos que, en español, denominamos archivos centrales o regionales de la Administración, o que podrían denominarse también archivos o depósitos intermedios. Creo que el término francés «préarchivage» y sobre todo el inglés de «purgatorio» es muy afortunado (más éste que el de «limbo», que lo considero equivocado, puesto que esta palabra denota una situación estática y la de los archivos intermedios es de paso).

El concepto ha quedado muy bien definido por nuestro querido colega francés, el competente archivero y que ha sido hasta ahora Director General de los Archivos franceses, M. Duboscq.

Realmente antes de comenzar a existir estos términos de «préarchivage» o depósitos intermedios, su finalidad la cumplían algunos archivos históricos, que ante el temor de que la administración pudiese perder los archivos de sus oficinas, los recogían o mejor aun los acogían en sus cámaras de seguridad o en sus estanterías. Este ha sido el caso, por ejemplo, de los archivos españoles de Madrid (Archivo Histórico Nacional), de Barcelona (Archivo de la Corona de Aragón), o de Valencia (Archivo del Reino de Valencia).

En España podemos afirmar que el primer caso de este tipo de depósito intermedio se dio en la década de los sesenta, con el Depósito regional de Cervera, a 100 Km. de Barcelona, y clarísimamente en gran escala, a 30 Km. de Madrid, con el enorme depósito de Alcalá de Henares (que contiene 220 km. de estanterías). Posteriormente, en 1972, se promulgó la Ley de Defensa del Tesoro Documental, que ha representado un primer paso de una Ley general de Archivos y ha previsto la recogida de esta documentación de la Administración ya en el referido gran depósito de Alcalá, ya en otros.

Yo querría plantear en esta asamblea de archiveros de todo el mundo y ante las conclusiones que han presentado mis colegas sobre el tema, un aspecto que creo sería interesante ahondar en él: la dependencia de estos depósitos intermedios y la jurisdicción que sobre ellos debe tener el Archivo Histórico de carácter nacional o regional. Creo que los archivos intermedios y los generales -nacionales o regionales (sobre todo teniendo en cuenta la organización archivística española, nada centralista)- deben tener una estrecha relación y una única dependencia jurisdiccional, es decir, una sola dirección.

Y esto me parece muy claro si se tiene en cuenta, como decía al principio y con ello termino, que esas semillas de los archivos intermedios - esos graneros - muy pronto - el tiempo corre hoy a gran velocidad, una generación es en la actualidad cinco años - serán frutos sazonados para la Historia y vendrán a continuar en muchos casos las mismas series que poseen los grandes archivos históricos, ya nacionales, ya regionales.

1. Comisario Nacional de Archivos, Madrid.

Dr. Helmut DAHM¹ (Bundesrepublik Deutschland): *Die Vorarchivierung ohne eigentliches Zwischenarchiv.*

M. Duboscq weist in seinem außerordentlich klaren und instruktiven Bericht über die *Vorarchivierung* darauf hin, daß die angestrebten Ziele manchmal auch ohne die Existenz eines eigentlichen Zwischenarchivs erreicht werden können. Gestatten Sie mir eine Ergänzung.

Jede Archivverwaltung benötigt eine organisierte Vorarchivierung. In Ländern mit weniger als 10 Mio Einwohnern oder solchen mit 10-30 Mio, die über ein dichtes Netz von Archiven verfügen, wird jedoch die Menge des an einer Stelle konzentrierten Zwischenarchivgutes überschaubar bleiben. Gerade in diesen Ländern sind die Finanzbehörden meist schwer zu überzeugen, daß Archivneubauten ein Mehrfaches an Reserveraum erfordern. Ich empfehle deshalb, in die Raumplanung des Archivs den zuständigen Teil des Zwischenarchivs einzubeziehen.

Die Aufbewahrung des Archivgutes und des Zwischenarchivgutes in einem einzigen, ausreichend großen Gebäude dient

- 1) der Rationalisierung des Personaleinsatzes und somit der Wirtschaftlichkeit,
- 2) der rechtzeitigen fachlichen Bewertung und Auslese des Archivgutes als Gemeinschaftsarbeit des Personals des Zwischenarchivs und der Historischen Abteilung in archivarischer Verantwortung gegenüber den Geschichtsquellen.

Dieses System hat sich in meinem Lande bereits in der Praxis bewährt.

Mrs. Zakiah H. Nor² (Malaysia): *Public Archives and Public Records in Malaysia*

I would like to make some minor comments on the paper of Mr. Duboscq in respect to conditions in Malaysia. In terms of definition, we make a distinction between public archives and public records. In this respect public records management is the responsibility of that division of the Malaysian National Archives called the Records Service which operates the Records Service Centre, a purpose-built intermediate records repository which was constructed and began operations in 1966. This was also the year of the enactment of the Malaysian National Archives Act, which gives our National Archives the authority over federal and state records in the country.

The Records Service Centre acts as a filter and those records which are determined as having historical, national or permanent values are eventually transferred to the Archives Division and later when they reach archival stage are accessible to researchers.

The planning of the Malaysian National Archives building on which M. Duchein gave valuable advice has been completed and the construction of the building is expected soon.

In the Malaysian context, we have found that the responsibility over records and archives of federal and state authorities in the hands of the National Archives is well placed as the quality of archival holdings depends on the proper inflow of records to the Records Centre.

Dr. Vojtech SYKORA³ (Czechoslovakia): *The appraisal of modern records in Czechoslovakia.*

Appraisal of current documents in Czechoslovakia is made through a process of judging their permanent documentary value, most often in the form of procedures for disposal taking place in institutions. Such procedures are systematic and in accordance with legislative norms prepared, issued or at least approved by the Administration of Archives or the archives concerned. The basic criteria for such judgments, as embodied in relevant norms, primarily in Ordinance No. 117 of 1974, are the following: date of origin, contents, source agent and form of documents.

The application of the above criteria to documents is reflected in disposal symbols clas-

1. Leitender Ministerialrat, Staatliche Archivverwaltung Nordrhein-Westfalen, Düsseldorf.
2. Deputy Director General, National Archives of Malaysia, Petaling Jaya.
3. Director of the Administration of Archives, Praha.

sifying all documents into groups of archival materials and documents without permanent documentary value. Appraisal of documents is usually made after a lapse of a certain period of time, a disposal term. Disposal symbols and terms of individual types and kinds of documents are fixed in regulations concerning disposal applicable to individual institutions.

Since there are no "intermediate repositories" of the classical type in Czechoslovakia, archives may, for reasons of time or technical pressure, take in documents that have not been properly appraised. Appraisal is then made in the course of professional processing of documents in archives themselves, and another basic criterion for judgement is added, namely the aspect of mutual comparison of documents. Important as well is the time that has elapsed since the date of origin of document – the longer the time, the better the appraisal.

Mrs. Nilza SOARES¹ (Brasil): *The need for a National Archives System in Brasil.*

Up to now, Government Departments in Brasil decide about the disposal of their own records at their discretion. Most of the departments organize temporary committees to reduce the volume of their own centralized records («petit dépôt»). Usually they don't know anything about archival administration, and the first thing they think about is to use microfilming.

The archivists have stressed their point of view that records should be analysed in cooperation with people from where they originate, but under the orientation of the archivist.

The great difficulty we see is the lack of a strong archival authority. We have been fighting for an National Archival System for about twenty years. We still do not have a real definition of the authority of the National Archives over all federal records.

My point is that since the National Archives is under the Ministry of Justice, it is not in an ideal position to have authority over other departments. In fact, up to now the Ministry of Justice has not assumed the responsibility for the records of other departments. I would suggest following the American model, since we have an agency similar to the General Services Administration. I would like to see this Congress adopt a proposition about the archival authority for the various levels of government, i.e. federal, state and local. Every country is supposed to recognize that records, after they have served their current purpose and original interest, should pass to the responsibility of the archival authority, which has the last say about their destination. No country can embark on archival development without a special records and archival law.

Fortunately in the field of judicial archives the archivists have an excellent opportunity. A working group with the participation of the Director of the National Archives, judicial and cultural authorities, and the Society of Archivists, represented by me, is preparing a bill on the disposal of judicial records that is to be submitted to Congress as soon as possible.

The bill we are working on gives responsibility for final records disposal to the archival authorities and we shall propose records centers for judicial records. We aim at the application of uniform disposal criteria on a national scale.

We expect that the final criteria of appraisal will be widely published, discussed and eventually formulated.

Mr. Ashot ARUTUNIAN² (USSR): *Archivists alone cannot decide the rules of selection for all categories of archives*

The various countries select for permanent preservation from 1,5% to 80% of all documentation under consideration. This means that the approach to this selection is not yet unified, and this problem is still a subject for further investigation. Mr. Kromnow has stressed in his report the importance of the participation of archivists in the evaluation of

documents for preservation. My feeling is that we should not overestimate the competence of archival specialists in various branches of knowledge. Only specialists in these branches of knowledge have the necessary competence in the related field, and they should closely cooperate in this activity. I should like also to note that the problems of selection of old newspapers and journals for preservation are usually not considered, although these materials play an important role in our intellectual life. There was established four years ago in the Armenian Soviet Socialist Republic the Central State Archives in which we preserve materials of the Armenian press, beginning in 1794. The fact that documentation in this new archive is very often used by researchers has confirmed that the establishment of this archive was justified.

In the reports devoted to the problems of expertise there were given clear recommendations concerning the problem of which documents should be preserved and which destroyed.

The progress of our society is based on the intellectual heritage which was accumulated in previous times, and we should take care to preserve the documents which are important for us for the future.

Sr. Ricardo BALBAS AGUADO¹ (España): *La revolución pre-archivística en los archivos de empresas.*

Si el Estado por su mayor antigüedad histórica tiene por tal razón mejor organizados sus archivos, las empresas comerciales ya van cumpliendo años y una de ellas, a la que represento como archivero en este Congreso, ya ha sobrepasado el medio siglo de antigüedad. Por lo tanto, sus archivos deben atender en su organización a principios científicos de archivonomía si es que queremos poseer almacenados en su memoria, datos e informes que nos sean útiles al poderlos localizar rápidamente para obtener una decisión válida. El archivo en mi Compañía lo tenemos organizado como un sistema que abarca a toda la Compañía extendida por diversos países del mundo.

Viene a ser y responde a la idea de un sistema fluvial, en el que las distintas secretarías de despacho son los manantiales que originan o reciben los primeros datos en la Empresa. De ellas pasan, a los dos años, a los archivos intermedios de depósito de la gran unidad administrativa donde aquellas se encuentran encuadradas donde permanecen otros dos años, transcurridos los cuales pasan al archivo general de depósito. Aquí permanecen un año, transcurrido el cual se destruyen los que tengan aspecto comercial y no pasen a constituir documentos de carácter histórico.

Tenemos establecido un sistema de referencia e indización, con un código general para toda la Compañía que sirve para identificar a que departamento pertenece la correspondencia de entrada – contestación a otra previamente cursada. También disponemos de un catálogo de impresos facsimil para localizar y expurgar copias y dejar solamente el original. Un Reglamento de actuación permite unificar criterios. El nuevo y moderno edificio de archivo general, localizado cerca de Madrid, ha supuesto una inversión del equivalente a \$ 1,230,000 y comprende un almacenaje de 3.500 M3 de estanterías deslizantes y autoformables; y zona anexa de oficinas, reprografía con microfilm y futuro C.O.M.

Prof. Dr. Botho BRACHMANN² (Deutsche Demokratische Republik): *Ausbildung eines „Records Management“ Systems auf Sozialistischer Grundlage.*

Es hieße die heutige Beratung zweifellos überfordern, wenn Perfektionismus der Lösungsvarianten erwartet wird. Trotzdem läßt sich aus meiner Sicht auf der Grundlage von Erfahrungen in der Deutschen Demokratischen Republik, worin sowjetische und die Erfahrungen anderer sozialistischer Staaten integriert worden sind, die Schlußfolgerung ziehen, daß die Schaffung eines einheitlichen Systems auf dem Gebiet der „Records Man-

1. Directora da Coordenação de Arquivos, Câmara dos Deputados, Brasília.

2. Director, National Archives of the Armenian Soviet Socialist Republic, Erevan.

1. Jefe del Servicio Archivo General, Iberia (Lineas Aereas de España), Madrid.

2. Humboldt-Universität zu Berlin, Bereich Archivwissenschaft der Sektion Geschichte, Berlin.

agement“ einschließlich moderner Kommunikationsmittel allmählich inhaltlich und organisatorisch auf der Grundlage der sozialistischen gesellschaftlichen Verhältnisse möglich ist.

Ich bin der Auffassung, daß der Ansatz zur Veränderung in erster Linie in der Ausbildung und Weiterbildung der Archivare und der „records manager“ liegen muß. Das heißt, eine tiefgreifende Wandlung im Berufsbild des Archivars anerkennen, das Abgehen von einer passiven Erwartungshaltung zur aktiven Beeinflussung, um das Tempo der Veränderung im Vorfeld zu beschleunigen.

Wir bedürfen dabei der Unterstützung und des Verständnisses seitens unserer Nachbar-disziplinen, besonders der historischen Wissenschaften. Darüber hinaus ist aber in gleicher Weise wichtig, daß seitens der Leitungen, Direktoren aber auch der Mitarbeiter in den Staats- und Wirtschaftsorganen der Weitblick und das Entgegenkommen gezeigt wird, um einen angemessenen Fortschritt zu erzielen.

Mr. Mircho DIMITROV¹ (Bulgaria): *The need for a more thorough research on archival problems.*

We agree with the estimations and formulations made in the general report concerning the activity of the International Council on Archives.

We support the proposals made concerning the future work, but at the same time, we suggest that the tendencies referring to the activity and the development of ICA for the following four years should be better worked out.

We also agree with the statement in the report, that the collaboration with UNESCO is the basis of the whole activity of the International Archival Council.

Bearing this in mind, we think that the proposals made in this direction are not sufficient.

A more thorough and long-term programme for collaboration with UNESCO should be worked out.

In connection with the future tendencies in the activity of the International Council on Archives and its organizations, we would like to draw your attention to the problem of scientific studies in the field of archival matters.

We consider the scientific research work on archival problems to be insufficient. We suggest that in the following years, a more thorough research programme be carried out in the sphere of archival problems. In this respect, questions needing a careful study should be outlined and a concrete plan for work should be set. We support the proposals concerning the changes in the statutes of the ICA.

M. Jean FAVIER² (France): *Trois problèmes spécifiques de l'archivistique contemporaine.*

Je présenterai trois remarques:

1°) L'histoire ne s'écrit plus à l'aide des seuls documents illustres. Or les documents modestes, utiles à l'histoire de notre temps, sont de ceux que les administrateurs risquent de juger inutiles. Il convient donc de limiter les éliminations préalables. Quant à l'échantillonnage nécessaire pour conserver ces documents, qui ne tirent leur importance que de leur caractère répétitif, il pose des problèmes financiers qui rendent plus efficaces que jamais la concentration et la centralisation.

2°) Deux notions se développent depuis quelques années, qui vont bouleverser les perspectives du préarchivage: la transparence croissante de l'administration, et les exigences des spécialistes d'histoire contemporaine. Il n'est plus possible d'opposer préarchivage de documents non encore consultables par le public et archivage «historique». L'idée que la consultation soit impossible au stade du préarchivage est une idée destinée à disparaître.

3°) Pour les documents lisibles par machine, il ne suffit pas de les archiver après le temps

1. Deputy Director, Central Department of Archives to the Council of Ministers of the People's Republic of Bulgaria, Sofia.

2. Directeur général des Archives de France, Paris.

de leur utilité administrative; le problème de leur auto-destruction, de leur dégradation matérielle n'est pas le principal. Avant tout, il faut songer que le document informatique évolue chaque jour par mutation automatique due à l'introduction de nouvelles données; il en résulte que le document archivé en fin d'utilisation ne rend absolument pas compte des étapes successives. C'est une fin d'évolution. L'archiviste, pour rendre à l'histoire les services qu'on attend de lui, devra donc intervenir pendant le fonctionnement, donc pendant l'évolution. Tôt ou tard, en cette matière, il faudra créer l'archive et non plus se contenter de la recevoir.

M. René LACOUR¹ (France): *Le préarchivage aux Archives départementales du Rhône.*

Après l'intéressant rapport de M. Duboscq, je voudrais parler d'une expérience plus modeste faite dans une moins grande ville que Paris, Lyon. Cette expérience toutefois est antérieure à celle de Paris.

A Lyon, la Préfecture et les Archives départementales sont très distantes l'une de l'autre. Aussi, jusqu'en 1961, les versements étaient-ils très irréguliers. Pour régulariser ces versements, un secrétaire général eut l'idée de créer à la Préfecture un dépôt de préarchivage. Grâce à l'intervention de M. Duboscq, ce dépôt resta sous le contrôle des Archives et fut placé sous l'autorité d'un documentaliste-archiviste. Ce documentaliste est en liaison constante avec les directeurs de services et les chefs de bureaux de la Préfecture, et ceux-ci envoient au dépôt de préarchivage les dossiers qui ne sont plus d'utilité courante, mais dont ils peuvent avoir besoin occasionnellement. Le documentaliste conserve ces dossiers pendant un certain temps et leur affecte une cote réglementaire d'archives. Au bout d'un certain temps, quand ces dossiers ne sont plus d'aucune utilité pour la Préfecture, le documentaliste fait un tri: les dossiers inutiles sont détruits, les autres envoyés aux Archives départementales.

Le seul défaut du système, c'est que le dépôt de préarchivage n'a pas été prévu assez grand. Le documentaliste est donc obligé d'envoyer les dossiers aux Archives départementales au bout de 5 ans, de sorte que les Archives reçoivent des dossiers non ouverts à la recherche historique. Néanmoins, ce système de préarchivage rend de grands services. Les préfets et les secrétaires généraux ont passé, le premier documentaliste organisateur a pris sa retraite, le dépôt de préarchivage demeure. Il a donc subi un test convaincant de son utilité et de sa viabilité.

M. Charles-Henri LERCH² (France): *Le préarchivage aux Archives départementales de Seine-et-Marne.*

Je voudrais apporter quelques compléments d'information sur le préarchivage à l'échelon d'un département. Le préarchivage est encore peu développé en France, mais existe cependant dans quelques départements.

Il existe notamment en Seine-et-Marne, où nous disposons d'un dépôt central d'Archives départementales (19 km de documents à conserver) et de deux dépôts de préarchivage indépendants, près des services (un à la Cité administrative, créé en 1973, 5 km de documents; un à la nouvelle Préfecture, ouvert le 1er septembre 1976, 7 km de documents). Ces deux dépôts de préarchivage sont gérés par le directeur des services d'archives du département en vertu d'un arrêté préfectoral.

Il faut insister sur l'aspect psychologique du problème. Il y a une approche psychologique des services administratifs, comme des archives privées ou semi-publiques (ce qui est valable aussi pour les archives privées ou les archives des officiers ministériels, notaires par exemple). Lorsque les services sont intéressés, ont confiance (respect du secret professionnel pour certains documents), ont compris les services que peuvent leur rendre les Ar-

1. Conservateur en chef honoraire des Archives de la Région Rhône-Alpes, Lyon.

2. Directeur des services d'archives du département de Seine-et-Marne, Melun.

chives, alors d'eux-mêmes ils versent leurs papiers, au fur et à mesure que les affaires ou les dossiers sont clos; nous stockons des archives très récentes, à la Préfecture notamment.

En ce qui concerne l'aspect financier de la question, les deux dépôts de préarchivage de Seine-et-Marne ont été entièrement construits aux frais des administrations utilisatrices et bénéficiaires. L'entretien des locaux est également à leur charge. Le personnel est mis à la disposition de l'archiviste par la Cité administrative et par le département; seul le personnel d'encadrement est nommé et rémunéré sur les crédits de la Direction des Archives de France.

Mr. Hugh PAYNE¹ (Guyana): *Differences in cultural and administrative systems should be taken in consideration for records management policies.*

The conclusions reached in the various papers present a clear picture of the difference in the levels and direction of the component parts of our international society.

To be brief, what is suggested is that it is only natural that the USA, noted for its technological advancement, should support a "life-cycle" concept in its records management programme, for this is related to the phenomenal development of technologies for disseminating and duplicating documents. But, even if it is accepted that a total records management approach is supported by those developed countries which are most susceptible to the ill-effects of the "information explosion", it must be borne in mind that in many of the countries which support a strong records management policy, there is a two-tier system of administration involving a central or federal Government on one hand, and state or regional Governments on the other. In this context it is to be noted that it is at the Central Government level (using the example of the USA) that the records management policy has been most successful.

This point seems worthy of consideration in view of Mr. Kromnow's position that the agencies which generate records should not be involved in their appraisal. And it seems also necessary to point out that given the implied thoroughness of the total life-cycle system, it seems unlikely that a document similar to the Declaration of Independence displayed in the National Archives of the United States would survive.

In short it seems clear that a general position will have to take into account the levels of cultural direction and the complexities of the system in which records are created.

Mlle Perrine RAMIN² (France): *Les archivistes en mission dans les ministères et le préarchivage.*

Grâce au *records management*, les Archives nationales américaines maîtrisent désormais les deux problèmes de la création et de la conservation des archives contemporaines. Les conditions administratives et financières du succès d'un tel système étaient réunies aux États-Unis. Il n'en est pas de même dans tous les pays et beaucoup doivent se contenter de solutions pragmatiques.

Un problème particulièrement difficile se pose dans les pays qui, comme la France, ne disposent ni de bureaux d'ordre, ni de «registry», et dont les administrations ont des systèmes de classement décentralisés.

Dans ce cas, le problème de la conservation matérielle des archives est secondaire par rapport à celui que posent les opérations préalables de collecte, de tri et de classement. L'expérience prouve que c'est dans les ministères, à la source, que ces diverses opérations sont le plus facilement et le mieux réalisées.

Aussi, devant l'insuffisance des résultats obtenus par de simples inspections, la Direction des Archives de France a-t-elle implanté dans certains ministères des archivistes permanents qui ont la responsabilité des archives de l'administration qui les accueille et bénéficient de son aide matérielle, en personnel et en locaux.

Ces «missions des Archives nationales» sont les relais et les passages obligés entre les ministères et le grand dépôt intermédiaire de Fontainebleau.

Il m'a paru important d'insister sur le fait qu'en France, la centralisation matérielle des archives à Fontainebleau s'accompagne d'une décentralisation de la collecte, du tri et du classement, et que le dépôt intermédiaire de préarchivage a pour corollaire les structures complémentaires que sont les Missions des Archives nationales.

Ces Missions ne sont pas des démembrements, puisqu'elles continuent à dépendre des Archives nationales où sont réalisées l'unité de direction et la coordination nécessaires.

Mrs. Natalia VOLKOVA¹ (USSR): *Literature and Art Archives should not be forgotten in records management regulations.*

In the report of Mr. Kromnow almost nothing was mentioned about the evaluation of documents on the history of culture, in spite of the fact that archives – particularly in the Socialist countries – receive more and more of such documents. In our view the following measures could be useful in solving these problems:

1. The preparation of additional instructions and lists of objects which merit acceptance for permanent preservation. Corresponding criteria for documentation in the field of culture and art should not be the same as for administrative documentation.

2. Centralization of the storage of materials in central archives or intermediate centres of storage, mentioned by Mr. Duboscq, will permit elimination of many documents which fully or partially duplicate each other.

3. It will be useful to discuss with the wide circles of archivists as well as specialists in libraries, museums and other institutions some concrete questions and problems connected with the evaluation of materials in the fields of literature and art received for permanent storage. These specialists know very well the value of these materials and, – at the same time – the limitations of archival facilities.

According to recommendations of the Moscow Congress, the ICA Committee on Literature and Art Archives was created. It could include in its next agenda discussion of these subjects.

1. Archivist of Guyana, National Archives, Georgetown.

2. Conservateur aux Archives nationales, en mission au Ministère de l'Intérieur, Paris.

1. Director, Central Archives of Literature and Art, Moscow.

SECOND PLENARY SESSION DEUXIÈME SÉANCE PLÉNIÈRE DE TRAVAIL

Wednesday 29 September/mercredi 29 septembre, 10 h – 13 h.

THE TECHNOLOGICAL REVOLUTION LA RÉVOLUTION TECHNOLOGIQUE

Chairman/Président:

Dr. Richard KLUGE, Stellvertretender Direktor der Staatlichen Archivverwaltung der DDR, Potsdam (DDR).

Reporters/rapporteurs:

Dr. A. P. KURANTOV, Directeur du VNIIDAD, Moscou (URSS).

Dr. Lionel BELL, Public Record Office, London (United Kingdom).

Dra. Carmen CRESPO NOGUEIRA, Directora, Centro Nacional de Microfilm y Restauración de Libros y Documentos, Madrid (España).

Conclusion.

Mrs. Enrica ORMANNI (Italy).

PROGRÈS DANS LA SCIENCE ADMINISTRATIVE DES ARCHIVES

Rapport du Dr. A. P. KURANTOV¹

1. Introduction

L'existence d'un service spécialisé d'Archives d'Etat constitue le point de départ de l'administration des archives. Actuellement, le nombre de pays où de tels services ne sont pas encore créés se réduit progressivement au minimum.

Les possibilités d'une administration rationnelle des archives sont les plus grandes dans les pays où elle se fonde sur le concept d'un seul et unique fonds d'Etat; tel est le cas en Bulgarie, en Hongrie, en RDA, en Pologne, en Roumanie, en URSS et dans de nombreux autres pays.

En URSS, le décret du 1er juin 1918 présenté par le Soviet des Commissaires du Peuple et intitulé «Sur la réorganisation et la centralisation des archives», que signa V.I. Lénine, fondateur de l'Etat soviétique, fut l'acte d'importance révolutionnaire qui marqua le début de l'organisation socialiste des archives. Conformément à ce décret, tous les documents d'archives se trouvant sur le territoire de l'Etat devenaient propriété publique. Cette disposition aboutit à la formulation d'une nouvelle catégorie scientifique, le «Fonds d'Etat d'Archives». En même temps était instaurée la Direction générale des Archives, qui se chargeait de la gestion de ce Fonds. Une série de textes législatifs consolida par la suite l'application du décret de 1918, en particulier le «Statut du Fonds d'Etat d'Archives de l'URSS» de 1958, qui renforça les principes de l'administration et du stockage centralisés et resserra les liens entre les Archives d'Etat et les institutions chargées de produire les documents.

Les Archives d'Etat, par leurs fonctions et leurs statuts, ne sont pas seulement des dépôts d'archives mais également des établissements de recherche scientifique et, d'autre part, des organismes faisant partie de l'administration d'Etat. Les institutions qu'elles gèrent regroupent aussi les archives des ministères, des institutions, des entreprises et des organismes (appelées en général les «archives courantes»). L'intercommunication dans le fonctionnement de ces deux types d'archives qui ont des buts différents est le fruit de la continuité naturelle entre les trois étapes du flux de documents: le travail du bureau, les archives courantes et les Archives d'Etat².

Le but ultime des services d'archives est de fournir les informations rétrospectives nécessaires aux administrations publiques, à l'économie nationale, à la culture, à la science, aux particuliers et à la société en général.

Ce but final définit les cinq grandes fonctions des institutions archivistiques et des archives courantes: la collecte, l'organisation scientifique, la conservation, le classement et l'utilisation organisée des informations documentaires rétrospectives. La réalisation de ces

1. Texte abrégé de la version française du rapport préliminaire distribué aux congressistes avant le Congrès.

2. En français, la terminologie habituelle désigne respectivement ces trois «étapes» par les termes suivants: archives courantes (dans les bureaux), archives intermédiaires (dans les dépôts de préarchivage), archives historiques (dans les dépôts d'archives d'Etat). Néanmoins, pour respecter le texte qui nous a été remis par M. Kurantov, nous avons conservé sa terminologie propre (Note du rédacteur en chef).

fonctions prises dans leur ensemble et sous leurs formes diverses, constitue le concept de l'«administration du Fonds d'Archives d'Etat».

Trois formes fondamentales d'activité en résultent pour les Archives, correspondant à la classification générale des aspects et des types du travail scientifique: l'organisation, les recherches et l'information.

Ces trois aspects de l'administration des archives sont intimement liés les uns aux autres, chacun d'eux s'appuyant sur les deux autres. Malgré tout, chacun des trois aspects ci-dessus décrits est différent des autres et a son propre objet, ce qui nous permet de les envisager individuellement, dans le cadre de la science administrative des archives.

2. Organisation scientifique de l'administration des archives

Les problèmes liés à l'organisation scientifique de l'administration des archives englobent un vaste éventail de questions relatives à l'administration du personnel, à la planification du développement des archives et des sciences archivistiques, au règlement, à la coordination et à la comptabilité. Le travail scientifique réalisé dans ce sens est étroitement lié au thème de l'archivéconomie, discipline archivistique en cours d'évolution qui traite les problèmes de l'organisation du travail du personnel, de son efficacité, de la détermination des niveaux de recrutement dans les institutions d'archives, etc. L'analyse économique est appelée à couvrir toutes les variétés de travail archivistique visant à l'utilisation rationnelle des ressources matérielles et humaines et l'élévation constante du niveau de l'organisation du travail en matière archivistique afin de le rendre plus qualitatif et efficace.

La nécessité d'aborder de façon scientifique l'organisation et la division du travail archivistique en URSS a abouti à la création d'un «tableau de classification des catégories de travail effectué dans les archives d'Etat» qui facilite l'étude opérationnelle de ces travaux et sert de base pour établir les normes types des procédures de travail.

L'organisation scientifique du personnel se fonde sur l'existence d'un système uniforme des conditions de travail et exige une série de documents propres à assurer une répartition fonctionnelle du travail et une définition des structures des institutions d'archives et des compétences de chaque poste.

Les bases scientifiques de l'administration des archives exigent l'établissement de nouvelles normes de recrutement dans les archives d'Etat. Les archivistes soviétiques font des recherches sur ce problème, en utilisant des méthodes de statistique mathématique (méthode de la corrélation multiple). Ces normes permettent de fixer non seulement les niveaux de recrutement mais encore de déterminer le nombre d'archivistes requis pour faire un travail donné ainsi que pour améliorer les formes de contrôle à exercer sur le travail archivistique.

La planification et la comptabilité constituent un deuxième groupe de problèmes répondant à la conception de l'aspect administratif de la gestion des archives. Les institutions d'archives de l'URSS ont élaboré un système intégré de planification fondé sur les principes de la planification économique du pays.

A la base du système de planification se trouvent les plans quinquennaux de développement des archives du pays, reflétant les décisions des organes directeurs, les objectifs des plans économiques et les tâches en ce qui concerne le développement et le perfectionnement des archives.

Au cours du quinquennat qui vient de s'ouvrir (1976–1980), les institutions d'archives, conformément aux tâches générales énoncées par le XXVe Congrès du PCUS, prêtent une attention particulière à l'élévation du niveau scientifique, de la qualité et de l'efficacité de leurs travaux, aux conditions d'emménagement des documents, ainsi qu'à l'utilisation rationnelle des ressources matérielles, financières et humaines. Le plan quinquennal de développement des archives se compose de plusieurs sections définissant les tâches concrètes de divers travaux.

La planification des travaux de recherche scientifique du VNIIDAD¹ revêt la forme de

1. Vsesoiuznogo Naučno-Issledovatel'skogo Institut Dokumentovedenia i Arhivnogo Dela (Institut fédéral de recherche scientifique en sciences documentaires et archivistiques).

plans quinquennaux et annuels. D'autres plans sont aussi créés qui couvrent la coordination pour la solution des grands problèmes (à laquelle prennent part les autres institutions), le travail du Conseil académique et de ses sections et l'application des résultats des travaux achevés. Tous ces plans sont liés entre eux et constituent un seul système d'organisation et de planification pour la réglementation de l'évolution des recherches scientifiques.

Les prévisions de la croissance scientifique représentent un aspect important de la planification et de l'administration. Les archivistes soviétiques disposent d'un plan de prévision sur l'évolution des problèmes fondamentaux de la gestion des documents, de la science des archives et de l'archéographie jusqu'en 1990.

Ces dernières années, le problème de la coordination des recherches scientifiques a acquis une énorme importance. Ceci s'explique par le fait que les tâches scientifiques les plus actuelles sont complexes et exigent l'attention simultanée de plusieurs institutions de différents départements. Dans ce processus de coordination, un grand rôle revient à la Commission de la coordination des recherches scientifiques et des travaux méthodiques de la Direction générale des Archives d'Etat de l'URSS. Cette Commission révisé les plans de coordination des travaux de recherche du VNIIDAD et d'autres institutions d'archives, en établissant les contacts nécessaires avec les différentes institutions et l'Académie des Sciences de l'URSS. Elle contrôle le progrès des recherches effectuées sur des problèmes complexes et évalue le travail accompli. La coordination est à la charge du VNIIDAD, qui joue le rôle de l'institution-chef, élabore des documents de méthodologie et d'organisation à l'intention des organismes de coordination (cahiers des charges, programmes des recherches, plannings), organise les conférences avec leurs représentants, examine leur travail, etc. Ce sont des aspects complexes à coefficient de main-d'oeuvre élevé, mais dans les conditions actuelles ces aspects absorbent de plus en plus le temps des intéressés.

Les plans de mise en oeuvre des travaux achevés prévoient l'établissement des normes de la méthodologie à suivre pour l'application expérimentale, ainsi que la diffusion des résultats obtenus: exposés faits par des spécialistes, conférences, séminaires, préparation d'expositions et d'articles, etc.

Le système de comptabilité est complété par celui de planification. L'accomplissement de chaque recherche scientifique est accompagné d'une comptabilité indépendante dont la structure, l'ordre et la présentation sont réglementés par une norme d'Etat spéciale.

Ces derniers temps, dans les Archives d'Etat, on constate une tendance à la formation de groupes et de comités de recherche scientifique sur l'utilisation efficace de la main-d'oeuvre dans les institutions d'archives (Pologne, Croatie, Roumanie, Tchécoslovaquie). Les organisations scientifiques de ce genre étudient essentiellement les problèmes de l'organisation interne des archives, de l'aménagement et du groupement correct des fonds, de la standardisation des documents portant sur l'administration des archives.

3. Bases scientifiques de l'administration des archives

Chacune des orientations de la science archivistique et de la gestion des documents est liée d'une façon ou d'une autre à l'administration des archives. Le caractère de cette liaison est défini avant tout par le type des recherches scientifiques, dont toute la variété peut être réduite aux trois types essentiels: recherches théoriques ou fondamentales, recherches appliquées, recherches méthodiques. En URSS, cette classification est renforcée par les «Orientations de base de l'organisation des travaux scientifiques dans les institutions d'archives» (Moscou, 1975).

Les recherches théoriques ont pour but l'élaboration de théories scientifiques et l'acquisition de connaissances systématiques au sujet de problèmes scientifiques définis. Elles contribuent à l'évolution approfondie du travail de recherche.

Les recherches appliquées visent à l'utilisation des connaissances théoriques en vue de résoudre des problèmes pratiques déterminés.

Quant aux recherches méthodiques, elles sont le résultat de l'activité scientifique des archivistes, représentée par des manuels méthodologiques de caractère général et consultatif et par des textes normatifs strictement obligatoires.

a) *L'importance de la recherche en science archivistique sur l'administration des archives*

Parmi les exemples spécifiques de l'incidence qu'a la recherche en science archivistique sur l'administration des archives, il nous faut en premier lieu mentionner l'effet de ces recherches sur la fonction la plus importante des archives: la collecte et la sélection. Cette fonction s'appuie sur les recherches spéciales dans le domaine de la théorie et des méthodes de l'évaluation de la valeur des documents.

Ces problèmes attirent l'attention particulière des archivistes du monde entier. Dans de nombreux pays on organise des recherches et établit des méthodes pour concevoir un moyen économique de sélectionner et de préserver des documents d'une véritable valeur, à partir d'un flux sans cesse croissant de documents. On peut affirmer que c'est justement cette tendance des études qui a exercé une influence directe sur le processus d'administration des archives dans plusieurs pays.

La base des méthodes de l'évaluation des documents repose sur les concepts théoriques du rôle informatif des documents. Généralement, le rôle et l'importance d'une institution dans un système hiérarchique de gouvernement exerce une influence décisive sur le contenu et la valeur historique des documents. Ce principe a servi de base en URSS pour l'évaluation des documents en conformité avec la sélection préliminaire des institutions elles-mêmes. Cette sélection s'effectue d'après les «listes-échantillons» élaborées pour servir d'instruments de sélection d'institutions. Ces listes classent les institutions en groupes appropriés. Les listes d'institutions qui servent de documents normatifs exercent une influence directe sur l'administration du processus d'entrée des documents historiques aux archives.

La nécessité d'une sélection soignée des documents réservés à l'archivage – qui découle de l'accroissement constant des documents – a obligé les archivistes de plusieurs pays à formuler des critères de base d'évaluation. On constate une nette tendance à les formuler d'une façon plus approfondie et à s'attacher l'aide d'autres disciplines qui sont liées à la science archivistique. Des travaux de ce genre se rapportent à la catégorie des recherches appliquées dans la science archivistique et, grâce aux textes méthodologiques spécifiques, exercent une influence sur l'administration des archives.

La nécessité de réduire au minimum le volume des documents tout en maximisant leur contenu informatif a poussé les archivistes de plusieurs pays à étudier les phénomènes de l'absorption et de la reproduction des informations dans les systèmes documentaires contemporains. Des recherches en ce sens s'effectuent en Grande-Bretagne, en URSS, aux USA, en France, en Suède et dans d'autres pays.

En URSS, l'évaluation des documents est le travail du Comité d'experts des Archives d'Etat, des institutions, des organisations et des entreprises. De plus, les administrations d'archives des républiques fédérées et autonomes et les départements d'archives possèdent des comités d'expertise qui peuvent prendre des décisions quant à l'évaluation des documents. Ces comités constituent les maillons de la chaîne administrative qui exerce une influence directe sur la sélection des documents. L'autorité suprême, le Comité central d'inspection d'experts (TsEPK) de la Direction générale des Archives d'Etat de l'URSS, représente un centre d'organisation et de méthodologie qui dirige le travail méthodique, quant à l'évaluation des documents, à l'échelle du Service des Archives d'Etat; il dresse les listes de documents types et approuve les projets de listes de documents pour les différents départements.

Une preuve de coexistence des fonctions de recherche et d'administration au sein de ce comité est la participation des représentants du VNIIDAD aux études pertinentes. Non seulement les résultats des recherches scientifiques exercent une influence sur les formes d'organisation et le contenu de la pratique, mais encore ils sont eux-mêmes influencés par les organes administratifs qui, en versant leurs documents aux Archives d'Etat, définissent en même temps l'orientation et l'intensité de ces recherches. Le TsEPK représente donc un mécanisme administratif pour la réglementation de l'interaction entre la théorie et la pratique dans l'accroissement des archives.

Signalons de même l'incidence des recherches contemporaines dans le domaine de l'appareil de référence sur l'administration des archives. Ces études sont appelées à faciliter le recouvrement de données rétrospectives.

Il convient de souligner l'intérêt de la méthode différentielle de la description des documents fondée sur les concepts de leur catégorie informative. Du point de vue de l'administration des archives, une telle classification facilite la planification des travaux descriptifs, réduit le temps et la main-d'oeuvre consacrés à leur réalisation et aboutit à une description plus détaillée des fonds les plus informatifs. Cette méthode différentielle rend l'entrée des documents aux archives directement tributaire des qualités informatives qu'ils contiennent (diversité de données documentaires, importance historique, degré de préservation, fréquence d'utilisation).

Dans la plupart des pays, on a également reconnu la nécessité de procéder à des recherches scientifiques sérieuses dans le domaine de la fonction d'utilisation des archives. Des efforts sont faits pour définir le problème de l'utilisation des documents (Canada), pour entreprendre un examen systématique des besoins d'information des usagers par l'analyse de leurs demandes (Archives fédérales d'Allemagne de l'Ouest), pour établir des liens entre le choix des méthodes d'utilisation des documents et la détermination du personnel correspondant (Grande-Bretagne), pour inclure l'information archivistique dans le réseau d'information et de documentation scientifique-historique (République démocratique allemande), pour créer un ensemble d'information qui dans l'avenir sera traduit en langage-machine (Pologne), pour mettre au point des critères objectifs en vue d'évaluer l'efficacité des travaux sous l'angle des tâches de l'administration sociale, du développement de l'économie nationale, de la science, etc. (URSS).

b) *L'importance de la recherche en gestion des documents pour l'administration des archives*

Du point de vue de l'administration des archives, l'intérêt principal des recherches effectuées sur la création des documents est que leurs résultats contribuent à l'une de ses fonctions les plus importantes, à savoir l'acquisition des documents hautement informatifs.

Le progrès scientifique et technique ainsi que l'accroissement des documents y afférents et l'apparition de nouveaux types de documents (audiovisuels, informatiques et autres) ont suscité la nécessité d'élaborer une nouvelle méthode globale de solution des problèmes de la création des documents. Dans la majorité des pays, les archivistes unissent leurs efforts avec les spécialistes de gestion (RDA, Danemark, Canada, France, Grande-Bretagne, Pologne, URSS, USA, Suède et autres).

En URSS, les études sur les procédures et les principes de manipulation des documents dans les systèmes d'administration ont permis de créer le noyau d'une nouvelle discipline scientifique, la *science administrative des documents*, application de la science de l'administration sociale qui est liée à l'archivistique et aux études d'information contemporaines.

Il convient de souligner l'extension du concept même de gestion des documents. Celle-ci est désormais considérée comme le processus tout entier de manipulation des documents dans les systèmes d'administration. C'est sur cette base théorique que les archivistes soviétiques, de concert avec les juristes et les spécialistes d'autres secteurs de connaissance, ont créé le «Système unifié de conservation des documents» (EGSD).

Le «Système unifié» est un code systématique de règles, de recommandations et de normes sur la conservation des documents à chaque niveau d'administration. Il peut être considéré comme une méthode uniforme appelée à influencer les processus de gestion en canalisant, réglementant et normalisant la manipulation des documents à partir de leur création jusqu'à leur versement dans les archives.

L'établissement de ce Système a amené les archivistes soviétiques à se pencher sur le problème de la normalisation des documents administratifs. Deux normes relatives aux documents administratifs ont été élaborées et promulguées: «Système de documents d'organisation et d'administration. Principes de base» et «Système de documents d'organisa-

tion et d'administration. Modèle». Ces normes réglementent la procédure de formulation des documents et les critères à appliquer pour les préparer sous forme dactylographiée, ainsi que la disposition optimale de chaque élément du document sur la page. La normalisation permet d'unifier les caractéristiques et les qualités d'un certain nombre de documents sur un modèle-matrice unique et d'améliorer la qualité des documents en tant que source d'informations dans la sphère de la gestion.

L'idée principale du «Système unifié» et des normes des documents administratifs est que les documents doivent être conçus, avant même leur création, en fonction de leurs qualités informatives et de leur sort futur. L'application de ces normes établit la liaison entre la gestion des documents et le Fonds des Archives d'Etat. De cette manière, ce dernier profite des résultats obtenus dans le domaine de la gestion des documents.

La création du «Système unifié» et des normes gouvernementales a donné l'impulsion au développement de la science administrative et a permis d'aborder le problème lié à un Système unifié de documents d'organisation et d'administration permettant de les utiliser aussi bien dans des systèmes d'administration automatisée que dans ceux classiques. Un système unifié de documents d'organisation et d'administration (USORD) est actuellement mis au point par le VNIIDAD en collaboration avec plusieurs autres instituts et institutions d'archives de l'URSS; il constituera un réseau complexe de documents destinés à remplir une des fonctions de l'administration de base, à savoir l'organisation des systèmes et des processus d'administration.

Des recherches du même genre se poursuivent dans d'autres pays. Par exemple, la Direction centrale des Archives et les Archives d'Etat de Bulgarie mettent également sur pied un Système unifié de conservation des archives d'Etat (EGSD).

c) L'importance de la recherche en sciences naturelles pour l'administration des archives

L'archivistique, à son étape actuelle, se caractérise par une vaste application des réalisations des sciences naturelles et des techniques avancées. Le rôle de la recherche dans ce domaine prend de plus en plus d'ampleur, de sorte que la recherche théorique et appliquée fournit la base à l'établissement des normes et manuels méthodiques pour l'amélioration de la conservation et la rationalisation des techniques de reproduction et de miniaturisation de documents.

Plusieurs pays prévoient de développer les centres de recherche scientifique existants et de créer de nouvelles institutions en ce sens. Ainsi, la Tchécoslovaquie construit un centre de recherches appliquées dans le domaine de la conservation et de la restauration des documents, qui sera équipé par les techniques les plus modernes. En URSS, ce type de recherches est effectué par le VNIIDAD, qui effectue un contrôle méthodologique sur le réseau de laboratoires de microfilmage et de restauration relevant des Archives d'Etat. On prévoit un centre de recherches archivistiques aux Archives d'Etat de Croatie à Zagreb, où une place bien définie sera accordée à la recherche en sciences naturelles. Un laboratoire traitant de l'hygiène, de la conservation et de la restauration des documents en Bulgarie s'est vu compléter par deux autres. En Pologne, les laboratoires spécialisés du service de la conservation de la Direction générale des Archives d'Etat jouent un rôle important. D'autres pays ont également atteint un haut niveau dans la réalisation de ces travaux.

Les recherches de grande envergure exigent, en général, une étroite coopération avec d'autres experts qui, dans une plus ou moins grande mesure, s'occupent des recherches sur les papiers, les encres, les films, les milieux dans lesquels ils existent, les menaces biologiques pour les documents, et même le danger qu'ils présentent. Les archivistes des Etats-Unis coopèrent avec les spécialistes scientifiques dans le domaine de la restauration et de la reproduction. Ils utilisent les résultats des travaux de ces spécialistes sur l'élaboration des méthodes du vieillissement artificiel, l'emploi de rayons laser, les techniques de réfrigération et d'atomisation par aérosol non acide, etc.

En URSS, les laboratoires du VNIIDAD coopèrent avec les institutions de l'Académie des Sciences et des grandes bibliothèques d'Etat.

Un certain nombre de pays réalisent des programmes de recherche visant à créer des moyens durables de documentation (papiers, films, encres) et leur application à la conservation des documents (Grande-Bretagne, RDA, URSS et autres).

Le laboratoire de W. D. Barrow (USA) a étudié les ennemis de la conservation des livres et des documents ainsi que les méthodes de la production de papier durable.

Depuis quelques années, un grand intérêt s'est manifesté pour la fabrication du papier à partir du plastique (USA et Japon). D'après les données publiées, ce papier est hautement stable et durable mais le problème de l'électrostatique n'est pas résolu. La Grande-Bretagne produit un papier appelé «texte archivistique», avec une garantie de 500 ans. L'URSS a lancé un lot expérimental de papier durable, avec une durée de vie d'environ 850 ans. Des recherches sont en cours pour créer un papier à partir de fibres de coton, papier qui aura une durée de vie de 1000 ans et pourrait être utilisé pour des documents particulièrement importants.

Mais la préservation physique du papier ne garantit pas encore la sauvegarde du texte. Il est prouvé que l'encre représente souvent un facteur actif de la destruction du texte. Il a donc fallu étudier l'influence réciproque du support et du texte en fonction des conditions de préservation, ainsi que des paramètres du système «support-texte».

Le travail scientifique et les mesures pratiques liées à la lutte contre les produits infectants biogéniques, en particulier les champignons, trouvent également une nouvelle impulsion. Cette lutte a pour objet non seulement de protéger des documents sur papier mais également les films et les plaques photographiques. Le danger d'entreposer des documents infectés est particulièrement grand dans les pays à climat tropical. Les dernières réalisations de la science mondiale dans le domaine de l'antisepsie ouvrent de grandes possibilités de traitement actif des documents archivistiques.

Les recherches sur les méthodes et les moyens existants de désinfection massive ont abouti au remplacement progressif de la méthode à la formaline par la méthode gazeuse plus efficace, avec utilisation de l'oxyde d'éthylène, du bromure de méthyle ou d'autres produits chimiques. Les archivistes de beaucoup de pays considèrent également comme prometteuse la méthode physique de désinfection des documents au moyen des courants de haute fréquence. Certains pays (Bulgarie, France, Tchécoslovaquie) utilisent dans ce but le rayonnement ionisant.

Particulièrement actuelles sont les études liées aux propriétés des documents informatiques, audiovisuels et autres, dont les conditions de durabilité et de stockage ne sont pas encore bien connues. Le problème de la durabilité des microfilms utilisés dans les systèmes de miniaturisation automatique des données (COM) devient très pressant. Les archives de plusieurs pays disposent de grandes collections de films et de microfilms, et il faut mettre au point des orientations méthodologiques d'emménagement et de conservation.

Dans plusieurs cas, il faut reproduire les couleurs des documents lors du processus photographique. Aussi est-il indispensable de créer de nouveaux types de supports photographiques aux fins de microfilmage ou de photographie, et également de créer des conditions optimales pour le traitement chimique et la conservation de ces matériaux.

Le financement de moyens propres à maintenir les paramètres écologiques dans des limites déterminées devrait être équilibré en fonction du coût qu'entraînent le traitement protecteur et l'équipement des laboratoires de restauration. Les critères économiques exercent une influence sur des considérations purement techniques, notamment sur le choix des moyens. Les archivistes ont besoin d'une information complète sur les nouvelles techniques pour choisir les matériels nécessaires. Plusieurs pays, l'URSS en particulier, ont commencé à formuler des principes de sélection et d'évaluation de nouveaux matériels destinés aux Archives d'Etat et ont également entrepris la préparation de catalogues succincts de ces matériels, destinés à satisfaire les objectifs spécifiques des archives.

Depuis quelque temps se pose le problème du modèle des «archives idéales». Les archivistes de la plupart des pays lient le concept d'un modèle d'«archives idéales» à l'administration des archives de l'avenir. Dans les pays où les archives sont considérées comme faisant partie du potentiel d'information de l'Etat, le concept de ce modèle est lié aux tâches

que les archives doivent remplir par suite de leur incorporation à un Système d'information nationale unique (Japon), de l'amélioration de l'interdépendance entre le réseau des archives, des bibliothèques et des centres de documentation (Grande-Bretagne), ou, enfin, de la constitution d'un réseau d'ordinateurs englobant tout le pays (USA).

Les archivistes de la République démocratique allemande lient la création d'un modèle d'«archives idéales» à une définition du rôle et des fonctions des Archives d'Etat dans une société socialiste développée. En Tchécoslovaquie, le problème d'un modèle d'«archives idéales» est lié à l'élaboration du projet de la mise en construction d'un complexe d'archives à Prague, des Archives d'Etat à Bratislava et des bâtiments d'archives dans d'autres villes, compte tenu des derniers perfectionnements de la technique administrative et des systèmes d'information.

Les archivistes d'Allemagne fédérale ont fait l'esquisse du modèle auquel, à leur avis, les Archives fédérales devraient se conformer d'ici à 1980, en les considérant comme un centre culturel condensant un minimum de documents avec un contenu maximal, et en employant les dernières techniques pour satisfaire les besoins d'information de toute la société.

Les archivistes soviétiques croient que l'archivage traditionnel des documents demande plus de perfectionnements que la modification des procédés technologiques et des équipements techniques utilisés aux archives. Les travaux entrepris dans ce domaine visent à l'élaboration des critères technologiques de chaque opération technique. On met au point les cahiers des charges relatifs aux projets de la conception des archives de ce type et on étudie les recommandations liées à l'équipement des dépôts d'archives.

La mise à jour de la documentation technique et normative dans le domaine de la construction et de l'équipement des bâtiments d'archives, ainsi que la standardisation des conceptions architecturales, acquièrent une grande importance. La plupart des pays estiment raisonnable de tenir compte dans la construction des édifices d'archives de la composition physique des documents à y entreposer (papier, film, bandes magnétiques) et de suivre des plans normalisés. En Grande-Bretagne, aux USA, en France, en Allemagne fédérale, on considère que les documents non triés, dont la plupart sont détruits dans un bref laps de temps, doivent être conservés dans de simples dépôts intermédiaires, construits et équipés de façon économique, et nettement distincts des bâtiments d'archives proprement dits. Des édifices de ce type existent déjà dans un certain nombre de pays. Leur avantage principal est le coût relativement faible de l'emménagement des documents, conjugué à une utilisation maximale de l'espace.

Quant aux projets-types de bâtiments d'archives et à leur construction, les archivistes soviétiques partent du fait que les nouvelles orientations en matière d'archives prévoient avant tout la mécanisation et l'automatisation globale des procédés technologiques tels que le traitement et la collecte des données, la conservation et l'utilisation des documents, ainsi que le passage à de nouveaux types de porteurs de données permettant de miniaturiser et d'automatiser les archives.

4. Utilisation de l'ordinateur et du microfilm pour l'administration des archives.

Une des tâches principales de l'administration des archives est la création de systèmes automatisés d'archivage, de traitement et de recherche des informations avec utilisation des ordinateurs.

Dans un certain nombre de pays, ce problème a acquis un caractère d'urgence vu l'augmentation accélérée du volume des documents anciens conservés et les progrès accomplis dans le domaine de l'informatique. Ainsi, les Archives nationales des Etats-Unis sont un des principaux centres archivistiques pour l'emploi des ordinateurs. Elles utilisent le système d'index automatique SPINDEX pour traiter les dossiers de personnel, incluant les noms, fonctions, dates et numéros des documents.

Le Public Record Office de Londres utilise l'ordinateur pour l'emménagement et la production des données décrivant les fonds d'archives, permettant ainsi la publication de ré-

pertoires au moyen d'une unité de photocomposition. Deux fois par an, à usage interne, est publié un index topographique arrangé par codes de groupes de documents, par classes et emplacement.

Les Archives du comté d'East Sussex travaillent avec l'ordinateur pour le catalogage et la gestion des documents (systèmes ARCAIC et PARC). Les Archives fédérales d'Allemagne de l'Ouest ont mis en oeuvre un système STAIRS pour le recouvrement des données qui figurent dans les documents stockés et pour la compilation d'index de noms de personnes, de lieux et de matières. Les Archives d'Etat d'Italie utilisent un système d'indexation automatique qui permet la recherche et la production de résumés de documents notariaux. Les Archives fédérales du Canada utilisent le système d'indexation et de contrôle des documents RECODEX créé avec le concours du Bureau des services d'ordinateur de l'Etat. Le système ALPHATEXT a permis d'établir une description unifiée des fonds d'archives privées («manuscrits») conservés aux Archives du Canada (30.000 fonds). Les Archives d'Etat de Belgique ont entamé le catalogage automatique de la bibliothèque scientifique et des documents d'archives imprimés. Des travaux similaires sont en cours en Autriche, en France, au Japon, et dans plusieurs autres pays.

Les pays membres du COMECON font des recherches sur la mise sur pied de l'AIRS pour les archives. Ces pays utilisent l'expérience de vastes centres d'informations automatisées. Par exemple, les Archives d'Etat de Roumanie ont adopté le système de description SARIAS sur la base d'un ordinateur de la troisième génération. Le système, qui utilise un thesaurus ouvert, fonctionne d'après le principe à double boucle reliée à un résumé et à un instrument de recherche qui sont enregistrés sur une bande magnétique. La Tchécoslovaquie et la République démocratique allemande mettent en valeur les systèmes d'information automatisés et des lignes technologiques entières pour l'emménagement, la recherche et la production des documents (système PENTAKA de la RDA).

L'URSS mène des travaux relatifs à la mise en oeuvre du Système automatisé des informations scientifiques et techniques, englobant les documents de toutes les Archives d'Etat du pays. Un sous-système automatisé de documentation scientifique et technique pour le réseau des Archives d'Etat sera créé dans le cadre de ce système. L'emménagement et le traitement des documents seront effectués sur un circuit à triple boucle qui remplira les fonctions suivantes:

- recouvrement thématique d'informations rétrospectives à la demande d'un usager ou d'un ensemble d'utilisateurs;
- dissémination sélective d'informations à un nombre limité d'utilisateurs permanents;
- traitement statistique des données.

L'AIRS du Catalogue central du Fonds (AIPS/CFC) constituera une autre partie du Système automatique général d'information documentaire des Archives d'Etat de l'URSS. Il a pour but de stocker des informations sur tous les fonds des Archives de l'URSS, avec leur titre, leur emplacement, leur volume dans les unités d'emménagement et divers autres facteurs.

L'emploi de cassettes à bandes magnétiques identiques aux cassettes compactes utilisées dans les enregistrements portatifs ouvre de larges perspectives. Ces cassettes sont faciles à stocker, à transporter et à envoyer par poste. Une cassette de mini-ordinateur permet l'emménagement de un à deux millions de caractères alphanumériques. La majorité des mini-ordinateurs disposent également des unités d'affichage visuel pour les informations graphiques et textuelles.

Un système de recherche efficace des documents dans les grands dépôts d'archives modernes est obtenu par l'utilisation des microfilms en tant que porteurs d'information. Le microfilmage permet de réduire d'une manière rationnelle l'espace consacré à l'emménagement ainsi que le temps de l'ordinateur, et de diminuer ainsi la consommation du papier.

Depuis quelque temps, se révèle une nette tendance à utiliser non pas des unités de microfilm séparées mais des systèmes de production de données sur ordinateur à l'aide de porteurs microphoto (les microfilms en rouleaux et les diamicrocartes).

L'AIRS/CFC est classé comme système documentaire-factographique à double boucle.

Une variante utilisera un langage de recherche d'information du type de descripteur-classification avec une grammaire de position. Les deux systèmes travailleront ensemble lorsqu'il s'agira de l'évaluation des fonds des documents scientifiques et techniques.

Le développement des systèmes de programmation pour ordinateurs de troisième génération rend possible la création de systèmes intégrés effectifs d'information unifiant les fonds documentaires de plusieurs archives. L'échange des données entre les centres d'archives pourra dès lors être organisé par le jeu de circuits de location ou de communication.

L'utilisation d'ordinateurs de faible puissance (les «mini-ordinateurs»), conçus pour manipuler des masses relativement petites de documents, suscite un grand intérêt de la part des spécialistes de l'AIRS. Dans un certain nombre de cas, les mini-ordinateurs employés dans les AIRS locaux ont déjà fait preuve de leur efficacité économique, surtout en raison de leur prix inférieur, avec des performances satisfaisantes. Dans le cas d'une augmentation des dimensions de la masse des documents ou du volume de son utilisation, la réserve de puissance du système peut être renforcée en remplaçant certaines composantes, évitant ainsi aux usagers des dépenses majeures. Cette caractéristique détermine la flexibilité du système.

Les avantages du microfilm comme porteur d'information et des mini-ordinateurs comme moyen de traiter ces informations ont abouti à la création de mini-systèmes spécialisés relativement peu coûteux pour l'emménagement, la recherche et la production de copies de microfilms ou de documents graphiques. L'application de ces systèmes est toutefois limitée quant à la masse des documents entreposés, à la longueur de l'index, à l'algorithme de recherche, etc. Les mini-systèmes Miracod (Kodak, USA), Odelcod Filmdata Bank (De Oude Delft, Hollande) et Cezam (Cifal et Sait Data System, France) se sont fait un nom. Le système Miracod est utilisé par les Archives d'Etat du Canada.

L'information sur bandes magnétiques ou sur mémoire électronique à partir du tableau de commande de l'utilisateur deviendra de plus en plus courante. La mise en index automatique des documents, le travail sous forme de dialogue en temps réel et la liaison entre l'ordinateur et le système de communication constituent un autre facteur important dans l'amélioration de l'efficacité de l'AIRS.

5. Nécessité de l'élaboration d'une terminologie scientifique des archives.

La réalisation des fonctions de l'administration des archives suppose le développement d'un instrument de communication spécial: la terminologie scientifique des archives. Le perfectionnement de cette terminologie comprend le perfectionnement des concepts traditionnels ainsi que l'interprétation et l'assimilation de nouveaux termes qui sont conformes au caractère spécifique du travail archivistique.

Toute influence terminologique sur les objectifs de l'administration est, par sa nature, une influence informative; seules les formes sont différentes. Mais dans tous les cas, une terminologie unifiée et sans équivoque favorise les décisions raisonnables et l'accomplissement des tâches qui en découlent. De plus, elle aide à épargner un effort intellectuel pour l'usage de la littérature scientifique et des éditions informatives.

La publication en URSS du «Dictionnaire concis des termes archivistiques» (1968) et du «Dictionnaire concis des types et variétés de documents» (1974), qui contiennent un nombre considérable de termes, a marqué un grand pas dans l'unification de l'appareil théorique de la science archivistique et de la gestion des documents dans ce pays.

Plusieurs pays disposent de normes de terminologie archivistique. En Suède, ce travail est exécuté par le Comité national de la normalisation, où siègent des représentants des Archives d'Etat. En URSS, une norme terminologique de 1971 regroupe 49 termes de base ayant trait à la conservation des documents et des archives, dont l'emploi est obligatoire dans les documents normatifs ainsi que dans les ouvrages spécialisés, techniques et de référence.

Le travail terminologique dépasse même les frontières des pays, contribuant à la compréhension mutuelle entre les spécialistes au niveau international et aussi à l'abaissement

des barrières terminologiques. Les archivistes de Pologne, de la RDA, de Tchécoslovaquie, de Hongrie et de Bulgarie révisent leur dictionnaires de terminologie et les nouvelles éditions contiennent déjà de nouveaux termes.

Actuellement, une recherche terminologique est en cours au niveau des pays du COMECON, ce qui intensifie la nécessité de trouver une terminologie commune qui ne pourra être obtenue que sur la base d'une analyse comparative des définitions dans les diverses terminologies archivistiques nationales.

La création d'un dictionnaire international dans le cadre du Conseil international des Archives, qui inclurait les termes archivistiques dans les différentes langues de travail du Conseil, s'avère extrêmement souhaitable et même nécessaire pour l'avenir de la science archivistique dans le monde entier.

THE ARCHIVAL IMPLICATIONS OF MACHINE – READABLE RECORDS

Report by Dr. Lionel BELL¹

1. Introduction.

The brief for this paper included all the elements of this new and complex subject and I hope that none of them will be found to have been ignored. However, the subject is already so considerable that to discuss all these elements in detail would far exceed the space available and take me into fields in which I have no authority to speak. The objective I have chosen to enable me to limit these remarks stems from the realisation that, even now, most archives have taken no steps to deal with machine-readable records. I propose, therefore, to offer only an introduction. The base from which we must start is the growing use of computers in the administrations which we serve. This is well-known, so that it suffices now to say that there is a growing amount of information held by governments and others in machine-readable form, and increasingly, only in that form, which imposes on us as archivists an obligation to have regard to the archival value of that information. It will no longer do, if it ever did, to consider this information only in some human-readable version. The great virtue of the information as well as the source of its problems is its very machine-readability.

2. The Material and its Uses

2.1 Quantitative Analysis.

I believe that the most valuable way in which we, as archivists, can begin to look at the problems of machine-readable archives is in terms of those users who are now working with quantification methods in historical or social science fields. We must seek assistance where we can find it and in considering users, who are the end and justification of our activities, we cannot do better than to pay attention to those academics who are using data-processing methods on the material now available to them. Quantitative history as a methodology was first developed in the United States but for some time it has been practised in a large number of countries. It is open to many archivists, therefore, to examine the use of quantitative methods in their own countries and they should not confine themselves to historical studies but study all those fields in which information from official sources can be used. This is an essential and an early step in the establishment of machine-readable archives because without knowledge the archivist is in no position to justify or to carry out the selection and acquisition of machine-readable records. It has been said² that quantitative analysis has been employed in history in order to provide a sounder basis for general statements about society than can be given by the impressionist methods of conventional history. The quantitative approach is classically scientific in the sense that it formulates hypotheses which can be tested against the data, refined, reformulated and retested. Unless the data is suitably provided, which is our business, the method cannot work. To move beyond history, unless economists and other social scientists have access to adequate data

1. Abridged version of the Preliminary report distributed to members before the Congress.

2. E. g. by C. M. Dollar in *Prologue*, Spring 1971.

they cannot develop theories about the effect of actions in the social field and it is theories of precisely this kind that enable governments to plan their own socio/economic activities. There are two attitudes of these non-historical users to which attention should be drawn. Many of them are interested only in the most recent data. Archivists are not very accustomed to material of this kind but where it is drawn from official sources we can have a role to play. This is exemplified by the thriving business in recent data conducted by the Machine Readable Records Division of the National Archives and Records Service. Contrariwise there are social scientists who are interested in data through time precisely because their study is of evolution and change, without their being interested in the past as such, as an historian might be. To exemplify further some of the possibilities of machine-readable archives reference should also be made to studies carried out quantitatively from conventional records. The fact that these records have been very laboriously converted in such cases emphasises the strength of the demand. The bulk of such studies is in behavioural and economic areas but interest is not confined to these. For example, a fifteenth century cartulary is being processed at Cambridge to construct a computerised map¹ and estate records have been used for climatological studies. One example, of course, stands out and that is the work of Fogel and Engerman² on negro slavery in the Southern United States and from our point of view it is particularly interesting that this classic work draws on a wide variety of records. Censuses of agriculture, population and slaves, probate records, sales records, shipping manifests and plantation records have all been deployed. Another kind of width may be seen in *Dimensions of the Past*³ for it consists of thirteen contributions relating to countries as diverse as Japan, Russia and Spain and to various periods from the Middle Ages to the present century.

2.2 Academic Data Archives. It is not, therefore, surprising that those working in these fields have taken steps to accumulate and preserve data. In the absence of any other provision data archives have been set up, especially in American Universities, and archivists would do well to look on them as pioneers and to seek to learn from their experience. For a list of data archives and a description of their growth and activities the reader may turn to D. Nasatir, *Data Archives for the Social Sciences*, Unesco, 1973, but there are some points to be mentioned here. The technical problems of machine-readable records have been well explored in the data archives. Viewed more broadly, the data archive movement is sufficiently advanced to hold conferences to discuss common problems such as the bibliographic description of files and other aspects of documentation. A sub-committee of the American Library Association has been formed for data archives and at the international level there is an International Association for Social Science Information Services and Technology. The academic appetite for this diet is thus established and growing. Quantitative techniques offer the possibility of new kinds of social and economic analysis through time to supplement the narrative studies that our archives now generally support and we can expect to have to supply some of the raw material. Until the arrival of the computer the filing and manipulation of information was limited by the ability to manage very large clerical teams. However limited these may now seem their power was very considerably greater than that available to archives or to academic researchers and it was not therefore possible to preserve archivally, for research purposes, large conventional files containing, perhaps, millions of records. The situation is now quite changed and we have the opportunity to preserve information on this scale. It does not follow that there is no need for selection, no problem of criteria for appraisal, but that is a question which will be treated below. The next step is to look at these large administrative files and to consider the information accumulated in them.

2.3 The Administrative Uses of Computers. There are four major areas in which computers are used. The largest use is in various kinds of accounting, involving repetitive arithmetical

calculations on very large files, e. g. of personnel for payroll purposes. Then there are the statistical applications on data which is either specially collected by survey or derived as a by-product from other computer transactions. Thirdly, there is a wide field which may be described as a record storage, in which the function of the computer is to maintain files of information for immediate use, either in information retrieval or as a transaction control, e. g. of overdue library books. The fourth use of computers is to carry out calculations in areas such as mathematics and natural science, where the proportion of data to computation is generally relatively low. The first and fourth of these are not very likely to produce material of archival interest, though in the scientific area sets of readings of natural phenomena should always be considered for preservation. In the second and third categories the range of content is very wide and no general prescription can be given except that survey material has created particular interest. As a very rough generalisation one might say that as computing has become cheaper and has widened its scope it has tended to produce material of greater interest to us. It is possible that the future will provide proportionally greater quantities of such material. Already one can see that local government, like central government, will extend computing into various types of survey. In all organisations more of the operations now carried out on paper files will be transferred to the computer, whose use will also spread to large numbers of smaller institutions. On the other side of the picture very large data bases will provide us both opportunities and problems. The development of data base techniques will make it possible to bring together information at present kept separately, for example in health and social security installations and one can see how, for example, studies could be carried out relating poverty as shown in social security figures to particular kinds of ill-health. Somewhat similarly one of the functions of a data archives is to make this kind of study possible by bringing files together, though without necessarily combining them in one data base. From another point of view data bases may become more difficult for us to handle. Constant change is the hallmark of computer files, with new information often replacing and destroying earlier information. In a data base containing what are effectively large numbers of files, this complexity is multiplied. The problem for archives is to derive a permanent record from this kaleidoscope, either by taking copies of the whole thing at selected intervals, or by selecting particular elements or recording particular types of change in the data. Any of these solutions will make it necessary for the current user of the data to take trouble for the sake of archives and of archivists and this is traditionally an unpromising situation. However, there is no theoretical reason why the archival requirements should not be met.

3. Archival Operations and Influencing Factors

3.1 The Creation of a Machine-Readable Archives. For those archivists who accept that here is an obligation which they should undertake the problem still remains of how to go about it. How do you make a start in a new field in which you know nothing and know nobody and, worst of all, nobody knows you? The atmosphere and circumstances of government, of archives and of computing in different countries make a great deal of difference, particularly in this crucial stage of making a beginning. For example, the National Archives and Records Service relied greatly on its records management powers and facilities and was also able to meet a demand from the public for copies of very recent material. In Sweden the archives has, among other things, associated itself with the efforts of government statisticians to acquire machine-readable records. Neither of these approaches was open to the Public Record Office, which therefore chose to begin its activities with surveys of computer records, in the hope that these would lead to links with their producers and their potential users. Despite these potential differences there are some common areas which are worthy of discussion and some general problems to explore.

One problem which will be felt very keenly by archivists hitherto engaged in traditional areas is that of cost. The preservation of machine-readable records is a high-cost operation. Each file may need many man-hours and quite a few machine-hours devoted to it to bring it

1. *Computing*, 8 May 1975.

2. *Time on the Cross*, 2 vols. 1974.

3. Eds. Lorwin and Price, 1972, reviewed by Club in *American Archivist*, Jan. 1974.

to a preservable condition and it is this that makes it particularly important to select well. With surveys of computer records the problem is that without some guidance from potential users or examples of use it is difficult to ask sensible questions of computer managers or answer their questions. This inability to explain how anyone is likely to use the files which are being pursued is embarrassing. On the other hand it is awkward to approach academics for advice when it is not possible to give them much detail about potential sources. Survey questions thus tend to be vague and lead to narrative rather than quantitative answers. Nevertheless, the exercise is worthwhile to push aside some of the barriers to machine-readable records management.

3.2 Machine-Readable Records Management. Within computer installations much of what has to be done is parallel to conventional records management but operates on a different scale of time and detail. There is no equivalent here to spending an afternoon appraising a few folders. A decision to preserve permanently any elements of information leads to a very detailed study of the way in which the information is recorded in machine-readable form. It may be necessary to write, test and run computer programs to convert from one format to another or to select some items of information while suppressing others. As early as possible, even during design, there should be a review of the system, taking account of the information it handles as well as the files in which it is organised. In almost all cases all or most of the files can be given disposal dates. Where information of potential long-term value is identified a much more detailed study of the technical aspects of the system will have to be carried out in order to determine the form in which the information is to be transferred to archives and to write the documentation which is essential if it is to be properly used.

3.3 Finding-Aids. Finding-aids also present a problem for the custodian of machine-readable records. The Public Archives of Canada advocate a library catalogue format which is in line with the practice of academic data archives. Apart from the detailed content of the description it must be recognised that library procedures make standardisation of these finding-aids much more practical. In addition to the content of the description for each file one has to consider the order in which descriptions are to appear. Because of the nature of the information and the ways in which it is likely to be used provenance is less helpful here than with conventional records. The simplest approach is to begin by keeping the descriptions in accession order, offering subject retrieval, including provenance, *via* indexes. The problems of more detailed description have not gone far towards solution. The information must be present in the documentation which surrounds each file but it requires to be extracted and assembled. It may be necessary to describe the individual fields in the various records constituting the file.

3.4 Technical Problems: Conservation. The technical problem which struck archivists most forcibly when they first considered the possibility of computer-produced archives was that of permanence. It was not surprising that those who were becoming ever more aware of the impermanence of the medium of the written message should be suspicious of information recorded as a pattern of invisible magnetic marks in an iron oxide coating on a plastic tape. There have also been technological changes, but in general a way of converting to a modern format can be found. The same technique, of converting or copying information to another tape, will also deal with the problem of impermanence, since the new recording will be made at full strength. The object of the archival exercise is the preservation of the information and of the particular physical object it happens to inhabit at any given moment. For those of us who were brought up to secure our documents this can be difficult to grasp but it follows very clearly from the nature of the systems we are investigating, in which information is constantly being transferred between punch cards, paper tape, magnetic tape, magnetic discs and the computer core itself.

3.5 Technical Problems: Documentation. A greater barrier to the use of old tapes than technical incompatibility is sheer inability to understand the recorded message. Since we are, *ex hypothesi*, concerned about what can be done with a data file long after the disappearance of those who created it, it is our responsibility to get the information down on

paper in an orderly fashion while it is still available. In large institutions it is becoming common to attempt to impose higher standards of documentation on computer installations and this is a movement with which archivists should associate themselves. Even so, we must expect to have to carry out some work of this kind for every file transferred to archives and it accounts for part of the high cost of this activity. The objectives of the system or survey originating the file must be established as part of the background and the interpretation of the contents of all the fields, together with the markers that locate and distinguish them, must be fully recorded. To support such information about the contents of the machine-readable file it is necessary to draw on the paperwork associated with it. Specimens of the forms used to collect the data should be assembled, together with the procedural instructions for all stages of collecting the data and converting it into its machine-readable form. In organising the documentation, it is necessary to bear in mind that parts of it, at least, will be required to constitute an initial finding-aid.

3.6 Technical Problems: Reference Service. The last technical problem to which reference should be made concerns the question of the provision of service. It appears that the only service provided up to the present time has been the sale of copies or versions of tapes, that is to say no archive has sold processing services. Nevertheless, some processing is always involved, from simple copying to extract and deletion work, and it is not a long step for archives to undertake to carry out calculations as required. This is likely to happen, therefore, particularly in cases where the individual data is sensitive and information can be supplied to the public only in a form which prevents the identification of individuals.

3.7 Psychological Problems: Archivists and Computer Users. It is not surprising that psychological problems are among the most difficult in this field. One of them is the unwillingness of many archivists to consider it, let alone become involved. They are repelled by what they suppose is the difficulty, by the jargon of statisticians and computer engineers and, perhaps most of all, by the reputation that computers have in the non-computer world. In so far as archivists do not accept this obligation others will step in and undertake it for them, because the demand is there. There are psychological problems on the other side of the fence also. The average computer user, and even more the average computer manager, finds it difficult to understand that any of the material that he handles could have any long-term value. Even those, such as statisticians, whose work brings them closer to academic area, may tend to feel that their own exploitation is total and that nothing remains to be done with the data when they have finished. In these circumstances it is difficult for conversations to proceed and archivists have to be prepared either to get over the hurdle by supplying themselves with useful examples to cite or to by-pass it by concentrating on the records management aspects and the virtues of standard procedures.

3.8 Psychological Problems: Privacy. The least tractable problem in this field is that of confidentiality or privacy. Much of the information which is processed electronically concerns individuals and is protected either by statute or by the terms on which it was first acquired. Unless a solution can be found valuable archival material will have to be sacrificed. There are two ways in which this can happen. It is fairly common practice to make information generally available after it has been sufficiently aggregated to remove the possibility of information about any individual – whether a person or a corporation – being extracted from it. This is most commonly done by adding together all the information about some geographical area to produce a set of totals. The process thus hides some of the information and for many researchers the result is of low value unless their own analysis happens to coincide with that chosen for the aggregation. Academic doubts about aggregation emerged very clearly in a United Kingdom survey, though most respondents were not averse to limited aggregation. Clearly, for some purposes only individual records will suffice, for example in searching for hitherto unknown factors which might be correlated with a particular disease. On the other hand it is possible for any researcher to accept limited aggregation that conforms with his own study and this points to a possible, if partial, solution, namely that archives should be free to hold records at the individual level but to release only aggregated material designed to fit a particular research need. The erasure of

names is the second way in which archival information might be lost. The U. K. survey, which was by no means comprehensive in its coverage, produced no pressure for individual records with names attached except from the demographers, for whom individually identified records are essential. They wish to carry out the assembly of hitherto separate information about individuals which is precisely the type of operation that is most feared by the confidentiality/privacy lobby. Quite apart from demography, such assembly of information could create virtually new files and thus offer the opportunities for exploitation in research. The demographers themselves are not greatly concerned if a century elapses before they have access to the records and it is unlikely that even the fiercest watchdog of privacy would be troubled by events occurring after that interval, but the problem is what to do with this delicate material in the interim. Whatever information is collected and held somebody must be trusted to guard it and I am sure archives must take steps to have themselves counted among that number. The greatest difficulty is the belief that the only safe treatment is the earliest possible destruction of data and, because this is the kind of recommendation that tends to appear, archivists need to lobby in their turn to secure satisfactory formulations.

3.9 *Personnel*. The ideal member of staff in a machine-readable archive will combine deep and wide experience of computers (including both programming/systems analysis and installation management), an understanding of records management principles, a broad acquaintance with the academic disciplines that employ quantitative analysis and a grasp of their techniques and, finally, the archival ability to assemble and display for the potential user a mass of detailed information about these records. It need hardly be said that such individuals do not exist and that we must fall back on the principle of division of labour. A similar problem has been faced by the academic data archives. Their pioneer staff, while knowledgeable about the use of data, have had to acquire detailed computer expertise and turned to libraries for advice on the preparation of finding-aids. Archives must employ computer professionals, since only they can be expected to have the skill and the power of persuasion to go into an operating installation and extract useable tapes with all the documentation. The training of such a professional will involve some study of the academic scene and an indoctrination in archives to enable him to advise archivists. For archives with a sufficiently large graduate staff it is now possible to recruit graduates with some experience of quantitative analysis but even these archives, like others, will have to consider how best to give their existing archivists an understanding of the new areas. There are three steps which might meet the need. The first is the publication of articles in professional journals, though this will tend to be only an initial promotion unless editors can be persuaded to seek out series of articles on the use of all kinds of records in analysis. The second possibility is to provide courses for practising archivists. The third possibility – and potentially the most thorough – is to prepare and distribute a bibliography¹. However, this is still a very new field and the best training must be experience. There has to be the initial will to plunge in and to learn by doing, by making foolish mistakes and recovering from them.

3.10 *Appraisal of Machine-Readable Records*. There remains the question of selection criteria for machine-readable records. Selection must be exercised, just as for conventional records, though for different reasons. There is less emphasis on storage costs, though they cannot be entirely ignored, and there is less likelihood of the quantity of material proving physically difficult to manage. The reason that seems to be conclusive in favour of very careful selection is the high initial cost of re-recording the information on new media. There are two levels of criteria in operation. The first-level criteria are concerned with content and are similar to criteria evolved for conventional records, while the second-level criteria arise from technical considerations of the kind discussed above. A useful starting point for content criteria is the set of four used by the Canadian Machine-Readable Ar-

chives to identify preservable files: – they were or may be used to support the formulation of policy; – they were created for a study which might be considered seminal either because of the nature of the study or the type of analysis used; – they were created for a study conducted by an individual or group of individuals renowned in that field; – they contain information of a non-housekeeping nature which is not of limited value for further analysis or re-analysis. The first three criteria are concentrated on the original use of the records and are archivally valid but quite uninteresting. They ignore the fact that with computer files archivists are for the first time dealing on a large scale with information as such rather than as the by-product of individual administrative transactions. The distinction arises because the file can be regarded and manipulated as a whole. This is where the fourth criterion comes in. In my view it offers not only the most interesting possibilities but the most fruitful. What we are asking here is whether the file – without regard for its origins or current use – contains *information* which future users are likely to wish to exploit. What we have to select is material which the future user will wish to transmute by further processing into source material for his historical or other work. We should interest ourselves in information which might provide evidence about the common and basic features of human life, their inter-relationships, their rate of change, their stability. It is difficult to move beyond these vague generalities with the exception that it would rarely be wrong to preserve a machine-readable version of a conventional archive. If a researcher has been prepared to undertake the burden of converting information from archives it is an excellent indication that the material is likely to have further uses. Criteria at the technical level are largely deducible from what has already been said. There is no point in selecting a file unless adequate documentation exists or can be provided. The cost of tape conversion in a complex case has to be weighed against the value of the information. Disaggregated data is to be preferred to aggregated and ideally one would select data in as close a form as possible to that of its collection, subject only to validation and consequent cleaning. The possibility of further use will be enhanced if the record shares some common piece of information which can be used as a link with other records. For many researchers time-series data that can be used to measure changes over a period are particularly valuable, even though extra care has to be taken over the documentation. A valuable feature of some administrative processes is wide coverage and this must also be taken into account. However, though length in time and width in coverage are valuable features, files may become so large that with the present technology they cannot be processed at a reasonable cost and in such cases sampling may be necessary. Where a sample is taken from an administrative process in this way it is, of course, very necessary to record in the documentation the way in which it was drawn and it will probably be helpful to take statistical advice. In appraising survey material, which will already be in sample form, there is the parallel need to record and, possibly, to evaluate the manner in which the sample was taken.

4. *Conclusions*.

I should like, in concluding, to emphasize a small number of points which constitute my view of the proper course for archivists to take now. It will be of great advantage if those who have made some progress can disseminate their consultancy reports, examples of forms, procedure manuals, selection criteria and lists of holdings. Secondly, within their own countries archivists should join in promoting and attempt to influence procedural standards for computer installations and data interchange standards. Machine-readable archives should promote standards for documentation, including finding-aids, and other standards that will eventually facilitate the interchange of data between them. Cooperation with academic data archives is important. Apart from the fact that we can learn a good deal from them on technical matters the social scientists appear to feel that they have been rebuffed by librarians¹ and it may in some circumstances be possible for archivists to form an

1. A general bibliography on automation in archives is available from the Executive Director of the Society of American Archivists, The Library, PO Box 8198, University of Illinois at Chicago Circle, Chicago, Illinois 60680, U.S.A.

1. Nasatir, *op. cit.* p. 4

alliance with them to create pressure for the acquisition of data. But we ourselves must publicise what we have got, yet without allowing current usage fostered by this publicity to become a factor determining our actions. We have, as always, an obligation to the future and the tension between this obligation and current types of use is another aspect of a conventional archival dilemma. If resources on the scale described cannot be made available archivists should nevertheless seek to become informed of what exists in computer installations and try to persuade installations to retain selected material.

It would not be out of place for me to finish by reminding the Congress of the particular features of our obligation to future users in respect of machine-readable archives. We are all aware of the great value of conventional archives in providing the evidence which makes it possible to dissolve away the myths that grow up around historical events. The capacity for the accretion of myth is just as great in the broad socio-economic field and the capacity of the quantitative approach to dissolve myths has been well demonstrated. When we consider today's machine-readable records we must remember that they also have this potential to set the record straight. Who can doubt that in the seventies we are generating myths about our own age, in political speeches and newspaper articles, just as every previous age has done? The difference now is that as well as the myths we can consciously leave to our successors a far greater quantity of manageable information. We can enable them to know more about our times than we can possibly know ourselves. Archivists have always tried to do this and they should now recognise that the computer has added a new dimension to their work.

MEJORAS TECNICAS EN LA PRESERVACION Y REPRODUCCION DE DOCUMENTOS DE ARCHIVO

Informe por la Dra. Carmen CRESPO NOGUEIRA¹

El tema, tratado en el 4º Congreso Internacional de Archivos de Estocolmo en 1960, a través de las ponencias de tres colegas se presenta de nuevo en la palestra profesional por pensarse que un periodo de quince años es tiempo suficiente para presentar una panorámica del mismo con aspectos innovadores, ratificaciones en unos casos y rectificaciones en otros, de la línea en aquel momento vigente².

Los datos recogidos se refieren en exclusividad a los que podríamos llamar, en un amplio sentido de la palabra, Archivos de la administración estatal. Quedan forzosamente fuera los de otras instituciones y administraciones que, sin duda, procurarían aportaciones positivas al tema que nos ocupa.

El cuestionario fué enviado a 61 países. Se obtuvieron respuestas de 34 de ellos. Las preguntas del mismo tratan de abarcar los aspectos básicos de la Preservación, Restauración y Reprografía de los documentos de archivo.

Esencialmente, a base de las respuestas recibidas trataré de reflejar el nivel técnico alcanzado por nuestros archivos en los aspectos de instalación, restauración y reprografía, de conseguir con el mayor número de pormenores un cuadro panorámico en que éstos queden diluidos. Por ello, de modo consciente, limito la individualización en aras del conjunto, prescindiendo totalmente de las referencias de marcas comerciales de productos o equipo y, con el fin de no sobrecargar el texto, reduzco las referencias bibliográficas a aquellos autores y obras directamente aludidos.

Se pretendía obtener a través de ellas una serie de datos cuantitativos y cualitativos que nos permitieran conocer cuantas novedades o características dominantes tipificasen la realidad presente de nuestros archivos en esta materia, reflejadas, a ser posible, en precisas estadísticas que pudieran servir para futuras prospecciones en similares cuestionarios. Pero mientras algunos países incluyen en sus respuestas datos pormenorizados de cada uno de sus archivos o, al menos, de sus líneas maestras, otros, con cifras abultadas de nuevas realizaciones y, quizá precisamente por ello, se limitan a proporcionar datos demasiado generales para poder deducir de ellos la individualización deseada. Por estas circunstancias en la realización de los cuadros estadísticos del presente estudio y de las cifras percentuales que en ellos se incluyen se toma como unidad de base los países que han respondido a la encuesta y no los depósitos, talleres de restauración y reprografía que cada uno de ellos posee, de cuya totalidad solo se da cuenta como dato numérico.

I. – PRESERVACIÓN DOCUMENTAL: EL DEPÓSITO DE ARCHIVO

Al inicio de cada uno de los tres grandes apartados que forman, como hemos dicho, el cuerpo del cuestionario, el ponente plantea una pregunta cuantitativa. En el caso del depó-

1. Compendio del texto distribuido a los miembros antes del Congreso.

2. *Actes du 4^e Congrès international des Archives*. Nouvelles techniques, nouveaux matériels et nouvelles expériences depuis 1950 en matière de restauration (documents et sceaux), de conservation (cartes et plans) et de photographie. (Ponencias de R. H. Bahmer, G. A. Belov y J. Papritz). *Archivum* vol. X, 1960, p. 59 - 81.

sito de archivo se inquiera sobre *Cuántos depósitos se han modernizado y cuántos se han construido en los últimos 15 años*.

De acuerdo, pues, con las respuestas recibidas los archivos modernizados desde 1960 son 182 y los de nueva construcción 252.

Las mejoras introducidas en los primeros varían, como es lógico, de unos a otros: sustitución de los viejos legajos por cajas, cambios de estanterías de madera por otras metálicas, instalación de sistemas de detección de incendios y acondicionamiento, montaje de laboratorios de microfilme y restauración, etc.

a) Características arquitectónicas

Aún cuando el tipo dominante de nuevo depósito siga siendo el elevado sobre la superficie, cabe destacar el sustancial progreso de los construidos en subsuelo. El estilo que podríamos llamar nórdico-europeo, nacido en los países escandinavos a raíz de la última guerra mundial en base a su valor preservativo de posibles eventos bélicos, aprovechando las condiciones geológicas favorables, no solo ha ratificado su vigencia en aquellos países con nuevas construcciones, sino que ha extendido su influencia a zonas más meridionales de Europa, e, incluso, a otros continentes, mitigando, con frecuencia, en la expansión su «subterranismo» total en una solución mixta, especie de entente cordial entre dos sistemas, verticalmente opuestos.

Es augurable un buen futuro para este tipo de depósito, sobre todo en su modalidad mixta, tanto por razones de conservación cuanto por normas urbanísticas que, con creciente frecuencia, condicionan y limitan las alturas en superficies, no dejando más posibilidad de expansión que la subterránea. Incluso una condición a ellos congénita como es su *ceguera* ha contagiado a muchos de los elevados en superficie. La importancia del dato estriba en que dicha circunstancia comporta la existencia de unos controles ambientales rigurosos de los depósitos, que de otro modo se convertirían en compartimentos estancos sin aireación y, por consiguiente, en campo abonado de múltiples causas fisicoquímicas y biológicas de deterioro documental.

Generalmente, en zona contigua al resto de los locales del archivo, a veces unido solamente por un pasillo, el depósito tiene siempre entidad perfectamente diferenciada del resto de aquel con muros o suelos que le procuran el necesario aislamiento térmico y antifuego (50% de las respuestas) por medio de cámaras de aire, asbesto, fibra de vidrio, puertas de acero en su mayoría y utilizando en la construcción del mismo, como material predominante, el hormigón armado, ladrillo y piedra.

Es bastante generalizada la tendencia a limitar la altura de las plantas del depósito y compartimentarlas cuando sus dimensiones son excesivas, medida que contribuye, sin duda, a la comodidad de uso y a evitar la propagación de un posible incendio que puede ser sofocado por asfixia al conseguirse el cierre hermético del compartimento afectado. La altura y superficie varía de unos países a otros e, incluso, entre archivos. Francia es, probablemente, uno de los países con normativa más estricta en este y otros aspectos de la construcción e instalación de archivos, fijando en 2,10 a 2,20 m. la altura y en 200 m² la superficie de los compartimentos¹.

El acceso vertical a los depósitos por escaleras, ascensores o montacargas suele estar situado, con más frecuencia, fuera del propio depósito como medida preventiva de propagación más rápida de un posible incendio, siendo relativamente frecuente que las puertas de ingreso al mismo estén construidas en acero y materiales largamente resistentes al fuego.

b) Sistemas de protección

La mayoría de las respuestas manifiestan tener en sus depósitos controles de humedad y temperatura. Ello implicaría la existencia de instalaciones de aire acondicionado y, por lo

1. Duchéin, Michel: *Les bâtiments et équipements d'archives*. CIA. – UNESCO, 1966, *Archive Buildings and Equipment*. Verlag Dokumentation, München, 1977.

tanto, de un avance tecnológico verdaderamente espectacular en los métodos de preservación. Mi personal impresión es que la palabra control ha sido interpretada en muchos casos como medida, es decir existencia en los depósitos de aparatos de muy diversos tipos medidores de ambas circunstancias y, por ello, expreso mis reservas acerca de lo elevado del porcentaje. Pocos, en su mayor parte correspondientes a depósitos ciegos, poseen controles de polvo y polución.

La luz artificial fluorescente predomina en la iluminación de los nuevos depósitos. Incluso algunos países dan como modernización de los mismos la sustitución con ella de la incandescente. De esta norma se exceptúan, al parecer, Rusia, Rumania y la República Federal de Alemania, la cual solo raramente emplea aquella. Francia manifiesta un equilibrio entre ambas iluminaciones. Casi ningún país nos indica, en cambio, la intensidad lumínica en el depósito de uno y otro sistema mientras que el 50% aproximado dicen disponer de instalación antideflagrante.

La luz natural aparece controlada, bien arquitectónicamente (ventanas escasas y pequeñas), bien por las tradicionales cortinas y persianas o por los más modernos métodos de partesoles o vidrios filtrantes de las perjudiciales radiaciones de corta longitud de onda (luz ultravioleta).

Son ya muchos los depósitos que tienen sistema de detección de incendios basado en el clásico procedimiento de subida de temperatura (16 países) o en el de detección de humos (11 países), con frecuencia por cámara de ionización, más moderno y eficaz, ya que el material de archivo en caso de combustión, debido a su compacidad, produce, al menos al principio, más humo que llama. Incluso los hay que poseen ambos (11 países) y otros dan como incorporación moderna el segundo sistema.

En bastantes de ellos la alarma se recibe también fuera del propio local del archivo (bomberos, policía, etc.) y es relativamente frecuente que la misma provoque, fundamentalmente, la intervención automática de extintores (25 países), el cierre de accesos (11 países) y, con menos frecuencia, corte de la corriente eléctrica.

Los extintores de CO₂ y de polvo superan en número y extensión a los de agua, aún cuando éstos, sobre todo en forma de chorro más que pulverizada, sigan en perfecta vigencia. Es indudable que el riesgo de incendio en un depósito ha disminuido grandemente al utilizar en la construcción e instalación materiales incombustibles (muros corta fuegos, puertas de acero, estantería metálica) y aislamiento de los locales de trabajo que es donde, con mayor frecuencia, puede estallar un incendio y por ello puede admitirse, cuando todos estos requisitos se cumplen la postura condenatoria de algunos países sobre la utilización de ésta por los riesgos que indudablemente comporta de aumentar con su uso los daños producidos por el propio fuego. Pero no podemos olvidar tampoco que, hasta ahora, el agua es el medio más rápido y eficaz de apagar un fuego intenso y no controlado. Por ello en casi todos los archivos se encuentran conjuntamente los diversos tipos e, incluso, en algunas respuestas se precisa el uso de unos u otros en función del material siniestrado.

La protección contra el posible robo de documentos se sigue basando en la tradicional cámara o caja fuerte de seguridad, y que muchas veces no lo es tanto, donde se albergan los más valiosos o secretos. En muchas respuestas se hace mención de sistemas de alarma conectados con la policía, en otras se omite la información por ser «confidencial». En algunos archivos existe ya un sistema de vigilancia por circuito cerrado de televisión (6 países).

Solo España e India apuntan la posibilidad de utilizar la red del aire acondicionado como vehículo de fumigación del depósito en caso necesario (fumigación por mando remoto). Sin embargo, es un procedimiento al alcance de cuantos posean dicha instalación y especialmente recomendable en los países tropicales afectados, casi endémicamente, de invasiones de insectos.

c) Instalación

Con escasísimo margen de error podemos afirmar que todos los nuevos depósitos de archivo están dotados en exclusividad de muebles metálicos (estanterías, archivadores...)

conjugándose, en muchos de ellos, la estantería de tipo tradicional y la densa o compactus. El sistema de estantería densa parece ganar terreno a la tradicional (18 países frente a 14) quizá, en algunos casos, simplemente por la novedad del procedimiento pero en muchos otros, con bastante probabilidad, por lo que supone de economía de espacio del que, por lo común, no están sobrados nuestros depósitos. En 11 países existen depósitos en los que los mismos pilares metálicos de la construcción sirven de montantes verticales de las estanterías y son los que soportan todo el peso del edificio (estantería autoportada). El sistema, en opinión de muchos tiene la ventaja de la economía y rapidez de construcción y de la inamovilidad que hace casi imposible la apertura del local cosa desgraciadamente no rara para otros fines. Pese a la utilización creciente de las materias plásticas en ninguna de las respuestas se hace mención a la existencia de estanterías de este tipo, pero quizá no esté lejano el momento en que hagan su aparición, siempre que se consiga subsanar su, hasta ahora, escasa resistencia al fuego.

El cartón, en ocasiones reforzado con esquinas metálicas, sigue siendo el material básico de las cajas y carpetas que alojan los documentos tradicionales de archivo. Lo que ya no se encuentra prácticamente en los nuevos depósitos es el viejo legajo escasamente eficaz en la protección de aquellos contra el polvo, la luz y demás agentes destructores.

La instalación de los documentos con sello sigue sin resolverse de un modo satisfactorio. Al igual que la de los mapas y planos se conservan, preferentemente, en horizontal dentro de archivadores metálicos. En algunos archivos holandeses se ha iniciado con carácter experimental la instalación suspendida de aquellos como ya se venía haciendo en otros lugares con determinados mapas y planos protegidos por fundas de plástico y fijado el sello por material del mismo tipo.

En 17 países se hallan archivos con material audiovisual, fundamentalmente, microfilme. En doce de ellos existen depósitos especiales para su alojamiento y 15 los poseen con climatización (control de humedad y temperatura) y en escaso número el control se extiende también al polvo y polución.

En lo que no parece existir uniformidad de criterio es acerca de las condiciones climáticas ideales para la conservación de este material. Los criterios más modernos fijan la temperatura entre los 10 y 14 grados y reducen, igualmente, la humedad relativa a un 40% e, incluso, menos. Por ello en algunos de los más modernos depósitos se indica la existencia de una cámara de aclimatación en donde este material deberá permanecer determinado tiempo antes de ser elevado a las salas de consulta y viceversa y también haría conveniente el independizarle del resto de los documentos del depósito cuyas condiciones óptimas de conservación admiten y aconsejan cifras más elevadas en ambos aspectos.

El material magnético se halla representado en depósitos de 12 países con el indispensable control climático de humedad y temperatura en todos ellos al que, en un 50%, se añade el de polvo y polución. Al no estar concebido, en general, para una larga duración plantea grandes problemas y obliga a una revisión periódica más frecuente que la del material audiovisual. A los efectos de alteración de aquel por degradaciones físicas y químicas se une en éste la posible magnetización producida por la temperatura o el tiempo y se hace necesaria una cuidadosa instalación de los circuitos eléctricos a fin de anular los campos magnéticos que todo cable produce y que pueden llegar a borrar lo registrado. Excepcionalmente, para este material las estanterías son de madera o de metal desmagnetizado, debiendo evitarse las vibraciones y choques.

Mientras que el transporte de los documentos a las salas de trabajo y consulta no está mecanizado, en cambio en seis países existen archivos que utilizan los tubos neumáticos para hacer llegar al depósito los boletines de petición de documentos.

En las respuestas de un 55% de los países se subraya la existencia de un personal dedicado, en exclusividad, al control y revisión periódica de los depósitos, personal que, en la mayoría de los casos, pertenece al cuadro científico, en menos al nivel técnico e, incluso, inferior y tampoco faltan ejemplos – quizá lo más eficaz – en que ambos niveles comparten dicha función.

Las condiciones que debería cumplir el depósito de nuestros días para que, a tenor de las

respuestas recibidas, pudieramos considerarlo como prototipo del nivel tecnológico presente serían éstas:

Material de construcción: Hormigón (con revestimiento hidrófugo y antipolvo).

Aislamientos: Térmico; acústico.

Disposición de las plantas: En compartimentos de limitada superficie (200 a 300 m²) y altura (alrededor de 2,5 m.).

Accesos: Puertas de cierre hermético y automático. Escaleras, ascensores y montacargas en el exterior del depósito.

Control ambiental: Climatización (humedad, temperatura, polvo y polución controladas).

Iluminación: Artificial provista de pantallas filtro-difusoras.

Instalación eléctrica: Antideflagrante.

Detección de incendios: Sensible a la elevación de temperatura, presencia de humos y modificación de la composición química ambiental.

Sistema de alarma: Situado en el propio archivo y en conexión directa con el departamento encargado de la extinción del fuego.

Acción de la alarma: Corte de suministro eléctrico; cierre hermético de accesos.

Extintores de incendios: Agua, espuma, CO₂ y polvo seco (Tipos AC).

Salidas de emergencia

Protección contra el robo: Instalación de células; circuito cerrado de TV; cierre de accesos.

Fumigación en el depósito: Mando remoto

Estanterías: Metálicas inoxidables (tradicional y compactus)

Protección directa de los materiales: Cajas y carpetas de cartón resistente y neutro; cajas de plástico antiácido; cajas de metal inoxidable.

Instalaciones especiales para: Material audiovisual; material magnético

II. – LA RESTAURACIÓN DOCUMENTAL ¹

En esta segunda parte del cuestionario se ha pretendido recoger, junto al número de centros de investigación y talleres de restauración de los archivos, sus características y los medios, procedimientos y materiales habitualmente utilizados en el proceso curativo, tratando de destacar cuanto de novedad en ellos existe.

a) Centros de investigación

Trece países disponen de Centros Nacionales de Investigación dedicados en exclusividad a los materiales gráficos. En todos ellos se realizan estudios y experimentaciones de carácter químico. En 11 se realizan también ensayos físicos y en 10 la investigación cubre igualmente el campo de la biología. Otros seis países manifiestan, a falta de un centro específico propio de los archivos, contar con la colaboración y apoyo de otras entidades. La investigación se realiza sobre los materiales tradicionales: papel, pergamino, sellos y encuadernaciones. Solo en dos casos se alude al inicio de una investigación sobre los problemas de conservación planteados por los materiales audiovisuales.

b) Talleres de restauración

De las respuestas recibidas se deduce la existencia de 217 archivos que poseen un taller de restauración en el que, en contadas ocasiones, se realiza alguna investigación aún cuando lo frecuente sea que se limiten al proceso curativo según normas de aquellos otros centros a los que hemos aludido. De estos 217 talleres, 85 han sido instalados después de 1960.

Las especialidades que cubren los talleres mencionados están en relación con los tipos de

1. El tema fué tratado en la XI Conferencia de la Table Ronde. V. Gut, Christian: Restauration des documents d'archives. *Actes des onzième et douzième Conférences Internationales de la Table Ronde des Archives*. Bucarest, 1969. . . II: . . . p. 66-75.

materiales que los correspondientes archivos alberguen. En el caso de los europeos se extiende a las cuatro materias básicas: papel, pergamino, sellos y encuadernaciones. Seis talleres aluden a la restauración de material audiovisual, restauración que, sin embargo, no parece avalada por la previa investigación científica, según hemos visto. Ello viene a confirmar, una vez más, que en este campo, como en otros muchos, el empirismo precede a la etapa científica.

c) Proceso de restauración

En el cuestionario se incluyeron todas las etapas posibles dentro del amplio proceso de restauración iniciado con la desinsectación-desinfección y terminado con la reintegración y laminación, con todas las operaciones intermedias del más complejo proceso: limpieza, lavado, eliminación de manchas, blanqueamiento, neutralización, reapresto-consolidación y lubricación de pieles y pergaminos. De todos y cada uno de estos aspectos interesaba conocer los métodos, procedimientos y equipo, a fin de obtener una panorámica actual de preferencias y posibles novedades.

Uno de los mayores problemas que la restauración tiene planteados es la desproporción evidente entre el ritmo restaurador, forzosamente lento por su gran base manual y el número de materiales necesitados de la misma, ya debido a un proceso degenerativo, producto de la natural vejez o a congénitas causas de inmediata alteración en materiales actuales de incorporación masivamente creciente en nuestros archivos.

Si en lo que respecta a la desinfección-desinsectación y a la laminación – en cierto modo principio y fin del proceso restaurador – el grado de mecanización supera incluso a los procedimientos manuales (vitricas de esterilización, procedimientos de fumigación por cámaras de vacío, cámaras de humectación-desección, laminadoras con elementos termoplásticos. . .) en las etapas intermedias y de modo especial en la que es clave de todo el proceso, la reintegración, la mano del experto, con todo su virtuosismo pero también con todas sus limitaciones, en lo que a rapidez se refiere, sigue siendo el elemento básico. Por ello queremos subrayar de modo especial, como auténtica novedad, la aparición en los últimos años de métodos mecánicos de reintegración de zonas perdidas – basados en el principio paplero de fabricación de hojas – por medio de pulpa de papel. Este método nacido en los países de Europa Oriental tuvo una favorabilísima acogida en otros (Austria, Israel, Alemania, Estados Unidos. . .) que han elaborado sus propias máquinas con similitud de diseño y limitadas en su aplicación a aquella finalidad reintegradora.

Ultimamente, bajo diseño y dirección del Centro Nacional de Restauración de Libros y Documentos, se ha construido en España y está ya en uso, un modelo basado en el mismo sistema y principio, pero que permite realizar, no ya solamente la reintegración, sino *todo el proceso restaurador* (fumigación, lavado, eliminación de manchas, blanqueamiento, neutralización, reapresto-consolidación y reintegración) de modo mecánico y con programación automática, utilizando, según las circunstancias lo requieran, gases, líquidos y pulpa de papel.

Esta mecanización de todo el proceso, además de suponer un ahorro realmente espectacular de tiempo, evita la manipulación del documento que, sin necesidad de desplazarse de su posición horizontal en el interior de la máquina, recibe todos los tratamientos curativos que precise. La difusión de este procedimiento permitirá salvar la, hasta ahora, enorme distancia entre material necesitado de restauración y posibilidades reales de efectuarla y hacer frente a situaciones de emergencia masiva, sin tener que recurrir a soluciones moratorias ante la imposibilidad de proceder rápidamente a su reparación.

Desinfección-desinsectación:

Amplia difusión tiene en todos los países que han respondido a nuestro cuestionario este tratamiento de valor preventivo y erradicador de microorganismos e insectos bibliófagos. Veintitrés países cuentan con medios adecuados para esta lucha y de ellos 13 utilizan procedimientos mecanizados a base de cámaras de vacío o vitricas y armarios especiales. Entre los productos utilizados ocupa el primer lugar, según los datos recibidos, el aldehído fór-

mico, quizá por ser, hasta ahora, el de mayor amplitud de uso en el campo sanitario, seguido por el etóxido (90% de CO₂ y 10% de óxido de etileno) más moderno y el paradichlorobenceno, aunque este comporte un método de fumigación más lento y no parezca eficaz en la destrucción del huevo del insecto. En cuarto lugar de utilización figura el ortofenilfenol, producto que también aparece frecuentemente incorporado a las colas por su alto poder fungicida, mientras que el uso del timol aparece en franca regresión.

Como novedad apuntamos los ensayos en laboratorio con radiaciones gamma que han demostrado su alto poder bactericida pero que, al igual que ocurre con los rayos ultravioleta, presentan efectos secundarios nocivos para el material celulósico.

Limpieza:

De los 22 países que responden a este apartado, 18 utilizan sistemas manuales para la eliminación del polvo y las manchas que éste ocasiona con la ayuda de brochas, saquitos de goma-jabón, cepillos y gomas no abrasivas con vibrador eléctrico incorporado que agiliza la de por sí lenta operación. Seis de ellos simultanean procedimientos manuales y mecánicos y tres emplean solamente estos últimos, consistentes en mesas o campanas de succión, aspiradoras y aparatos de aire comprimido.

Lavado:

Como procedimiento de restauración húmedo implica una previa prueba de la solubilidad de las tintas y pigmentos y la fijación de las mismas en caso positivo. El nailon soluble a 5% y una solución de acetato de celulosa en acetona son los fijativos de mayor difusión.

El agua destilada desionizada o desmineralizada es el agente limpiador más común, ejerciendo, a veces, incluso una acción neutralizadora. Le siguen en frecuencia de uso los detergentes neutros como el Lissapol, del cual hemos podido comprobar en nuestros laboratorios su alto poder inhibidor microbiano y los alcoholes.

De los 19 países que responden, dos hacen uso de procedimientos mecanizados, aunque solo uno (España) indica el método, consistente como ya señalamos, al igual que en el resto del proceso, en la utilización de la máquina reintegradora.

Eliminación de manchas:

Veintidós países responden manifestando el uso de una variada gama de productos entre los que destacan los disolventes orgánicos derivados de los hidrocarburos (preferentemente tetracloruro de carbono y benceno), el éter y el cloroformo, acetona, alcoholes, etc., naturalmente en consonancia con el tipo de mancha y procurando utilizar los de mayor amplitud polivalente.

Blanqueamiento:

Solo trece de los países encuestados hacen uso de este procedimiento debido, sin duda, al efecto debilitador del papel y empalidecedor de ciertas tintas de los agentes blanqueadores. En algunas respuestas se indica explícitamente «no se usa». Realmente su empleo solo está justificado en piezas donde el aspecto estético sea el valor predominante (dibujos, grabados) y siempre y cuando el papel presente un buen estado de conservación. Los productos más utilizados son de tipo oxidante ocupando el primer puesto la cloramina T, seguida del hipoclorito sódico, ya en uso el pasado siglo. En menos cantidad, según se deduce de las respuestas, se utilizan el permanganato potásico y el agua oxigenada.

Neutralización:

Desde que Barrow probó científicamente que el proceso degradatorio del papel era tanto más rápido cuanto más alto fuera su grado de acidez, la medición del pH y la neutralización consiguiente del documento a tratar en caso necesario es realidad imprescindible en el más elemental proceso restaurador. El método común a los 19 países que contestan a la cuestión es el acuoso y productos básicos los bicarbonatos de magnesio y calcio por este orden, aplicados, normalmente, por baño y por pulverización o nebulización en caso de neutralización masiva. Entre los productos no acuosos utilizados cuando las tintas sean solu-

bles en aquel medio, destaca el hidróxido de bario disuelto en alcohol. Para evitar de modo total los riesgos que siempre comportan los métodos húmedos se ensayan diversos productos gaseosos, pero solo el amoníaco aparece ya utilizado en talleres de restauración, aún cuando su permanencia siga siendo cuestionable. La neutralización en fase de vapor (VPD) por medio de carbonato de cicloexilamina sigue en fase experimental, pendiente del beneplácito de los científicos interesados en estas cuestiones.

Reapresto-consolidación:

Es de sobra conocido que después de un proceso más o menos complejo de restauración el papel necesita un tratamiento consolidante y de reapresto. Quince países contestan afirmativamente a esta etapa del proceso restaurador siendo la carboximetilcelulosa (CMC), producto realmente nuevo, el más difundido. Algún científico ha subrayado la tendencia a la rigidez del papel así tratado y la necesidad de proseguir la investigación sobre esta materia que tiene también, al parecer, efectos neutralizadores¹. Los veteranos consolidantes de origen orgánico, tales como la gelatina, engrudos y colas ocupan puestos preferentes al de los sintéticos (naílon soluble, acetatos polivinílicos). El corto tiempo de uso de éstos y desconocimiento de su comportamiento a largo plazo, influyen, sin duda, en la limitación de su empleo.

Lubricación de pieles y pergaminos:

Solo en talleres de 14 países se realiza esta restauración. La impregnación por productos tales como la cera de abeja, lanolina, aceite de cedro y ceras sintéticas microcristalinas, es el sistema más generalizado. España utiliza el tratamiento en baño del pergamino por polietilenglicol 400, que devuelve a éste su primitiva flexibilidad y nivel higroscópico. Este producto viene empleándose en la restauración de objetos de madera y cuero, pero, que sepamos, esta es la primera vez que se aplica a material de archivo. Los años de uso y diversas pruebas de envejecimiento acelerado realizadas en nuestros laboratorios avalan la eficacia de este nuevo producto.

Reparación de cortes, desgarros y reintegración:

En lo que al pergamino se refiere el procedimiento sigue siendo totalmente manual. Solo queremos destacar la creciente dificultad que los talleres de restauración encuentran para hacerse con el pergamino moderno de óptima calidad necesario para el injerto. Algunos laboratorios apuntan ya la utilización de materiales sintéticos supletorios para piezas de relativo valor.

En cuanto al papel, los 18 países que contestan utilizan procedimientos manuales y solo tres hacen uso también de sistemas mecánicos. La novedad del sistema mecánico consiste, según ya apuntamos, en injertar pulpa de papel en las zonas perdidas del documento, lo que permite elegir aquel tipo de pulpa que por su color, longitud de fibra, etc. más se adapta al original. Realmente espectaculares resultan la rapidez y perfección del injerto por lo cual es de prever una rápida difusión del método.

Dentro del procedimiento manual de reintegración solo cabe destacar el uso, cada vez más frecuente, del papel «tissue» con adhesivo incorporado — generalmente de tipo termoplástico — a base de acetato de polivinilo, di y triacetato de celulosa, acrilato, etc., fabricados por firmas especializadas cuyos nombres comerciales omitimos, al igual que venimos haciendo con los productos y equipo mencionados en cada capítulo. Incluso muchos de los laboratorios y talleres los vienen fabricando para su propio uso. Aplicados al documento por medio de espátulas termostatzadas procuran, indudablemente, mayor rapidez al tratamiento.

Laminación:

Es en este apartado donde la mecanización alcanza cotas más altas. De los 23 países que responden a la pregunta, 18 utilizan para la misma prensas hidráulicas o laminadoras rota-

tivas. Solo cinco actúan exclusivamente de forma manual (método indio de laminación por solvente o papeles con adhesivo incorporado) y 12 simultanean ambos procedimientos. Pese a los recelos que la laminación mecánica sigue despertando por las altas temperaturas y presiones que comporta, parece haberse incrementado su uso en los últimos años como lo prueba el que, a través de las respuestas recibidas, se puedan enumerar hasta once marcas comerciales.

El acetato de celulosa sigue siendo el material adherente más solicitado, aún cuando el polietileno, una vez comprobado que cumple la norma de reversibilidad exigible a todo material y método aplicado a la restauración documental, vaya ganando adeptos por su mejor y mayor estabilidad, índice de refracción, elasticidad y resistencia a la rotura.

III. — LA REPROGRAFÍA DE LOS DOCUMENTOS DE ARCHIVO ¹

De todos es sabido el doble valor preservativo y de difusión que las técnicas reprográficas (entendiendo el término en el más amplio sentido de su acepción) con respecto a los documentos de archivo. Gracias a su utilización, cada vez más común, el archivero puede hacer frente con eficacia y seguridad a ambos aspectos de su profesión, esencialmente antagónicos, ya que en la utilización constante del documento está, precisamente, una de las causas principales de su destrucción.

De los métodos reprográficos en uso el más eficaz, difundido y recomendable para nuestros fondos es la microforma en su aspecto de microfilme, como ya venía ocurriendo, que permite la conservación en reserva del negativo maestro y la obtención, a partir de un segundo, de cuantas copias se precisen.

a) Laboratorios de reprografía

Diez países manifiestan tener sendos Centros nacionales o departamentales de microfilme que prestan servicio a otros archivos, en tanto que son 245 los archivos, según los datos recibidos, que poseen un laboratorio de reprografía que incluye la microfilmación, 98 de los cuales creados a partir de 1960.

En 21 países existen laboratorios de reprografía dotados del equipo básico para la microfilmación, procesado y duplicado de la película, mientras que 3 manifiestan poseer solamente cámara microfilmadora realizando fuera del laboratorio el resto del proceso. Contrariamente a lo que cabría suponer, solo 16 países indican la existencia en sus laboratorios de sistemas de copiado electrostático.

La cámara normal de microfilmación, de marca diferente según los países, es la de base plana, cosa lógica teniendo en cuenta las características de los documentos de archivo de muy diverso formato, estado de conservación y, con frecuencia, formando volúmenes. En laboratorios de cinco países parece coexistir con la cámara de flujo. Solo en un país la cámara de microficha forma parte también de su Centro nacional de microfilmación.

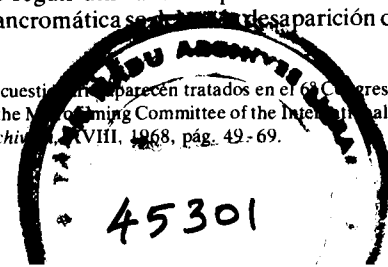
Archivos de once de los 21 países indicados recurren a los servicios de casas comerciales o de laboratorios de los Centros nacionales, departamentales, otros archivos o instituciones afines.

b) Características de las microformas

El microfilme de 35 mm. de sales de plata con base de acetato o triacetato, no perforado y pancromático es el de uso común en los laboratorios de casi todos los países (24 países). Once de ellos declaran utilizar ¿o poseer? microfilme perforado y uno el perforado exclusivamente. Solo un país parece seguir utilizando la película ortocromática y son varios los que indican que su paso a la pancromática se ha producido por la desaparición de la primera en el mer-

1. Kathalia, Yash Pal: *Conservation et restauration des documents d'archives*. «Documentation, bibliothèques et archives» 3. Unesco, Paris, 1973

1. Algunos de los aspectos de este cuestión aparecen tratados en el 6º Congreso Internacional de Archivos. Madrid 3-7 sept. 1968. V. Report of the Meeting Committee of the International Council on Archives presented. . . by Albert H. Leisinger Jr. *Archivum*, XVIII, 1968, pág. 49-69.



cado y no a voluntad propia. No podemos olvidar, en efecto, que con más frecuencia que la deseada es la industria la que nos impone cambios basados no tanto en nuestras reales necesidades cuanto en su propia conveniencia.

Seis países responden afirmativamente al uso de la película de base de poliéster como primer positivo o segundo negativo por considerarla más resistente y ser de menos espesor, lo que permite ganar espacio en su almacenaje. Con soporte de poliéster o de acetato aparece iniciado el uso de la película de inversión de sales de plata (paso directo de negativo a negativo) en algún laboratorio de ciertos países, aunque todavía en reducido número. Doce países señalan igualmente la utilización de película con base diazoica (diaz o vesicular).

Solo en los laboratorios de dos países se emplea el microfilme de 70 y 105 mm. para la reproducción de mapas y planos de gran formato y en otros 9 se aplica el de 16 mm., fundamentalmente, para la reproducción de instrumentos de consulta o documentos de reducido y regular formato que pueden insertarse en fundas y duplicarse en forma de microficha.

Seis países manifiestan utilizar también la microficha como material de reproducción de documentos aún cuando solo uno manifiesta poseer en su laboratorio el equipo adecuado para poder realizarla. Alguno indica que se obtienen fuera del laboratorio del propio archivo y en otros casos cabe suponer que aquella es obtenida a base del jacket de 16 mm. como antes indicábamos.

c) Aplicaciones de las microformas y otros sistemas reprográficos

Si bien ciertas aplicaciones forman parte de otra ponencia por corresponder a la faceta de accesibilidad, nos parece oportuno hacer mención de todas ellas con objeto de conocer las características y preferencias del sistema empleado en cada caso.

Microfilme de referencia: Veintiocho países utilizan el microfilme de 35 mm. en sales de plata con fines científicos, de servicio al investigador. Ocho difunden además copias en diazo o vesicular. Veinte entregan copias en negativo y positivo y seis en negativo y uno solo en positivo.

Microfilme de seguridad: Veintidós países poseen archivos con microfilme de seguridad con base de plata y en negativo. Solamente en seis de estos países aparece mencionada con fines de seguridad la película de base diazoica (diaz y vesicular), sobre la permanencia de la cual y, por lo tanto, de su valor como material de archivo existen grandes discrepancias. En 15 países del grupo de los 21 se utilizan igualmente el microfilme de plata positivo para archivo de seguridad.

Microfilme complementario: Es menor el número de países en cuyos archivos existe microfilme complementario de fondos o series (17). Todos ellos en negativo y con base de sales de plata. Catorce disponen de copias positivas de los cuales solamente dos manifiestan no servirse de negativos.

El *microfilme* como medida de *preservación* del documento original parece también bastante utilizado. Diecinueve países responden afirmativamente y, al igual que los casos anteriores, todos utilizan el filme de base argéntica que en cinco países simultanean con el de base diazoica. El microfilme es negativo en 16 países, de los cuales 9 forman parte también del grupo de 11 que dice utilizar la forma positiva.

Publicaciones en microfilme: La información bibliográfica de que disponía¹ parecía indicar no existir, en la actualidad, muchos países que se sirvieran de dicho procedimiento. Sin embargo, 13 han respondido afirmativamente a la pregunta, por lo que cabe suponer una diversa interpretación del término. El filme que en estos casos se suministra es en forma positiva.

El *microfilme* como *sustituto* del documento original con vistas a su posible eliminación aparece utilizado en 11 países en película de sales de plata, mayoritariamente en negativo y 7 bajo ambas formas.

1. Gifford, Daphne H.: Microfilm policies, practices and holdings of national archives. International Council on Archives. *Microfilm Committee. Bulletin* 3, pág. 31-44.

La *reproducción de instrumentos de consulta* por medio de microfilme se halla utilizada en 11 países, siete de los cuales emplean el de plata tanto en positivo como en negativo, 3 solo en negativo y 4 en positivo. La película de base diazoica aparece indicada en 4 de ellos.

Mucho menor, lógicamente, es el empleo de la *microficha* para los anteriores fines. Solo 4 países contestan afirmativamente sobre su uso: dos como material de referencia, seguridad, complemento, preservación, publicación y economía de espacio y para reproducción de instrumentos de consulta, otro en todos los casos excepto el último, un tercero para preservación y publicación y el cuarto para instrumentos de consulta, finalidad esta última para la que, a nuestro juicio, resulta más idónea su utilización.

La copia electrostática reseñada por 12 países tiene su uso más difundido en el de referencia e instrumentos de consulta. Más extraño parece su empleo como material de seguridad – ante las fundadas dudas acerca de su duración – como 4 países indican.

La aplicación de la copia rápida, sistema offset, parece mínima a juzgar por las respuestas. Sin embargo, cada día son más frecuentes las publicaciones de los instrumentos de consulta de los archivos por este procedimiento mucho más económico que el de la tradicional impresión y lo mismo ocurre con los procedimientos de reproducción facsimilar que solo cuatro países indican usar con fines de referencia.

La reproducción de mapas y planos en microfilme es procedimiento normalmente usado, generalmente en 35 mm. Solamente 4 países aluden al uso de la ficha de ventana para esta finalidad, sistema que, además de permitir la consulta individualizado del documento abre posibilidades a una mecanización de manejo al estar concebida la ficha con un formato idóneo.

Lo que parece caracterizar en líneas generales nuestro momento actual es la multiplicación de depósitos de archivo que han alcanzado el alto nivel tecnológico de instalación, garantía de la óptima conservación de los documentos en ellos custodiados. El archivo perfecto o casi perfecto, de acuerdo con los actuales conocimientos sobre preservación y los niveles técnicos de la industria, ha dejado de ser un hecho esporádico para pasar a encontrarse representado en casi todos los países y latitudes.

En el campo de la restauración merece destacarse la creciente tendencia a la mecanización del por sí lento proceso curativo, hasta el punto de poder realizarse ya, para documentos en papel, de modo totalmente mecánico, por medio de una sola máquina. A este sistema puede augurársele un prometedor futuro, ya que permitirá la restauración de gran cantidad de materiales, hasta ahora relegados a indefinida espera en beneficio de un pequeño número de piezas señeras, únicas a las que podía alcanzar el lento proceso manual.

El incremento de las técnicas de microfilme aplicadas a los fondos de archivo se evidencia con solo comprobar que desde 1960 se han montado un 40% de los laboratorios existentes.

Toda esta evolución es producto indudable de la colaboración creciente entre el archivero y otros profesionales con campos de actividad incidentes en el complejo problema de la conservación documental, con el consiguiente aumento de la literatura específica y la creación de centros de investigación y aplicación de la misma vinculados a las propias instituciones archivísticas, sin el concurso de todos los cuales sería imposible una adecuada política en campo tan necesitado de asistencia científica y técnica.

PROCEEDINGS OF THE SESSION PROCÈS-VERBAL DE LA SÉANCE

PANELISTS' CONTRIBUTIONS / EXPOSÉS

Mr. Arid ARAD¹ (Israel): *Main points and significance of the technological revolution in archives.*

I am grateful for the clear picture presented to us of conditions in the fields of automation, conservation, microfilming and other technical aspects of archival activity. Before commenting on the overall picture I should like to stress some points mentioned in the papers.

To Mr. Bell's very precise account of the problems involved in using machine-readable material in archives, the following comments may be added:

Legal status of machine-readable records

There seems to be some doubt as to whether such records are acceptable as evidence in courts of law. Until that point has been clarified we should exercise extreme caution in replacing conventional by magnetic records.

Use of machine-readable records

There is a fundamental difference between a magnetic tape and, say, a microfilm. Whereas a microfilm can be read by means of relatively inexpensive machines which do not require specially trained personnel, the "reading" of a magnetic tape requires a computer with a professional staff to operate it. Two solutions may be found for this problem:

(a) A drastic development in computer hardware, without which it seems inconceivable that archives – at least in small countries – would be able to maintain their own equipment and staff.

(b) For the time being, methods should be devised for cooperating with agencies outside the archives to facilitate the use of machine-readable records.

Invasion of privacy

This has become a popular scare. It is probably nothing but a scare. Archives have been handling personal records for a long time, and measures to safeguard privacy seem to have been quite adequate so far. On the contrary, the computer is obviously capable of selecting only non-identifying data and thus may make personal records accessible to users without breach of privacy.

Security copies

A further use of magnetic tape should be considered as a security copy. The Israel State Archives have been using magnetic tape for this purpose in some instances. In this connection the importance of proper documentation, the deposition of relevant programs, etc., can hardly be exaggerated.

Conservation techniques

Conservation techniques are now widely used but there have hardly been any innovations. Mrs. Crespo has emphasized this point which calls for our consideration. Personnel

1. Deputy Director, Israel State Archives, Jerusalem.

engaged in conservation work feel that the present state of the profession leaves much to be desired, in particular the slow pace of development. Why this is so and what to do about it, should be a matter of serious concern to us all.

Mechanization and mass-restoration

There is a tendency towards mechanization and automation of restoration processes which have to cope with the vast amount of modern documents that are beginning to pile up in conservation workshops. This is a welcome trend, and the Spanish "total" machine as well as the molding machine developed by Mrs. Alkalay are good news, indeed. Similar needs and considerations have prompted the Israel State Archives to mechanize spraying processes. What is still lacking, in my opinion, is the development of fast and reliable *dry* methods of restoration.

Conclusion

The overall picture seems to be that microfilming and photography in general have been well received in archival institutions. The well-supplied market in photographic equipment and materials provides us with a wide choice to apply the methods considered most suitable for our own requirements.

Automated data processing poses a twofold problem. As consumers, using ADP methods for their own processing, archives might be expected to derive the same benefits from ADP as from microfilming. On the other hand, as guardians of ADP products, archives are faced with a different set of problems: there are still no standardised procedures for the documentation, deposition, conservation, use and disposal of ADP records.

New developments in computers will in due course, we hope, help archival institutions to solve their own particular problems of hardware – though it would certainly be useful to make producers aware of our specific needs.

Conservation is a different matter. We do not have any market to speak of outside our own community. This means that we have to rely on our own resources. Our main tasks are to speed up and to reduce the cost of restoration processes which we should render as fast, cheap and simple as microfilming. Little or no help can be expected from outside industries, and therefore archival managements should make efforts, financial and otherwise, to achieve these aims.

What seems to have been almost entirely neglected is the field of stores management and handling techniques. These lack the professional glamour attached to photography or restoration work, and receive no direct attention of researchers. Whatever the reason, very little is reported to have been done in the last decade to improve the handling, transport, etc., of records. This matter calls for the serious consideration of anyone concerned with the advancement of the profession.

There can be little doubt that present circumstances demand the emergence of a new kind of archivist: he should be competent and interested in technical problems, keeping abreast of technological progress and willing to adapt relevant new developments to archival needs. Earnest discussion should be devoted to ways of how to encourage this new type of colleague in the archives.

Mr. Maina KAGOMBE¹ (Kenya): *For a new definition of the role of the archivist.*

The three papers are well written, informative and convincing. They are also similar in their methodological approach because they were based on written survey questionnaires mailed to certain individuals in member states all over the world. The replies were important because at least two-thirds responded. The answers indicated problems in personnel with specific specialization; inability of archivists to change and adopt new techniques; lack of concern or realization of the impact that modern science and technology has had upon the archival profession.

Mr. Kurantov starts his paper by defining "social management" to mean the influences on society as a whole and on its separate areas of activity, namely: economic, social-political, and spiritual life, which ensures their normal functioning, the quantitative standards, improvements, and successful improvements toward a given goal. He then proceeds to the concept of "Archives Management" which, according to our Soviet colleague, is the building of an archival service within the bounds of a specific bureaucratic structure. On "structural approach" this is the foundation of the archival profession. It follows therefore the impact of the scientific and technological revolution on both social and archives management – an archivist should try to deal with arts and science of "management of informational knowledge" which will in turn change individuals and our respective societies.

In the final analysis of this paper one has to be careful because if we push this to an extreme, machines will be there to be served by man rather than to serve man. I am also wondering whether our Soviet colleague implies that what he describes is what the Soviet archives have accomplished or is it merely an ideal goal? If it is a reality I would recommend that archivists visit Soviet Union to acquaint themselves with the system.

Mr. Bell's paper tries to demonstrate how new devices have entered into the archival profession directly and indirectly. He suggests that these instruments, like computers, might have important "data" which could be translated to informational knowledge by archivists. He suggests therefore that it is important for the archivists to be flexible and learn how to use these machine-readable archives. Specifically he recommends that archivists interest themselves in information which might provide evidence about the common and basic features of human life, their interrelationships, their rate of change, their stability. It is on this ground I have argued that unless archivists acquire computer, documentation and information skill of research it may be lost to other competing disciplines.

Madame Crespo's paper goes to the heart of the archival profession. It traces the development of the profession since 1960 in Stockholm. Her major themes are the aspect of "preservation", restoration and reprography in general. This covers general protection of documents which calls for a specific archival building with certain architectural characteristics. What she fails to do is to caution us on the shortcomings of the new methods of conservation, preservation and reprography, and how we should overcome these problems. It seems as if the archivist do not have a say as to the type or nature of machines he wants. If archivists want to be prepared to carry serious suggestions to manufacturers, rather than wait for tools to be developed for them, they have to engage in serious research methodologies – both in social and scientific fields.

In general, I feel that an archivist has to redefine his roles in a broader sense. This is important because in many instances archivists regard themselves as historians. In my opinion archives are not limited to history and social sciences. It is the totality of knowledge and wisdom which embraces both arts and sciences with interdisciplinary overtones. An archivist has to involve himself in economic planning and development as well as provide information for decision-making and policy formation.

Futhermore, an archivist in the developing world has to change from the European and American approach of merely receiving records and never play a role in creating records. We have to recognize the fact that the history of the Third World and Africa in particular is neither recorded nor documented. This is the same because our societies transmitted their cultural heritage through word of mouth and artifacts from generation to generation. It is therefore important to engage in research on Oral Tradition and National Languages. On my opinion it is high time an archivist should realize that he is more than a "keeper" of records. He has to be involved with the "production" of records and influence them wherever possible. If not, an archivist will find himself with too much work trying to do what he could have done when records were being generated. In addition, an archivist has a task of educating the "user" of information as well as giving his profession publicity and articulating what an archivist does for research, government officials, and the public at large; in turn they must inform him on what they can do to make an archivist serve them more efficiently and effectively.

1. Chief Archivist, National Archives, Nairobi.

Finally, let me make three suggestions for future ICA meetings:

1. That papers should be prepared on research on oral tradition and national languages;
2. That a committee should be formed and invite papers towards the developing an archival body of knowledge for the professional;
3. That ICA should address itself to UNESCO's programs and specifically exploit NATIS, UNISIST and DEVISES Services.

Dr. Frazer G. POOLE¹ (USA): *Experience and research in preserving archival documents.*

In the five minutes to which we have been limited it is difficult to present a critical statement which will do justice to the three very excellent papers prepared by this morning's speakers. Nevertheless, I shall try to speak on some specific points which seem to me particularly important. My remarks are limited to the subject of preserving archival documents.

Madame Crespo's questionnaire developed a large amount of useful and informative data covering the present state of the art in the area of preservation and restoration. I found it very interesting indeed. Unfortunately, such surveys capture many facts, but do not elucidate the research, the reasoning, or the philosophy behind the facts. They always leave us wishing we knew more.

With regard to fire protection – the increase of arson, in this country at least, and of bombings and other acts of terrorism everywhere, suggest to me that both archives and libraries ought to be thinking about more effective methods of combatting fire in repositories. The recent development of the new "on-off" sprinkler head in which the water shuts off automatically seven to eight seconds after the temperature drops below 140°F. (60°C.), now makes this form of protection worthy of serious consideration by archivists, despite our traditional reluctance to employ water-based extinguishing systems.

In the discussion of fire extinguishing agents. I also note the fact that Halon 1301, a halogenated compound which has proved extremely effective in this country, is apparently not as widely known as it should be. Here, it is used increasingly for the protection of valuable collections in both archives and libraries. Unlike CO₂, Halon 1301 is harmless to personnel. It is also harmless to documents – an obviously important consideration.

The idea of using the air-conditioning system as a means of fumigating an entire building is new to me and I am interested in knowing what chemical agents have been used for this purpose and how effective the technique has been.

The Crespo paper also calls attention to one of the most serious problems with which we must concern ourselves – the preservation of magnetic tape. As yet, there seems to be no satisfactory solution to this problem. Those of us who must preserve collections of machine-readable records can only pray that 20 years from now these records will still be usable. Unfortunately, magnetic audio tapes are no more permanent.

Although closed-circuit television was noted as a major means of protection against theft, other effective techniques should not be forgotten. Ultrasonic and infrared detectors for intruders, vibration and radio alarms for exhibit cases, card-activated locks tied to computerized security systems as a guard against unauthorized entry, and similar devices can all be effective under certain conditions and for specific purposes.

In vacuum chamber fumigation, a mixture of ethylene oxide and carbon dioxide has been the fumigant of choice in the U.S. for many years. More recently, ethylene oxide and freon – which is more effective than the former mixture and requires shorter treatment time – has been introduced.

In cleaning documents, recent experiments have utilized laser technology. So sensitive is this method that it is possible completely to remove pencil marks without disturbing the fibers of the paper. It is likely to be a long time before this process becomes economically feasible or technically feasible outside of the laboratory, but it is an interesting innovation in cleaning techniques.

1. Assistant Director for Preservation, Library of Congress, Washington D.C.

I noted with some concern the continued use of carbon tetrachloride as an agent for removing various kinds of stains. The extremely high toxicity of this material suggests that it ought to be used only with extreme caution if not abandoned outright. Such solvents as tetrahydrofuran, methylene chloride, or the others mentioned are more effective in most cases and certainly less hazardous to personnel.

Deacidification agents not reported in the Crespo survey, are magnesium methoxide and methylmagnesium carbonate, both solvent-based products which are significantly less toxic than barium hydroxide and more effective. Ammonia was long ago shown by Barrow and others to provide such short time effectiveness that its continued use comes as a surprise. Vapor phase deacidification has been advanced by three new processes, each patented: magnesium methoxide by Richard Smith, morpholine by the W. J. Barrow Research Laboratory, and di-ethyl zinc by the Library of Congress. Dr. Smith's method is now in experimental use on a large scale in one installation. The other two methods show promise but are not yet perfected.

It is surprising to discover that lamination continues in widespread and even increasing use, despite the objections that have been raised against it and the fact that it lacks archival permanence, and despite the fact that an instantly reversible, more economical, and substantially less damaging technique exists for the protection of fragile documents in the process of polyester film encapsulation.

It was equally surprising to note the rather substantial use of diazo and vesicular type microfilms – two notoriously non-archival processes. It seems appropriate to question the expenditure of funds for techniques which provide no possibility of permanence.

I shall remark on only one aspect of Mr. Bell's paper. He notes the concern of archivists about the permanence of magnetic tape, but suggests that our only recourse is "to conserve it according to the highest standards and to rely on being able to convert to a better medium if and when it arrives." It may be that Mr. Bell is right, but I am less certain about our ability to preserve such records than he is. I believe it is Madame Crespo who notes that we are too often at the mercy of the manufacturers. In this case I suggest that we ought to be pushing the manufacturers into research programs necessary to assure the permanence of the machine-readable record. I find myself thinking that the cost of such conversion for any large body of records is going to be astronomically expensive. It seems to me almost a foregone conclusion that before the new medium arrives, many thousands, if not millions of bits of information are going to be lost.

Mr. Kurantov's paper I found extremely interesting in many respects. One could wish, however, that he had given us more specifics about some of the many processes to which he referred. One statement in his paper we should all take to heart – Mr. Kurantov notes that "preservation is the most important function of archives management" – a philosophy not always subscribed to but one which ought to be engraved above the doors of all libraries and archives.

Dr. Sigurd RAMBUSCH¹ (Denmark): "*Revolution*" or "*evolution*"?

1. *Mr. Kurantov's report.*

Mr. Kurantov's report on "Advances in archival management science" is by far the longest and most detailed paper presented in this congress. It raises a lot of interesting questions, and therefore I shall deal with it a little longer than with the other two.

The concept of "archival management science" is new, at least to me.

In my opinion, there is no such thing as one "archival management science". There are many sciences and technologies that influence archives: statistics, computer science, the numerous sciences and techniques connected with the preservation of records, including microforms and magnetic tape; building programs should be based on research, etc.; but the task of archive management is to use these sciences and technologies. It takes planning,

1. Riksarkivet, København.

budgeting, personnel management, careful selection of work to be done, etc. Management is not a science but rather a political task. I can subscribe to the Soviet view that "archives management means purposeful activity directed toward effecting the optimal functioning of an archives service". Leave it there: purposeful activity, not a science.

27 archives in 22 countries answered Mr. Kurantov's questionnaire. How many received it? There are too many answers from countries, which because of their lack of development have little to contribute. On the other hand, some highly developed countries like France, Spain, Italy, and Switzerland seem to be missing; the author, however, brings some news from the missing countries, mainly from printed sources. The answers also show that some questions were misunderstood, and the detailed survey of who answered what is, therefore, of limited value. The answers should have been boiled down to conclusions.

In my opinion, political and ideological differences receive too much attention. Mr. Kurantov is right in stressing that "a single centralized system on a national scale" can help the development of archives, but the system introduced by Lenin in 1918 was not unique. Centralized archival systems were found in Western Europe before 1900 and their number is increasing. It is true that they do not exert authority over private business archives and that their powers are smaller than those of archival systems in socialist countries, but they can, nevertheless, achieve very good results.

Planning is highly developed in socialist countries. In the Soviet Union, the five-year plan of the State Archival System is part of the State's five-year plan. This may be necessary and may produce good results, as Mr. Kurantov writes. But it may also happen that improvisation and individual initiative are hampered by detailed plans. Also, it must happen from time to time that a plan turns out to be bad; is it then changed, or is this too difficult? Making a science of planning is a sort of escapism: the manager cannot escape his responsibility by seeking "scientific" solutions to problems which are political, social or psychological. On the other hand, it is true that a complete lack of planning can do great damage: some actions overlap, others are not taken at all. A middle way must be found.

Mr. Kurantov writes of the "standard working hours on basic kinds of work performed in the State Archives", which aims at increasing labor productivity and efficiency. He ignores the positive sides of personnel management: education, motivation in particular, and the welfare of the personnel might be more important than developing science and technology. It is his aim "to find objective criteria to judge the effectiveness" of the utilization of documents. Many examples of the usefulness of archives can be given, but is it possible to establish objective criteria?

There is much useful information in Mr. Kurantov's report. The EGSD and the USORD Systems of records management sound interesting. They attempt to control the stream of paper in the administration of the Soviet Union. But how do they function? I would like to hear more about this.

2. Miss Crespo's report.

One of the concluding remarks in Miss Crespo's report should be remembered by the organizers and contributors of future congresses. Questionnaires on the same topics should be standardized so as to allow for comparisons between reports of different congresses.

Miss Crespo presents a well digested survey of the present state of affairs in repositories and in the fields of conservation and reprography. She does not mention each separate answer but promises that we can get details from her. She shows a sound scepticism towards the answers, e. g. on "moisture and temperature control" in repositories.

The conclusions of this report are, on the whole, optimistic, but it is truly said that "more often than is desirable, it is industry which imposes changes on us, based less on our true requirements than on their own convenience".

(Semi-) subterranean repositories receive great attention, but it must not be forgotten that their indispensable air conditioning make them increasingly expensive to run. With some reservation, Miss Crespo notes that compact shelving is gaining ground over tradi-

tional shelving because of "the presumed saving of space". The compact system, under ideal conditions, provides almost twice as many shelves as the traditional system on the same area, but it has other minusses which could have been mentioned.

The Spanish "reconstituting machine" which can with automated programming master "fumigation, cleaning, elimination of stains, bleaching, neutralization, resizing, consolidation, and reconstitution" sounds so fantastic that Miss Crespo ought to have given more details, especially about the capacity and the price!

3. Mr. Bell's report.

Mr. Bell's report is based on the author's experience and reading, not on questionnaires. It has many question marks, which is natural in this new field, but it also has useful suggestions and pieces of advice.

It is the experience of Danish archivists that, apart from special technical problems, machine-readable records are to be treated like human-readable records. I therefore do not agree with Mr. Bell's remark that archives should "check the data against the documentation and the sources so as to trace and clean out errors." "Cleaning out errors is not done in traditional records; archivists deal with records, not primarily with data, and the users must be critical, we cannot clean out errors for them.

I also disagree with Mr. Bell when he assures his colleagues that archives need not their own computers. Copying and maintenance checks are most economically carried out if archives have their own computers, and security and privacy are best provided for in that way.

And last, psychological barriers certainly seem insurmountable when archivists approach computer installation managers. My suggestion is that the archivist should first contact the administrative manager, not the computer people, whose language he does not speak and who do not understand his.

INTERVENTIONS

Sr. Guillermo DURAND FLOREZ¹ (Perú) : *Progreso en la ciencia administrativa de Archivos: relaciones públicas.*

Uno de los problemas derivados del progreso en la ciencia administrativa de Archivos, es la comunicación y difusión alcanzada en esta ciencia. No me refiero a que falte comunicación con especialistas, quienes en mayor o menor grado tienen este conocimiento, sino al alcance y las ventajas prácticas que proporciona el buen funcionamiento de la ciencia archivística como consecuencia de su ejecución por los Archivos. No todos los Gobiernos tienen un claro conocimiento de estas ventajas y del desarrollo de la ciencia de administración de Archivos por no estar debidamente informados y no es fácil cambiar la mentalidad que sigue pensando en los archivos como conservadores de fuentes históricas y no en su función de colaboradores directos e indispensables de la Administración Pública, ni en el desarrollo científico adquirido. Es necesario pues, que los Gobiernos tomen plena conciencia de este servicio y sus ventajas, lo cual se obtendrá mejor con un plan de relaciones públicas de carácter internacional.

Recomiendo que el CIA desarrolle un plan de viajes de expertos que colaboren con los Archivos que lo requieran para que realicen una labor de relaciones públicas para que en contacto con los funcionarios de gobierno u otras entidades, tomen conciencia de la necesidad y utilidad de la función real de los Archivos.

1. Director del Archivo General de la Nación, Lima.

Dr. Gyözö EMBER¹ (Hungary): *The revolution in archival terminology makes a new international glossary necessary.*

The archival revolution of our time discussed at this Congress also comprises archival terminology, which is too undergoing a revolutionary process of change.

Parallel with progress in archival methodology, new concepts are developing, the designation of which demands new terms. In Hungary, for instance, thirty years ago, all archival finding aids were called "inventories"; now, we distinguish between more than thirty kinds and types of finding aids and we call them by different names.

It is easy to understand why the question of archival terminology was and is under reconsideration in more and more countries. In the very instructive report of our colleague Mr. Kurantov, we find a good summary of published glossaries and of those in preparation in different countries in recent years.

In addition to national glossaries in one language, the necessity has also arisen for international glossaries in several languages.

The ICA has recognised this necessity relatively early. On its initiative an international glossary in six languages was published in 1964. But this glossary (known as "Elsevier's glossary" because it was published by Elsevier in the Hague) is no longer satisfactory. It was prepared without contributions from the socialist countries and it includes only 175 terms.

I propose that the ICA should place the question of an international glossary once more on its agenda and should invite the socialist countries, which are preparing a common glossary for their own use, to participate in its preparation.

As far as I know the Executive Committee has already decided on the preparation of such a new international glossary. The significance of the question makes it necessary that the decision of the Executive Committee should be confirmed by a resolution of this Congress.

Mr. Raymond WRIGHT² (USA): *Some requirements for security preservation of microfilms.*

Most archivists realize that a document is not preserved simply because its image has been recorded by the microfilm camera. Registration of the document in a film catalogue, careful storage of the film and control of photographic quality are necessary before the document's future existence can be insured. After a microfilm has been processed and inspected for readability, the camera negative is customarily stored in an environment which is conducive to long film life. It is at this point that a critical problem arises: for lack of space, some archivists are forced to store films at or near the facility where the original documents are housed. Should the archives complex be damaged or destroyed, the archivist risks the total loss of the information contained in the once preserved sources. To avoid this problem, the archivist should store the camera negative in a secure location widely removed from the archives building. A further precaution would be to make several copies of the film available to other research centers. If these precautions are taken, the archivist can be reasonably certain that the microfilmed sources from his archives will remain preserved for use by future generations.

Dr. Oleg MIHAÏLOV³ (USSR): *Some problems of computerisation in archives.*

In view of the high cost of computers, archives are practically implementing automation only for documents of outstanding importance, e.g. documents related to remarkable events or prominent personalities, or for documents interesting a large number of researchers.

In some archives with large bulks of documents, computers are used (sometimes by means of computer time's loan) for computerisation of catalogues and indexes. The de-

velopment of an automatic retrieval system is certainly justified for archives of a scientific and technical character, such as R & D reports. Indeed, it should even be included in the recommendations of this Congress. On the other hand, when archival documents are mixed with current materials, computerisation is only justified if there is an interconnection between the archival information system and the corresponding information system of the institution itself.

As far as microfilming problems are concerned, it is desirable to prepare with ISO a draft of an International Standard on the legal validity of microforms instead of the original documents.

Dr. Reiner GROSS¹ (Deutsche Demokratische Republik): *Vereinheitlichung und Rationalisierung der Erfassung und Verarbeitung maschinenlesbarer Informationen in der Deutschen Demokratischen Republik.*

Die positive Auslese maschinenlesbaren Schriftgutes zur dauernden Aufbewahrung wird für die Ergänzung des Staatlichen Archivfonds der DDR als wichtig angesehen. Die Bewertung des maschinenlesbaren Schriftgutes geht in erster Linie vom Inhalt und der damit verbundenen Aussagekraft der Informationen aus. Die technische Überlieferungsform ist erst in zweiter Linie von Bedeutung. Besonders wichtig sind in unserem Land durch Inhalt und Umfang der Informationen die maschinenlesbaren Daten des gesamtstaatlichen Informationssystems „Rechnungsführung und Statistik“, das auf der Grundlage des gesellschaftlichen Eigentums nicht nur die staatlichen Organe und wissenschaftlichen Einrichtungen, sondern auch die gesamte Wirtschaft umfaßt. Dieses System bietet für die Bewertung sehr günstige Bedingungen, weil die Datenerfassung, Datenverarbeitung und technische Realisierung nach einheitlichen Normen gestaltet ist. Es existieren staatliche Normative für ein einheitliches Belegwesen, das die zentrale Speicherung von Daten aller dieser Institutionen, die in einer gesamtstaatlichen Systematik numerisch identifizierbar sind, erlaubt. In einem Gesetz sind umfassende Regelungen über Aufbewahrung, Aufbewahrungsfristen, Kassation und Abgabe des maschinenlesbaren Schriftgutes einschließlich der Programmdokumentationen an das Archiv getroffen worden. Den in Datenbanken eingespeicherten Primärdaten wird dabei gegenüber den aggregierten Daten der Vorzug gegeben.

Für die vorgesehene Übernahme von Datenspeichern in die Staatsarchive der DDR erweist es sich als bedeutungsvoll, daß die darin enthaltenen maschinenlesbaren Datenträger einschließlich der Programmdokumentationen im Rahmen des für die Staaten des Rates für gegenseitige Wirtschaftshilfe eingeführten einheitlichen Rechnersystems ESER auch für die Zukunft kompatibel sind. Bei einer künftigen Umrüstung auf Computer der nächsthöheren Rechnergeneration ist eine Umstellung der maschinenlesbaren Datenträger nicht erforderlich. Damit ist in jedem Fall die Auswertung durch Historiker, Sozialwissenschaftler oder Wirtschaftshistoriker auch zukünftig ohne Schwierigkeit möglich. Wir sichern auf diese Weise in enger Zusammenarbeit mit den Staatsorganen wertvolle Informationskomplexe und gleichzeitig wichtiges Quellenmaterial über die gesellschaftliche Entwicklung unserer Gegenwart.

Dr. Jan D. WINSEMIUS² (The Netherlands): *Paper or magnetic records – a question of legislation.*

In the Netherlands all archival work in governmental organisations is ruled by archival law. Since 1198 a great number of developments determined the legal value of writing. The foundation for this legislation has been the free and responsible use of rights and commitments by government and citizens, and the ability of the government to answer for their activities. Legislation on legal proof and value has been concerned with writing on parchment

1. Director General, State Archives of Hungary, Budapest.

2. Supervisor, Records Specialist Department, Genealogical Society of Utah, Salt Lake City.

3. Deputy Director, Research Centre for Technical Documentation of the State Archives of the USSR, Moscow.

and paper. The first reason for delaying the technological revolution of magnetic tapes is that we are not prepared for it in legislation because it raises many difficult problems as to authenticity and legal value.

Another difficulty results from the necessary accessibility of public archives for everyone. Access to written paper and parchment does not require any special technological means or any special technological knowledge, but access to magnetic tapes does.

Lastly, we are used to the preservation of parchment and paper documents for hundreds of years, but none of us is sure of the preservation of electro-magnetic records.

We are fully aware that the management of archives will be done in the future, and is already being done now, by new technological means. What we need in order to face this new situation is new legislation; new methods of registration of records; and new regulations on the preservation of data and access to them.

M. Maurice HAMON¹ (France): *Le rôle du service d'archives dans les entreprises.*

Je souhaiterais faire quelques commentaires sur les conséquences de l'évolution technologique en matière d'archives d'entreprises, à partir de l'expérience française.

En moyenne, les entreprises françaises consacrent 1%, 2%, quelquefois 3% de leur chiffre d'affaires à leur budget informatique. A l'avenir, la grande masse des documents prévisionnels ou gestionnels sera donc informatisée. Un groupe comme Saint-Gobain-Pont-à-Mousson produit quotidiennement, dans ses seuls établissements français, 10 tonnes de documents informatiques de toute nature. Le service d'archives de l'entreprise doit donc s'imposer comme partenaire dès l'élaboration des plans informatiques, pour se voir ménager les moyens et les conditions de conservation des documents et de leur accessibilité, faute de quoi il y aura césure entre la conservation traditionnelle et celle des supports nouveaux. L'archiviste, en second lieu, doit être attentif aux changements que de tels progrès apportent à la nature même des documents. Une comptabilité générale informatisée n'est plus de nos jours exploitable telle quelle, comme ses ancêtres les registres. Le personnel de conservation devra donc à l'avenir posséder aussi une solide formation informatique.

Faute de place, les entreprises se servent depuis longtemps du microfilm de substitution, usage qui dans certains cas est en complète contradiction avec la législation. Elles franchissent de plus en plus un second pas en s'équipant de systèmes COM, qui suppriment l'original papier, même pour des documents très précieux à l'historien. Ce couplage informatique-microcopie va donc accentuer la révolution des habitudes. La tâche urgente de l'archiviste est donc double: fixer de nouvelles règles internes de conservation; participer aux travaux d'harmonisation de la législation et de la pratique, de façon à les contrôler à la source et à influencer sur leurs résultats.

Dra. Maria del Carmen PESCADOR DEL HOYO² (España): *Defensa de la documentación.*

Quiero llamar la atención sobre el hecho de que la mejor protección de la riqueza documental es ponerla a salvo de todo riesgo bajo la superficie visible. Este riesgo puede venir, bien de la destrucción por el hombre directamente, o bien de las consecuencias de su proceder.

La Historia nos da numerosos ejemplos de los conservados así (los manuscritos del Mar Muerto, los tesoros milenarios de China, etc.), pero también nos da de las grandes pérdidas irreparables (la II Guerra Mundial con sus nuevas armas destructoras...). Se buscaron diversas soluciones, como los «bunker» en Alemania – que no valieron para los documentos –, y los refugios antiaéreos que acondicionados se aprovecharon, a veces, para depósito (Mikkeli, en Finlandia). Más tarde, se construyeron, expreso, depósitos bajo tierra o

roca como el del Archivo del Ayuntamiento de Estocolmo, o el de los Mormones en Salt Lake City (USA). También se idearon otras soluciones menos costosas, como en Nevada donde se construyó un edificio de una sola planta, recubierto de tierra, y que resistió los efectos de la bomba atómica.

En estos momentos de crisis e inestabilidad, nuestras medidas de protección debieran acrecentarse y generalizarse. Qué no se construya ningún archivo sin su cámara de seguridad bajo tierra o roca, y, si posible, se dote de ella a los más principales de los ya existentes. Si no se pudiera lograr lo que acabamos de sugerir, debemos aspirar a la creación de depósitos de seguridad, regionales mejor que centralizados, donde se guarde en microfilm toda la documentación, pública o privada, que sea digna de perdurar.

CONCLUSION by Mrs. Enrica ORMANNI¹ (Italy)

Mr. Kurantov's paper, in its general theory of archival management, included the themes of the other two papers. I think worth considering the outlined structure of archival management in which social revolution is strictly connected with scientific and technological revolution.

Most needs emerging from Bell's and Crespo's papers are here underlined: exchange of experience and of scientific information, standardization of administrative records, planning, and problems of archival terminology.

In Bell's paper the problem of machine-readable records is shown in its whole complexity. According to Kurantov's conception of records management, we can see how in this field it is extremely important to intervene at the very beginning of the process of record handling in order to ensure the acquisition of highly informative data.

The problems of appraisal, acquisition and selection are here strongly emphasized along with the problems of archival operations. Technical problems of conservation, documentation and reference service are also considered.

The basic question in this field is not only the exchange of information and experiences among archivists dealing with the computer world, but also the need to convince non-initiated ones that neglecting the problems arising from machine-readable records is extremely dangerous.

In spite of the fact that we have to act in an unknown field, we must proceed at once by learning from experience already acquired by others (mainly from academic data archives) and also from our own mistakes. Moreover we have to devise a new policy towards the producers of machine-readable records.

In contrast, in the field of archival records, the scientific and technical knowledge of the problems is widespread, as indicated from Crespo's survey. The achievement of an "ideal archive" is a general tendency: most countries have restoration workshops and reprographic laboratories; several archival administrations have national research centers or use other research entities; and some of them are also concerned with audio-visual and magnetic material. The restoration process has basically reached a standardized form, although the concept of "mass-restoration" is still under discussion (due, I think, to the recency of research in the field of the mechanization of the restoration process). If not all the results have been completely achieved it is due more to economic or administrative reasons than to the ignorance of scientific and technical problems. That is, as Kurantov emphasizes, a matter of planning and optimization of the activity of archival management.

The following main questions are emerging from this discussion:

- Development of the science of archival management by means of new techniques;
- need of a new policy towards the producers of conventional and machine-readable records;

1. Chef du Service des Archives de la Compagnie de Saint-Gobain-Pont-à-Mousson, Paris.

2. Directora Ad. del Archivo General de la Administración, Alcalá de Henares.

1. Direttore del Centro di Fotoriproduzione. Legatoria e Restauro degli Archivi di Stato, Roma.

- promotion of the exchange of information and experiences as to the technological fields, especially among archivists dealing with machine-readable records;
- need of objective criteria in the use of techniques;
- training of archivists in the field of computer applications to archival management;
- improvement in the use of computers applied to the storage and retrieval functions;
- study of the problems related to the conservation and protection of machine-readable records;
- promotion of the mechanization of the restoration process;
- need of questionnaire standardization;
- necessity for a refinement of the traditional terminology and for an interpretation of the new terms arising from the use of techniques;
- necessity of a survey of machine-readable records users and producer agencies.

THIRD PLENARY SESSION TROISIÈME SÉANCE PLÉNIÈRE DE TRAVAIL

Thursday 30 September / jeudi 30 septembre, 10 h – 13 h.

THE REVOLUTION IN ACCESS AND USE LA RÉVOLUTION EN MATIÈRE D'ACCÈS ET D'USAGE

Chairman / Président

M. Carlos WYFFELS, Archiviste général du Royaume de Belgique, Bruxelles (Belgique).

Reporters/Rapporteurs

Dr. Ivan BORSA, Deputy Director General, National Archives of Hungary, Budapest (Hungary).

Dr. S.N. PRASAD, Director National, Archives of India, New Delhi (India)

Dr. Heinz BOBERACH, Ltd. Archivdirektor, Bundesarchiv, Koblenz (Bundesrepublik Deutschland).

Conclusion

Dr. Dagfin MANNSÅKER (Norway).

THE EXPANDING ARCHIVAL CLIENTELE IN THE POST-WORLD WAR II PERIOD

Report by Dr. Ivan BORSA¹

One of the important features of archives after the Second World War is the significant increase in the numbers of searchers and users. This coincides with the policy of socialist countries of making culture accessible to large masses of people. It also coincides with the policies of some European countries, in accord with ICA resolutions, in removing restrictions on the use of records. The expansion of the clientele of archives originated both in the archives themselves and in the demands of those outside the archives.

1. The Expansion of the Clientele of Archives Originated in Archives.

The holdings of archives have increased substantially in the twentieth century. Ever-increasing quantities of records have been preserved and made available for research. This is, in effect, one of the reasons why the clientele of the archives has increased substantially. Other reasons are the increase in the types of records preserved, the widening of the time range of records accessible for research, and the expansion of the sphere of the record creators, i.e., agencies, institutions, etc., whose material is turned over to the archives.

In most countries, archives accession the records created by central and regional authorities. Within this framework great importance was attached to *correspondence* and little attention was given to *supplementary materials*. During recent decades, archives have become more aware of the documentary value of these supplementary materials.

In many countries, archives had preserved only public records before they began to accession the records of *non-public institutions*, such as business organizations, universities, trade unions, ecclesiastical bodies, and the like. Such institutions sometimes established their own archives and provided facilities to permit the use of the records.

Another development since World War II is the increasing number of *private persons or families* whose records are now in public archives. Archives have obtained papers of politicians, scientists, writers and artists.

Growing numbers of archives have utilized *microfilm to enrich their holdings*. The obtaining of microfilm of records in the keeping of other archives has grown. Microfilm publications have gained increasing acceptance. Microfilm produced with a view to completing holdings often are consulted more than other materials in an archives.

Photographs and motion pictures, documenting various aspects of life, have been produced by numerous agencies and institutions as well as by individuals. Many libraries and museums have recognized their value. The collection and preservation of photographs and motion pictures has become a function of archives.

The first *phonographs* record invaluable events, music, etc. The widespread use of *tape recorders* in the past thirty years has given sound recordings similar importance. In the course of their activities, agencies produce not only written documents, but also sound recordings.

Machine readable documents were first produced by electric, then by electronic data pro-

1. Slightly abridged text of the preliminary report distributed to members before the Congress.

cession apparatus, i.e. punch cards, magnetic tapes, and magnetic discs. Such documents are now preserved in only a few archives, and these records are rarely accessible, but machine-readable records of permanent value do belong in archives.

Some archives consider that *archival museums*, collection of relics of archival activity, are one of their functions. We agree with them. But, for instance, the Canadian Public Archives has created a collection of national portraits. We cannot consider this to be a proper function of archives.

The *number of institutions and agencies* whose records are transferred to archives *keeps growing*. Thus, archival services, which not only keep and preserve these records will also, inevitably, make them accessible for research and use. When institutions such as Parliaments, trusts, episcopates, etc. save records of permanent value and transfer them to their own archives or libraries, they are also made available for research.

In countries that took part in the Second World War, and even in some neutral countries, *new offices and agencies*, both civilian and military, were organized to cope with special conditions. Most of them were liquidated at the end of the war, and their records were added to the holdings of archives.

In *economic life*, large enterprises such as trusts, joint stock companies, and state enterprises play roles of growing importance. It is natural that in the course of their activity important quantities of records of permanent value are created. In the first phase of development these organizations usually preserve their records of permanent value themselves, but, in the course of time, the transfer of such records to archival services becomes necessary. Side by side with the archives supported by the state are also those established by particular branches of industry. Trusts and other economic units should be mentioned particularly. In socialist countries, in consequence of the nationalization of the economic institutions, the transfer of such records to the State Archives has become a matter of course. Thus valuable source materials, containing information of importance not only for the history of the economy, but also for social and cultural issues, are accessible through archives.

In numerous countries, similar progress is witnessed with *autonomous nonpublic institutions* such as political parties, trade unions, universities, research institutes, churches and the like. It should be noted that development as regards the records of these heterogeneous bodies in various countries shows an even more variegated picture.

A characteristic development trait following the Second World War is the increase in the number and the activities of *international organizations*. The majority of international institutions preserve their own records, and also those of their predecessors. Some of them have organized archival services, but theoretically one cannot exclude the possibility – specifically for international organizations that have ceased to exist – that the country in which the headquarters of the respective institutions were situated, should take over the records of permanent value of such institutions.

In territories directly touched by the war, many records of permanent value were endangered. *Records and papers in danger* of destruction were often taken into safekeeping by archives.

Archives in many countries have *proposed regulations* to permit the accessioning of new types of records. Such attitudes on the part of the archives of the socialist countries, being in harmony with the trend of social progress, have resulted in high-level legal regulations. Though such archival endeavours were not always crowned with the success they deserved, they opened up new vistas for development.

It has been pointed out that records turned over to archives since the end of the Second World War have increased. The main reasons for this are a *consequence of political, economic and social progress*. For instance, following the independence of a country, the records of institutions and agencies of the old regime were transferred to the archives; so were the records of *latifundia* having become masterless following the agrarian reform; some ecclesiastical records in consequence of the separation of State and Church, e.g., parish registers; and the records of enterprises and other institutions were also taken into national custody.

In the past thirty years numerous countries, particularly the socialist countries and Italy, have taken measures to make archives owned by *private institutions and individuals* accessible for academic research.

Archives have become more active in *supporting the work of researchers*. They have looked for new solutions in order to extend the use of archives beyond traditional limits.

In many countries the *publication of finding aids* has been accelerated. These give general information concerning various record groups and subgroups. Inventories serve to indicate to the researcher the volume and the nature of the records he should consult in his work. In some cases, calendars have provided information on special collections. Experience seems to confirm that the publication of inventories and other finding aids increase the use of the materials covered by them.

Following the example of the French archives, the number of countries where *archival materials are used as aids in teaching* is increasing. The use of copies of archival materials at both elementary and secondary school levels provides an opportunity for pupils to acquaint themselves with archives. Those participating in such educational experiences may rightly be expected to visit the archives later on in the capacity of researchers, or to become members of the archives staff.

The organization of permanent and temporary *exhibitions in archives* for the public has been increasing. The largest numbers of visitors visit the exhibitions in the USA National Archives. Many other countries are taking pride in the increasing numbers of visitors to their archival exhibitions.

Besides organizing exhibitions of their own, archives often *cooperate in the exhibitions of other institutions*, particularly museums, by lending them original records or copies of them for exhibit. In some socialist countries the law obliges an archives to collaborate in the propagation of culture by these and similar means. Lately the practice of contributing to exhibitions, organized by third parties, of documents related to some specific theme, mostly on the occasion of a centenary or other jubilee, has become more common.

It appears conclusive that *archivists have done their best*, not only for the preservation of the archival materials entrusted to their care, but also for making them accessible to all of those who are interested, from as many angles as possible. Archivists might be criticized more for having dissipated their efforts than for having contented themselves with a too restricted area. Those archivists who do not spare their efforts to further the work of researchers and for other users deserve credit. This testifies to a sense of responsibility and dedication. Many archivists know that their ideas are restricted only by the means available to fulfill them.

2. The Expansion of the Clientele of Archives Originated in Demands outside Archives

All users of archival materials for professional or other reasons are *researchers*. These should be distinguished from occasional users. Researchers as a rule are looking for information they need themselves. The relationship of researchers toward archives, or, more precisely, to archival materials, will be considered with respect to

- (1) the themes of research
- (2) the methods applied
- (3) the initiators of the research.

In the past, the *subjects of research* were in the fields of history and related social sciences. Though the preponderance of these themes is characteristic of the decade following the Second World War, the propagation of non-conventional themes from fields bordering natural sciences is relatively new.

Among the *social sciences*, history was the first to regard archives as primary sources of information. Significant historical research is dependent upon the use of archival materials. This is especially true in the fields of political, economic, and social history as well as of the history of culture, of churches, of fine arts, of the theatre, etc.

Researchers in the fields of *literature, linguistics and ethnography* have realized the im-

portance of archives. Such relatively new sciences as *sociology*, and specifically *sociography* (the science of the history of material culture) as well as historical statistics have emerged.

Although *genealogy* is undoubtedly a social science, the peculiar situation that genealogists have among archival researchers should be noted. Genealogical research in archives is not a new phenomena. The assessment by archivists of its role differs. A thorough discussion of genealogical research is outside the scope of this paper. The large numbers of genealogists as well as the negative and even hostile attitudes towards them require that their role must be evaluated in view of the expansion of the clientele of archives. Perhaps this topic is worthy of a separate discussion at one of our Round-Table conferences.

Scholars of *natural and applied sciences* had been aware of the existence of valuable information regarding their disciplines in archives. Since the Second World War, scientists of many countries have realized that, besides furnishing information on the history of sciences, archives can also supply data important for further development. Thus natural and applied scientists have become researchers. This has been especially true in the fields of geology, geography, water management, oceanography, meteorology and biology, as well as in architecture and city or urban planning. It should also be noted that patents applied for in earlier times but not implemented then, have, on occasion, provided ideas for new technical solutions.

Research in the histories of individual branches of science is traditional. Among these the history of technics is often in the foreground. The *common fields of social and natural sciences* show a peculiarity: a research work initiated by either one of these sciences will invariably bring forward major or lesser issues desirable for sister sciences. Credit is due to the researchers who, although representing some branch or other of natural science, have adopted the methods of historians. Credit is equally due to historians who have become absorbed in the present and in the past to such an extent that they can create works of high scientific value. Our period is generally characterized by a growing interest in history of sciences themes and by the increasing numbers of researchers in these areas.

Not only new themes, but also *new research methods* play a role in the increasing numbers of researchers. To obtain a great deal of data the researchers have to use many records. Among the most active users of the quantitative approach are the historical demographers. This science endeavours to process primarily the data related to those epochs where systematic data collection did not exist. Historical statistics also endeavours to process the multitude of data contained in records created for other purposes, by applying up-to-date methods and computerization.

The *increase in the numbers of researchers* in archives is also closely related to the increase in the numbers of institutions that depend upon research. One of the earliest researchers in archives is the individual who is looking for data to develop a theme. Such persons take their topics mostly from the sphere of their own profession. Side by side with them appear researchers who do systematic research for their own personal pleasure. But nowadays the use of archives by *teams of scholars* is increasingly common. These groups divide the material to be examined among themselves to facilitate the retrieval of data. It should be noted that such groups are formed less through individual initiative than on behalf of institutions.

In the fields of both social and natural sciences the increase in the numbers of researchers who are graduates of universities is characteristic. This increase is usually a result of the higher-grade organization and more exacting demands of institutions.

In the period under examination there has been an *increasing number of documentation centres* instituted by particular branches of the sciences. The basis of their activity is the holdings of the library, primarily books and periodicals. Documentation centres strive to provide the particular branches of sciences within their frame of reference with the required documentation, adequate both as to quantity and quality. This has created further demands on the part of the sciences. Such demand requires the processing of certain hold-

ings of an archive or, more precisely, of items of importance for the respective science, by the methods developed by the documentation centre and tested in the course of their work.

Many economic and cultural institutions desire to have their *own histories* prepared. This usually coincides with some anniversary. These groups often make demands on archives which hold the institution's records.

The clientele of an archives comes mainly from the citizens of its own country. Lately also, *research in archives of foreign countries* has become more common. Improvements in communications, the increasing numbers of cultural agreements, and the growth of tourism have contributed to the expansion of the clientele of an archives.

A distinctive feature of the use of records by *occasional researchers* is that they usually do not search for materials themselves, but ask the archivist to do this for them. As a rule, the archivist has to perform a number of additional services so that these users can obtain the information they desire.

The *Service educatif* developed and used by French archivists is well-known all over the world. The users are pupils of primary or secondary schools and sometimes university students who "use" the archival material not on their own initiative, but in accordance with the instructions or frame of reference laid down in the curriculum.

The question might be asked: who uses the archival material presented to the public at an *exhibition*? the organizers of the exhibition? or the visitors? One could also wonder whether in the case of a record published in the *press*, read on the *radio*, or presented on the screen or on *TV*, who is the user: the journalist, the director, the reader, the radio listener or the TV viewer? From the point of view of the archivist it is the journalist who has direct contact with the archives. The public is only the secondary user of the records. Despite this, one must not omit the public at large, for through exhibitions, press and telecommunications, the number of users of records increases dramatically.

Agencies or organizations may *recall or withdraw records* from archives, usually on a loan basis. Such records are, as a rule, supplied by the archives.

In the course of the activities of various agencies many records are produced *relating to persons*. These are, primarily, records containing data on lengths of service, qualifications, citizenship, etc. Though the majority of these records are without permanent value, many archives do preserve such records. They do this because the personal interest attached to them cannot be ignored. It should be noted here that, after the Second World War, in many European countries, particularly in socialist countries, in the course of salvaging records the number of documents in the keeping of archives to which individual citizens have personal interest increased. Such records will remain – though in decreasing amounts – in the keeping of archives for a long time to come. Persons occasionally in need of copies and certificates from archives of the records may be considered as a permanent category of archival clientele.

3. The Difficulties and Trends of Development to be Expected in the Future

We have discussed the expansion of archival clientele during the past three decades. Although an expanding archival clientele asks for more and more materials, the number of records not used is still very considerable. While some records are used frequently, other are not used for decades. A discussion of this problem falls outside the scope of this paper. Yet it indicates that archival holdings are not fully utilized. *The outlook for the further expansion of the archival clientele* and the more intensive utilization of holdings is promising. This is true despite the fact that the researcher and the archivist helping him seldom are sure of having located every file related to the request. This uneasy feeling comes mostly from the inadequacy of finding aids, or of finding aids that need updating. Besides these difficulties there are other problems, which we shall examine.

The qualifications of the ever-growing numbers of *researchers* have not kept pace with the expansion of the clientele. The percentages of properly qualified and experienced researchers have dropped and the numbers of less qualified people, having no experience in archival work, coming to the search rooms of the archives, have increased considerably.

One of the reasons is the decrease in the number of researchers who, in the course of their university studies, have received methodical instruction in the historical sciences and in the languages in which the records are written. Another reason is that at the university studies indispensable for research in records, particularly older ones, have been pushed into the background. The duty of an archives is to call the attention of competent university authorities to this fact, because such slackening in the use of archival matters will necessarily result in a regression in the study of history. An archives, it is obvious, should organize courses to meet this need, and diffuse such knowledge among those interested. Such courses could be organized based on the experience of the Italian archives where such instruction is regularly given.

The researcher desires to have all information essential for his theme. He wants to obtain this efficiently and completely. In other words, he desires to reduce the number of files whose perusal is useless. Fruitless perusals take place primarily when no adequate finding aid is available. Many record groups and subgroups remain unused because no adequate finding aid is available. Scanning records page by page, is often unproductive. This emphasizes the duty of an archives to improve the quality of its finding aids. If archives cannot keep pace with the demands corresponding to the level of progress sustained by their clientele, they must consider the possibility that the expansion of their clientele will stop and regress.

The increasing demands on the part of an expanding clientele places the problem of the *modernization of finding aids and finding-aid systems* in the focus of archival work, supposing, of course, that the archives have already arranged their material and possess a system that describes individual files and volumes.

In several countries, records created in the course of activity of agencies are kept in their original order. In many cases, *finding aids prepared at the time of the creation of the records* are the only aids for researchers. Sometimes they are surprisingly good. There are record groups, also, that can be used by means of the finding aids prepared in the course of archival handling. The same is true with collections brought about in the course of the large-scale rearrangement of archives in some European countries in the 19th century. Archivists consider their traditional duty to "maintain" such finding aids, that is to say, to complete them and to supplement them as needed.

An *archival finding-aid system is considered to be conventional* when it includes the totality of the finding aids prepared for particular record groups and collections. In some countries these are stored in an inventory room in the vicinity of the reading room, where they are available for researchers. The efficiency of research in archives is marred when the finding aids to several record groups must be scrutinized one by one. This is specially true when, for instance, the indexes of a record group are made by year. If so, in case of a search extended over a period of 50 years this means the search of 50 or more index volumes. When the theme requires the study of 5 record groups, it may be necessary to consult 250 or more volumes.

Research efficiency in archives can be improved by combining a number of conventional finding-aid systems into a *single, central, finding-aid system*. In the beginning, the centralization of the data took place by conventional methods. The data were written upon index cards and the cards arranged according to some adequate system, usually in alphabetical order. The cards were always brought up to date. Since such index cards had to be handled by the ten thousand and even by the hundred thousand, with such finding-aid systems the use of automatic data processing appears quite natural. *Automatic data processing* undoubtedly will play a big part in the modernization of finding aid systems in order to further the work of archival clientele. This topic will be discussed more fully in another paper presented to this Congress.

Demands upon archives and archivists from all quarters, clientele included, entail ever-changing and increasing burdens. To meet every reasonable demand, the archives, as well as their supervisory authorities, have to face problems of high complexity, characteristic today for the archives of the five continents.

The purpose of our Congress is the examination of the explosion-like expansion of the scope of activities of archives in the past thirty years. The changes that have had an impact on the expansion of the clientele have been reviewed. These have resulted in many *new tasks* for archivists. To oppose the quantitative and qualitative progress dictated by life would be unreasonable. We have to focus our attention upon facts that help archives keep pace with the demands, without lagging back behind the general progress of society. Otherwise, archives would risk being transformed into useless depositories.

The increase in existing duties and the necessity of coping with new ones has inevitably led to *budgetary difficulties*. In numerous countries archives cannot meet these demands.

The expansion of archival materials has implied and will imply significant demands for further storage space. The necessity of finding room for new types of documents as well as for increasing quantities of conventional archival materials is a real problem. Lack of storage space has become evident all over the world. Another source of emerging difficulties is technical progress, reprography, repairs, ADP, etc., and the need to keep up-to-date in these areas. Deficiencies in these areas could have unfavorable repercussions on our clientele.

Lack of sufficient staff presents another difficulty. Most budgets handle staff increases separately and with a special harshness. The well-motivated demands of archives not only exceed the capacity of the budget but often are not understood by Governmental authorities. This results in the omission and neglect of some services and the inability to shoulder new tasks.

The multiplication of the types of records, the accessioning of records from additional agencies, and technical improvements have all produced *difficulties in the field of archival training*. The tasks of archives have increased to such an extent that the number of archivists versed in all nuances of archival knowledge is becoming smaller and smaller. This raises the question of archival specialization. Today we cannot aim to train archivists in all aspects of records management, medieval paleography, applied technical sciences, and, last but not least, in every province of archival theory and practice. In many countries an additional requirement is the knowledge of 2 or 3 foreign languages. Moreover, it is not unreasonable for the curriculum of archivists to have a close relationship to that of librarians and documentalists.

The expansion of the sphere of activity and specialization of archives are concomitant with a phenomenon that has emerged and gained strength in the past 20 years. This is the appearance of *archivists possessing academic qualifications other than in social sciences*. The building of archives, reprography, the repair of records, the preservation of machine readable documents all require archivists with expertise in technical and natural sciences. A new problem is to provide persons with such qualifications with the indispensable knowledge of archives. For the time being there is no easy answer to these problems.

The most thorny problem of archives and archivists is *automatic data processing*. This special field has brought a new type of record to the archives. We may state without exaggeration that the numbers of machine readable records increase day by day. Their keeping and making them accessible for research represent a complex job for which, sooner or later, every archives must be prepared. At the present time, such records have been accessioned by archives in only a few highly industrialized countries. In order to cope with the task of machine readable records, archivists possessing a fair knowledge of their use are needed. Only the cooperation of a staff composed of people possessing both archival and ADP experiences can be helpful in research into such documents.

In some cases clientele ask archivists to *perform archival research*. Such requests should be declined even if there were precedents for such services. Exceptions might be made only in well-motivated cases. Archives cannot undertake such jobs in addition to their far-flung duties, without grave detriment of the latter. To satisfy such demands other solutions should be looked for.

The establishing of documentation services, particularly on behalf of natural sciences, and also in some fields of social sciences, is another result of the scientific and social prog-

ress we have experienced during the past 30 years. Researchers in a science or of a speciality, unable to cope with the huge amounts of information contained in the books and periodicals in a special library, have organized documentation services. These have as their duty the review of holdings, especially the books and periodicals arriving day by day to the library, so that the science can get the latest data for processing, as promptly as possible. Learned research in natural sciences has become quite unimaginable without the assistance of documentalists. Documentation service based on libraries offers an analogy pointing to the desirability of the *establishment of archival documentation services*. This would result in a more up-to-date and intensive use of archival materials, in the same way as documentation service has rendered the use of information contained in books and periodicals more up-to-date and intensive. The discussion of this problem and the finding of an adequate solution are questions for the future. When discussing this topic the fact that archival materials, in consequence of their specific character, will raise more questions to be answered than library holdings did. The fact that the international standardization of library work was far ahead of the organization of documentation services in archives work should not be left out of consideration. On the other hand, in their pioneering work, archivists can make the best of the experience gathered by librarians and documentalists. When another thirty years have passed, our successors might be able to assess the results obtained in this province.

FORTSCHRITTE IN DER TECHNIK UND DIE AUSWEITUNG DER ARCHIVBENUTZUNG

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1. Einleitung

Zahlreiche Veröffentlichungen von Informationswissenschaftlern und Dokumentaren, aber auch Regierungserklärungen und Studien internationaler Organisationen haben in den letzten Jahren auf die Notwendigkeit hingewiesen, Informationen besser und rascher zu nutzen; sie werden nicht selten als wichtiger Rohstoff bezeichnet. Archive sind nach diesem Bild die Einrichtungen, die einen wesentlichen Teil dieses Rohstoffs, nämlich die für Staat und Gesellschaft noch bedeutsamen Informationen aus der Vergangenheit, zu bearbeiten und – gewissermaßen in einem Prozeß des recycling – zu aktualisieren haben. Die Archive handeln also marktkonform, wenn sie moderne Technologien einsetzen, um ihr Angebot zu optimieren. Sie tun dies vor allem, indem sie optische und elektronische Verfahren benutzen, um Informationen zu miniaturisieren, zu visualisieren, zu sortieren und zu kommunizieren.

2. Die Anwendung von Mikroformen zur Veröffentlichung von Archivalien

Daß die Möglichkeit, schriftliche Informationen mit fotografischen Verfahren zu verkleinern und zu vervielfältigen, eine revolutionäre Veränderung in der Vermittlung von Information bedeuten könne als die Erfindung des Buchdrucks und sich daraus Folgen für die Archive ergeben könnten, wurde zuerst vor 40 Jahren in den USA erkannt. Dadurch ließ sich der Anspruch der wissenschaftlichen Benutzer erfüllen, wichtige Quellen für ihre Forschungen auch außerhalb der Archive ständig zur Verfügung zu haben und nicht auf gedruckte Editionen warten zu müssen, die nur langsam voranschritten, hohe Kosten erforderten und nur unverhältnismäßig kleine Teile der vorhandenen Informationen boten.

Außerhalb der USA, dessen Nationalarchiv 1943 bereits 643 Filmrollen anbot, setzte sich die Publikation von Archivalien im Mikrofilm nur langsam durch. Es ist das Verdienst des ICA, durch den Außerordentlichen Internationalen Archivkongreß in Washington 1966 und den 6. Internationalen Archivkongreß in Madrid 1968 deutlich gemacht zu haben, daß die „Publikation ganzer Bestände auf Mikrofilm und die Herstellung von Kopien, die den Forschern frei zugänglich sind, das wirksamste, schnellste und wirtschaftlichste Mittel ist, größeren Zugang zu den Archiven zu fördern.“ Sieben Jahre später ist festzustellen, daß dieser Erfolg teilweise eingetreten ist. In 20 von 37 Ländern werden jetzt Mikrofilmpublikationen von Archivbeständen angeboten oder sollen in Kürze angeboten werden.

Der Anteil der verfilmten Bestände an der Gesamtmenge der Archivalien ist von Archiv zu Archiv ebenso verschieden wie die absolute Anzahl der Filme. Überwiegend wurden Archivalien aus der Zeit seit Anfang des 16. Jahrhunderts verfilmt, vor allem die Publikationsfilme der italienischen Archive berücksichtigen aber auch Dokumente aus dem Mit-

1. Leicht gekürzter Text des ursprünglichen Berichts, der vor dem Kongress an die Mitglieder verteilt worden ist.

telalter bis herab in das 10. Jahrhundert. Bestände, die jünger sind als 30 Jahre, sind in den USA, Luxemburg, Australien und Sambia in die Programme einbezogen.

Den Erkenntnissen des Mikrofilm-Ausschusses des ICA entsprechend wird durchweg der 35 mm-Rollfilm als geeignetstes Mittel für die Wiedergabe von Archivalien angesehen. In der Regel haben die Filme eine Länge von 30 m und enthalten 600 Aufnahmen, nur vereinzelt werden bis zu 1.200 Aufnahmen auf 30 Filmmetern angeboten. Es sind sowohl Positivkopien als auch Negativfilme erhältlich, wobei verschiedene Länder sich auf eine dieser Möglichkeiten beschränken. Häufig werden dabei von Silberfilmmutterkopien Diazofilme gezogen, weil deren Herstellung mit relativ einfachen Mitteln und Gerätekosten möglich ist; allerdings ist die langfristige Haltbarkeit des Diazofilms nicht unbestritten.

Der Rollfilm bietet allerdings insofern Schwierigkeiten, als gesuchte Informationen nicht rasch zu finden sind. Es wurden daher Verfahren entwickelt, durch eine automatische Zählung der unbelichteten Zwischenräume zwischen den einzelnen Aufnahmen oder durch eine Codierung bei der Aufnahme, die vom Lesegerät erkannt werden kann, die Ansteuerung bestimmter Stellen im Film zu ermöglichen, die Inhaltsbeschreibungen zu den Filmen müssen dann lediglich angeben, durch welche Position oder unter welchem Code die verschiedenen darauf wiedergegebenen Dokumente, Aktenbände oder anderen Archivalieneinheiten identifiziert werden können. Elektronische Sucheinrichtungen sind sogar in der Lage, aus einer Vielzahl gespeicherter Filme einzelne Dokumente in wenigen Sekunden herauszusuchen und auf einen Bildschirm zu projizieren.

Soweit sich übersehen läßt, werden derartige Verfahren für Publikationsfilme von Archivalien nicht angewandt. Lediglich in Italien wird eine künftige Kombination von Mikrofilm und automatischer Datenverarbeitung erwogen. Offenbar sind derzeit die Kosten für eine automatische Selektion von Aufnahmen auf Rollfilmen zu hoch, die angebotenen Verfahren, die überwiegend auch für 16 mm-Filme entwickelt wurden, erscheinen als zu aufwendig.

Um Informationen rasch wiederzufinden, bietet allerdings der Mikroplanfilm in der Form des Microfiche dem Rollfilm überlegene Möglichkeiten; denn jedes Fiche im Format 105×148 kann in normal lesbarer Schrift eine Signatur oder eine Angabe über den Inhalt aufnehmen. Wenn Aufnahmen auf 16 mm-Film die Basis bilden, kann damit z. B. bei einer Verkleinerung von 1 : 18 bis 1 : 20 in 5 Zeilen der Inhalt von maximal 60 Seiten bezeichnet werden. Außerdem werden auf einem Rollfilm meist mehrere Archivalieneinheiten wiedergegeben, die der Käufer erwirbt, auch wenn ihn nur eine einzige davon interessiert, während die Microfiches sich leicht so einrichten lassen, daß jedes, eventuell mehrere zusammen, jeweils eine geschlossene Archivalieneinheit oder auch nur sachlich zusammengehörige Teile davon enthalten. Schließlich sind die Kosten für die Duplizierung von Fiches niedriger. Aus diesen Gründen hat sich das deutsche Bundesarchiv entschlossen, seine fast ausschließlich aus dem 20. Jahrhundert stammenden Archivalien künftig auch in Form von Microfiches zu publizieren. Ähnliche Überlegungen werden vom Public Record Office in London für moderne Bestände angestellt. Eine besondere Anwendungsmöglichkeit des Mikroplanfilms besteht daneben bei der Wiedergabe von Karten, Plänen und Zeichnungen, wobei z. T. – so in Kanada – bereits Farbfilme eingesetzt werden.

Die Nachteile des Microfiches sind freilich nicht zu übersehen. Einige gelten ebenso für den Schriftgutverfilmung bei Behörden und in der Wirtschaft überwiegend benutzten 16 mm-Rollfilm, den vier Archivverwaltungen neben dem 35 mm-Film für Publikationen verwenden. Im Vergleich zum 35 mm-Rollfilm sind durch die stärkere Verkleinerung insbesondere ältere handschriftliche Texte schwerer lesbar. Der Arbeitsaufwand für die Herstellung eines Microfiche über einen 16 mm-Rollfilm und für dessen Jacketierung ist außerdem größer als derjenige für eine 35 mm-Diazofilmkopie. Das Verfahren, die Dokumente mit einer speziellen Microfiche-Kamera aufzunehmen, ist mit einem unverhältnismäßig hohen technischen Aufwand verbunden. In diesem Zusammenhang ist es jedoch von Interesse, daß private Verleger begonnen haben, die Publikationsfilmprogramme der Archive zu ergänzen und Archivalien auf Microfiches anzubieten. Eine englische Firma liefert z. B. die Protokolle des Exekutiv-Komitees der Labour Party aus deren Archiv und

Akten anderer sozialistischer Organisationen auf zur Zeit einigen hundert Fiches, wobei die Aufnahmen für die Mutterkopie mit einer speziellen Fiche-Kamera angefertigt werden. Die Zusammenarbeit zwischen Archiven, die für die Bereitstellung von Archivalien zur kommerziellen Verfilmung ggf. eine Vergütung beanspruchen können, und Verlegern erscheint darüber hinaus als eine bisher kaum beachtete Möglichkeit, Archivalien durch Mikroformen zugänglich zu machen, wenn den Archiven selbst die technischen, finanziellen oder personellen Voraussetzungen dafür fehlen. Eine solche Zusammenarbeit dürfte sich vor allem dann anbieten, wenn bestimmte Bestände, an denen die Forschung besonders interessiert ist, nicht soweit erschlossen sind, daß die für ihre Benutzung in Mikroformen unerläßlichen Inhaltsangaben und Erläuterungen bereits vorliegen. Hier könnten durch die Verleger Mittel für die Bezahlung zusätzlicher Kräfte aufgebracht werden, die diese Arbeiten übernehmen. Entsprechende Vereinbarungen könnten im übrigen auch zwischen Archiven und Forschungsinstituten getroffen werden, wenn diese einsehen, daß Mikrofilmpublikationen wirtschaftlicher sind als die von ihnen bevorzugten langwierigen Quelleneditionen. Es könnten auch nur besonders wichtige Dokumente im Druck, die bei ihrer Kommentierung zitierten Archivalien aber auf Film publiziert werden.

Allerdings müßten die Archive sich dann noch stärker als bisher von der Vorstellung frei machen, daß sich durch die Mikrofilm-Publikation die Kontrolle über ihre Bestände verlieren könnten und ein besonderes Vertrauensverhältnis zwischen ihnen und den Benutzern bestehen müsse. Derartige Vorstellungen erscheinen in vielen Ländern, die ihren Staatsbürgern ein umfassendes Recht auf Information garantieren, nicht mehr zeitgemäß. Wie das Angebot an Publikationsfilmen von den Benutzern aufgenommen wird, läßt sich nur schwer beurteilen, da es eine Erfolgskontrolle archivarischer Arbeit mit statistischen Methoden kaum gibt. Nahezu alle Archive, die Filme anbieten, stimmen darin überein, daß dadurch die Benutzung der Originale und der noch nicht verfilmten Bestände nicht nur nicht zurückgegangen, sondern sogar positiv beeinflußt worden ist. Der Absatz der Filme scheint wesentlich davon abzuhängen, in welcher Form die zugehörigen Findmittel vertrieben werden. Sorgfältige Verzeichnisse, die nicht nur den Inhalt der verfilmten Archivalien beschreiben, sondern außerdem die Geschichte und Bedeutung des Bestandes erläutern, sollten im Buch- oder Offsetdruck angeboten und in wissenschaftlichen Zeitschriften besprochen werden.

Von großer Bedeutung ist ferner der Verkaufspreis. Ein kostendeckender Preis ist in allen Fällen ungerechtfertigt, in denen die Verfilmung zugleich für eigene Zwecke des Archivs zur Sicherung der Bestände im Fall einer Katastrophe oder zur Herstellung von Kopien erfolgt, die Benutzern zur Schonung der Originale statt dieser vorgelegt werden. In nahezu allen Ländern werden die Kosten für die Publikationsfilme daher nur zum Teil durch die Verkaufserlöse gedeckt und die Fehlbeträge aus dem Haushalt, seltener durch Zuschüsse von Institutionen wie genealogischen Gesellschaften, aufgebracht; das amerikanische Nationalarchiv veranschlagt den Anteil der Verkaufserlöse an den Kosten auf 60 %. Der Einsatz öffentlicher Mittel zur Subventionierung des Preises, der ja bei gedruckten Publikationen meist auch erfolgt, erscheint im übrigen volkswirtschaftlich vertretbar, wenn dadurch Reise- und Aufenthaltskosten der Benutzer reduziert werden.

Die durch die Entwicklung von Verfahren der Miniaturisierung und Kopierung von Dokumenten gebotene Erweiterung des Zugangs zu den Archiven in der Form der Mikrofilmpublikation ist nach den Erfahrungen der meisten bisher daran beteiligten Archive somit technisch, rechtlich und finanziell möglich. Das sollte die Archive anderer Länder ermutigen, sich ihnen anzuschließen. Wo dies noch nicht in vollem Umfang möglich ist, könnte ein Anfang damit gemacht werden, daß zunächst von allen zu anderen Zwecken hergestellten Filmen eine Gebrauchskopie angefertigt und auf Anforderung an jedes Archiv, jede Bibliothek auf der ganzen Welt ausgeliehen wird, damit sie dort gegen Zahlung einer Leihgebühr von jedem Interessenten benutzt werden kann, der die Benutzungsbedingungen des ausleihenden Archivs erfüllt und anerkennt.

3. Die Anwendung fortschrittlicher Darstellungstechniken bei Ausstellungen und Erziehungsaufgaben von Archiven

Wendet sich die Mikrofilmpublikation an einen bestimmten Personenkreis, der in besonderem Maße historisch interessiert ist, so können die Archive durch Ausstellungen oder durch Beteiligung am Geschichtsunterricht an Schulen eine breitere Öffentlichkeit erreichen. Dabei vermitteln sie nicht nur Informationen aus der Vergangenheit, sondern sie können zugleich auf ihre eigene Bedeutung als Verwalter dieser Informationen hinweisen.

Sehr langsam und durchaus noch nicht allgemein hat sich aber die Auffassung durchgesetzt, daß Ausstellungen sich nicht darauf beschränken dürfen, Urkunden, Aktenstücke und Briefe – nach Möglichkeit verbunden mit zeitgenössischen Bildern – in Vitrinen darzubieten und durch mehr oder weniger ausführliche Beschreibungen am Stück oder in einem Katalog zu erläutern. Ein Publikum, das daran gewöhnt ist, einen Großteil seiner Informationen durch Plakate, durch bild- und textkombinierende Magazine und Boulevardzeitungen, durch Rundfunk, Film und Fernsehen zu bekommen, wird sich von einer Archivalienausstellung gelangweilt abwenden, wenn dort nicht so weit wie möglich dieselben Mittel der Präsentation verwendet werden wie von den Massenmedien und der Werbung.

Ein relativ einfaches, aber wirksames Verfahren besteht darin, die Vitrinen mit den durchweg kleinen Dokumenten, zu denen der Betrachter sich oft herabbeugen muß, durch große Bildwände zu ergänzen. Die Industrie bietet verschiedene Systeme von freistehenden Metallkonstruktionen an, in denen Platten bis zur Größe von etwa 10 qm vertikal montiert werden können. Moderne fotografische Methoden machen es möglich, alle Arten von Dokumenten und Abbildungen – oder auch Ausschnitte daraus – schwarz-weiß oder farbig so zu vergrößern, daß sie dem Besucher ins Auge fallen und seine Neugier wecken, dann auch das in der Vitrine gezeigte viel kleinere Original zu betrachten. Derartige Tafeln, die in entsprechender Größe erklärende Texte bieten sollten, sind besonders geeignet, einzelne Teile einer Ausstellung voneinander abzugrenzen. Sie können außerdem farbig und plastisch ausgestattete Landkarten und Diagramme aufnehmen und nicht zuletzt dimensionale Fotos von Orten oder Personen, die zu den ausgestellten Archivalien in Beziehung stehen. Die Verwendung derartiger Tafeln ist verbreitet; 32 von 43 Archiven, die sich über Ausstellungstechnik geäußert haben, setzen sie ein. Die Wirkung von Wandtafeln läßt sich durch Beleuchtungseffekte steigern. So können besonders wichtige Aussagen oder Dokumente durch Punktlichter angestrahlt und dadurch herausgegeben werden; dasselbe Verfahren könnte bei Originalen in Vitrinen zu Schädigungen führen. Auf Landkarten lassen sich historische Abläufe durch Lämpchen oder unterschiedlich beleuchtete Flächen veranschaulichen, z. B. das durch ausgestellte Urkunden belegte Itinerar eines mittelalterlichen Herrschers die Lage der Schlachtorte in verschiedenen Kriegen oder die Entwicklung der Ausdehnung eines Territoriums.

Als besonders wirksames Mittel zur Gestaltung von Archivausstellungen erweist sich jedoch immer mehr das Farbdiaspositiv, das in unterschiedlichen Anwendungsformen von 12 der befragten Archive eingesetzt wird. In der einfachsten Form werden einzelne Dias von Dokumenten oder die ergänzenden Bilder in beleuchteten Kästen in Bildwände einbezogen oder von einem fest installierten Projektor darauf projiziert. Größeren Erfolg erzielen Diaserien, die in Dia-Rückprojektions-Boxen auf einem Bildschirm geworfen werden; in der Regel sind darin zwei Projektoren mit je einem Rundmagazin für maximal je 8 Dias installiert, so daß Schwarzphasen beim Bildwechsel vermieden werden. Das Gerät kann vom Betrachter eingeschaltet werden und schaltet sich nach Durchlauf der Serie automatisch ab.

Bei den bisher behandelten Techniken müssen die ausgestellten oder projizierten Dokumente, soweit sie nicht aus sich heraus verständlich sind, durch beigegebene schriftliche Texte – oder auch durch Führungen – erläutert werden. Das wird überflüssig, wenn in jedem Ausstellungsraum ein Tonbandgerät aufgestellt wird, das von einem Endlostonband einen gesprochenen Kommentar zu den Exponaten über Lautsprecher oder Kopfhörer

wiedergibt. Wirksamer ist noch die Kombination von Diaserien und Tonbändern, von denen dann nicht nur eine Erläuterung, sondern auch passende Musik abgespielt werden kann. Die entsprechenden Boxen können schließlich so eingerichtet werden, daß der Betrachter Einzelteile der Serie mit dem zugehörigen Tonbandabschnitt über eine Tastatur anwählen kann. Archive in Bulgarien, der Bundesrepublik Deutschland, Frankreich, Kanada, Sri Lanka und den USA berichten von der Anwendung dieses Verfahrens, andere wollen es einsetzen. Es kann weiter gesteigert werden durch eine sogenannte Multivisionswand: auf einer Leinwand im Format 3.50 × 4.00 m mit 6 gleichzeitig oder zeitlich versetzt belegten Feldern, die auch zu einem Großbild zusammengefaßt werden konnten, wurde mit 12 Projektoren, 6 Überblendgeräten und einem Tonbandgerät eine Schau von 520 Dias mit Kommentar, Musik und Originaltonaufzeichnungen aus der behandelten Zeit dargeboten.

Bei Ausstellungen zur Zeitgeschichte werden im übrigen Tonbandgeräte ohne Verbindung mit Dias nicht selten eingesetzt, um mit Tonquellen aus den eigenen Beständen oder Archiven von Rundfunkanstalten, z. B. Reden von Politikern, Parlamentsdebatten, Reportagen, die Schrift- und Bilddokumente eindrucksvoll zu ergänzen. Dabei empfiehlt es sich, Einrichtungen zu verwenden, wie sie in Schallplattengeschäften gebräuchlich sind, bei denen an das Wiedergabegerät Kopfhörer für mehrere Personen angeschlossen sind, ohne daß es selbst ihnen zugänglich ist. Für solche relativ preiswerten Anlagen können auch Tonbänder vom Archiv produziert werden. Vor allem für die Wiedergabe des Textes von Aufrufen, Reden und Proklamationen, die gedruckt oder geschrieben weniger eindrucksvoll sind, und von Szenen aus historischen Schauspielen, z. B. von Shakespeare, Schiller oder Grillparzer, dürfte sich dieses Verfahren empfehlen.

Dasselbe gilt für den Film. Für schriftliche Dokumente des 20. Jahrhunderts ist er eine wirkungsvolle zusätzliche Quelle, bei Ausstellungen zu früheren Epochen kann er in derselben Weise kommentierend wirken wie Diaserien mit Tonbändern. Kaum ein Archiv wird allerdings in der Lage sein, die im Vergleich zu den Ton-Dia-Schauen wesentlich höheren Mittel aufzuwenden, Filme selbst zu produzieren. In vielen Ländern werden jedoch Filme zu historischen Themen im Auftrag von Einrichtungen der politischen Bildung oder für das Schulfernsehen hergestellt, von denen Kopien zu geringen Kosten übernommen werden können. Die Vorführung kann entweder zu festen Zeiten oder nach Vereinbarung für Gruppen in einem besonderen Raum erfolgen, es gibt jedoch ein Filmplay-Verfahren im automatischen Endlosbetrieb auf Super-8-Tonfilm, bei dem der Besucher das Programm durch Knopfdruck ein- und ausschalten kann.

Endlich ist noch ein weiteres technisches Verfahren zu nennen, das die Stadtarchive Bonn und Bochum (Bundesrepublik Deutschland) bei Ausstellungen mit großem Erfolg benutzt haben. Sie stellten einen Kleincomputer auf, der ihnen vom Hersteller kostenlos für die Dauer der Ausstellung überlassen wurde. In ihm waren 82 Fragen und Antworten zum Thema der Ausstellung eingespeichert, die einzeln eingegeben bzw. abgerufen werden konnten. Jeder Besucher erhielt einen „Informationsscheck“, auf dem er die ihn interessierenden Fragen ankreuzen konnte, und der Computer lieferte dann in Sekunden-schnelle einen Ausdruck mit der Antwort. Vor allem Jugendliche wurden dadurch motiviert, Fragen zu stellen, die sie beim bloßen Betrachten von Exponaten wohl unterdrückt hätten.

Das Beispiel, daß Techniken, die bei Archivalienausstellungen Erfolg haben, auch in Betracht kommen, wenn Archive am Geschichtsunterricht beteiligt werden. Kommentierte Diaserien, Tonbänder und Filme können auch Schulklassen vorgeführt werden, die unabhängig von einer Ausstellung ein Archiv besuchen, und sie können an Schulen zum Gebrauch durch den Lehrer ausgeliehen werden. Um eine zeitweilig zusammengestellte Ausstellung evident zu halten, wird es sich ohnehin empfehlen, alle Exponate zu verfilmen, bevor sie wieder in den Magazinen verschwinden oder an Leihgeber zurückgehen. Benutzt man dafür statt des schwarz-weißen Papierfilms einen nur wenig teureren Farb-Umkehrfilm, können davon Dias hergestellt und zusammen mit dem Ausstellungskatalog Schulen angeboten werden, die die Ausstellung nicht besuchen konnten. Wo für die Unterstützung

des Geschichtsunterrichts durch die Archive größere finanzielle Mittel zur Verfügung stehen, ist an den Einsatz von Dias und Tonbändern in audiovisuellen Lehrmaschinen für einen programmierten Unterricht in Lernschritten zu denken; dabei haben die Schüler auf Grund der ihnen durch Bilder und gesprochenen Kommentar vermittelten Informationen Fragen zu beantworten; und nur nach richtigen Antworten erhalten sie weitere Informationen.

Ein demgegenüber sehr einfaches Mittel, Interesse an Archivalien zu wecken, ist die Verwendung möglichst naturgetreuer Faksimiles im Unterricht, die jedem Schüler in die Hand gegeben werden, und die er möglichst auch kaufen können sollte. In Zusammenarbeit von Fotografen und Restauratoren können solche Faksimiles, wie sie vielfach in Dauerausstellungen die Exponate ersetzen, ohne daß der Besucher es merkt, zu tragbaren Kosten hergestellt werden. Ebenso wie einzelne Dias, von Exponaten hergestellte Ansichtskarten, Siegelabgüsse und die Plakate, mit denen für die Ausstellung geworben wurde, werden Faksimiles unter Ausstellungsbesuchern wie Archivbenutzern zahlreiche Käufer finden, und schließlich können sie in Schaufenstern und Vitrinen in öffentlichen Gebäuden, in Bahnhöfen und Verkehrsbüros auf das Archiv und seine Bestände aufmerksam machen.

Freilich erfordern alle modernen Techniken, mit denen Archivalien der Öffentlichkeit vermittelt werden können, nicht nur – manchmal sogar erhebliche – finanzielle Aufwendungen, sondern außerdem Archivare mit Phantasie und künstlerischem wie didaktischem Geschick, die mit Graphikern und Designern, Regisseuren und Schauspielern zusammenarbeiten können. Ob die Bemühungen Erfolg haben, läßt sich schlecht messen. Wenn jedoch die Archive ihren Platz in Staat und Gesellschaft behaupten wollen, dürfen sie keine Anstrengungen scheuen, auch die nichtwissenschaftliche Öffentlichkeit über ihre Arbeit und ihre Bestände informiert zu halten. Modern gestaltete Ausstellungen, die sehr viel mehr Menschen erreichen können als jemals Benutzer ein Archiv aufsuchen werden, sind dafür vielleicht das wirksamste Mittel.

4. Die automatische Herstellung von Findmitteln

Der Bericht über „Die Archivbehelfe im Dienst der Wissenschaft“ auf dem Internationalen Archivkongreß in Moskau 1972 hat gezeigt, daß Archivbenutzer in allen Ländern möglichst detaillierte Findmittel wünschen, um rascher und präziser die benötigten Informationen zu bekommen. Die Archive sind somit herausgefordert zu prüfen, ob und in welchem Umfang auch sie im Interesse ihrer Benutzer von den Möglichkeiten der automatischen Datenverarbeitung Gebrauch machen müssen und können.

An erster Stelle in der Anwendung stand und steht in der Regel die Herstellung von alphabetischen Personen- und Ortsindices zu chronologisch oder nach Korrespondenten geordneten Aktenserien, ferner zu solchen Sachakten, die durch den Titel nicht hinreichend erschlossen sind und zu konventionellen Findbüchern. Dabei fallen große Mengen relativ gleichförmiger Daten an, die manuell auf Karteikarten zu übertragen und zu sortieren zwar sehr schwierig, aber ziemlich zeitraubend ist. Werden die Daten in maschinenlesbarer Form erfaßt, kann der Computer in kurzer Zeit geordnete Listen erstellen, die jeweils bei Bedarf maschinell korrigiert und ausgesucht werden können.

Mit einer Indexierung verbunden wird in der Regel auch die automatische Herstellung von Findbüchern in der Form numerischer oder systematischer Verzeichnisse. Sie macht sich zunutze, daß der Computer eine einmal in maschinenlesbarer Form vorliegende Beschreibung eines Archivale nach allen im Datensatz vorkommenden Feldern sortieren und in der gewünschten Reihenfolge ausdrucken sowie darin enthaltene Stichwörter herausuchen und alphabetisch ordnen kann, ohne daß es dazu zusätzlicher manueller Arbeit bedarf. Derartige Findbücher werden vor allem für Bestände angefertigt, die eine große Anzahl gleichartiger Unterlagen enthalten. In Lüttich wurden z. B. 5.600 Notariatsakten des 18. und 19. Jahrhunderts in dieser Weise bearbeitet, das Pariser Nationalarchiv hat begonnen, ebenfalls zu Notariatsakten des 18. Jahrhunderts Verzeichnisse nach den Namen der

Notare, nach dem Datum, nach der Art der beurkundeten Rechtsgeschäfte mit einem Index der beteiligten Personen zu schaffen, wofür bisher über 40.000 Dokumente verarbeitet wurden. In der Bundesrepublik Deutschland wurden mit entsprechenden Verfahren Krankenakten und Unterlagen aus Strafprozessen, im Nationalarchiv Paris die Dossiers über die Aufnahme in die Ehrenlegion verzeichnet. Entsprechende Verfahren fanden Anwendung zur Erschließung von 3.200 gedruckten Plakaten des 18. Jahrhunderts in Lüttich, von Bauzeichnungen des 18. Jahrhunderts im Wiener Stadt- und Landesarchiv und von 30.000 Fotografien im Hauptstaatsarchiv Düsseldorf.

In wachsendem Umfang wird in den USA, Kanada und Großbritannien die automatische Datenverarbeitung für Findbücher zu Aktenbeständen oder Einzeldokumenten eingesetzt, die Informationen verschiedenster Art aus im Einzelnen vorher nicht festzulegenden Sachbereichen enthalten.

Zweifellos erhalten Benutzer durch derartig verfeinerte Findmittel zu speziellen Fragen eine umfassendere und raschere Auskunft, als es bisher möglich war. Diese Findmittel können jedoch nur einen relativ kleinen Teil der Bestände erfassen. Umso wichtiger erscheint es, die Unterrichtung über Gesamtheit der Bestände eines Archivs, die in der Form von Bestandsübersichten oder Archivführern geboten wird, für Benutzer wie für die archivvarische Praxis durch die automatische Datenverarbeitung zu verbessern. In solchen Übersichten sind Angaben über den Inhalt, den Umfang, Ordnungs- und Erhaltungszustand der einzelnen Bestände zu erfassen, laufend zu aktualisieren und möglichst zu publizieren. Statt der traditionell gedruckten Inventare, die nicht selten bei ihrem Erscheinen schon überholt sind, erhalten die Benutzer dadurch mit geringem Mehraufwand Hilfsmittel nach dem jeweils neuesten Stand. Im Public Record Office in London sind die Vorbereitungen für ein solches Auskunftssystem unter der Bezeichnung PROSPEC bereits weit gediehen. Das amerikanische Nationalarchiv arbeitet an einem ähnlichen System, das deutsche Bundesarchiv wird damit 1976 beginnen.

Wenn mehrere Archive eines Landes ihre Bestandsübersichten nach denselben Kriterien maschinell führen, lassen sich die darin gespeicherten Daten ebenfalls automatisch vereinigen und weiterverarbeiten, so daß z. B. Angaben über Akten derselben Provenienz, die auf mehrere Archive verteilt sind, ebenso zusammengeführt werden wie einander ergänzende Informationen zu größeren Sachkomplexen. Eine Studienkommission der englischen Society of Archivists hat bereits vorgeschlagen, mit PROSPEC eine Gesamtübersicht über die Bestände der Archive Großbritanniens herzustellen; ähnliche Überlegungen gibt es in der Sowjetunion und der Bundesrepublik Deutschland.

Bei allen automatisch erstellten Findmitteln ist freilich die Hauptarbeit nach wie vor vom Archivar zu leisten. Der Computer reduziert die Sortier- und Schreibarbeiten, er ist dem Menschen nur überlegen, wo Angaben zu vergleichen und formale Übereinstimmung miteinander zu verknüpfen sind. Erschließungsarbeit und die Festlegung der Auswertungskriterien muß vorher durch den Archivar erfolgen. Voraussetzung für die maschinelle Verarbeitung ist das „Formatieren der Daten“, d. h. die Festlegung der einzelnen Auswertungselemente als Felder eines Datensatzes in einem Formular, z. B. für Provenienz, Signatur, Datierung, Titel, Personennamen, Sachstichworte, Zuweisung zu einem Ordnungssystem. Vor allem bei der Indexierung ergeben sich Probleme aus unterschiedlicher Schreibweise derselben Namen, dem Fehlen von Unterscheidungsmerkmalen bei gleichen Bezeichnungen mit verschiedener Bedeutung (Homonyme) und vor allem der Verwendung variierender Begriffe für dieselben Sachverhalte (Synonyme, Oberbegriffe). Insbesondere bei einer automatischen Indexierung, z. B. mit dem KWIC- oder KWOC-Verfahren, bei dem Stichwörter ausgeworfen werden, sind unvollständige oder fehlerhafte Nachweisungen nicht ausgeschlossen.

Eine Lösung, zumindest des Synonymproblems, kann wahrscheinlich nur die Verwendung eines Thesaurus bieten, in dem Indexbegriffe systematisch geordnet und festgelegt werden. Archivare in der DDR und der Sowjetunion betonen besonders, daß ein derartiger Thesaurus die Voraussetzung für automatisch erstellte Findmittel sein müsse.

Um maschinell verarbeitet werden zu können, müssen die erfaßten Daten in maschinen-

lesbare Form gebracht werden. Nur in wenigen Archiven geschieht das bereits unmittelbar durch Übertragung auf Magnetband, die übrigen benutzen eine maschinenlesbare Schreibmaschinenschrift (OCR-Verfahren), Lochstreifen oder Lochkarten als Datenträger, weil die dafür erforderlichen Geräte preiswerter sind als Magnetbänderfassungsgeräte. Als wirtschaftlich könnte es sich vielleicht erweisen, Daten auf Magnetband mit einer anzumietenden Anlage der mittleren Datentechnik zu erfassen mit der auch einfache Auswertungen und konservatorische Arbeiten an Magnetbändern möglich sind, die von Behörden abgeliefert wurden.

Die Kosten einer automatischen Datenverarbeitung für archivische Zwecke sind im übrigen in der Regel niedriger, als manchmal angenommen wird. Sie jedoch mit den Kosten für konventionelle Findmittel zu vergleichen, ist nicht leicht, insbesondere weil mit relativ hohem Aufwand einmal erfaßte Daten ohne größeren Aufwand maschinell nach mehreren Kriterien sortiert und damit besser verfügbar gemacht werden können. Diese Analysen sind vor allem nötig, wenn nicht Findmittel in der Form von Indices, Listen, Übersichten das Ziel sind, sondern wenn Informationen über den Inhalt von Archivalien ständig im Computer gespeichert werden sollen, um bei Bedarf durch einen Dialog zwischen Benutzer und Maschine abgefragt zu werden. Ein automatisches Information Retrieval System, bei dem wegen zu geringer Nachfrage jede einzelne Recherche Kosten in Höhe von 50 \$ oder mehr verursacht, ist eine Fehlinvestition. Hinzu kommt, daß viele Benutzer gar nicht so hochspezifische Fragen stellen, wie sie ein solches System beantworten kann.

Die Verhältnisse liegen anders, wenn eine automatisch arbeitende Datenbank von Einrichtungen außerhalb der Archive getragen wird, die an Informationen aus Archiven interessiert sind, z. B. von Behörden, die einen rascheren und besseren Zugriff auf von ihnen abgegebenen Akten wünschen, oder von Bild- und Presseagenturen, die älteres Material für publizistische Zwecke bereitstellen wollen. An derartigen Einrichtungen sollten die Archive sich in ihrem eigenen Interesse beteiligen.

5. Die Anwendung der Telekopie zur Übermittlung von Archivalienfaksimiles für Forschungszwecke

In Washington wurde 1948 zum erstenmal ein mikroverfilmter Text über Mikrowellen von einem Ort zu einem anderen übermittelt; es handelte sich um den umfangreichen Roman „Vom Winde verweht“, für dessen Übermittlung nur 2 Minuten und 21 Sekunden benötigt wurden. Seitdem haben sich Bibliotheken mehrfach mit der Frage befaßt, ob durch entsprechende Verfahren die Bereitstellung von Literatur in dringenden Fällen über größere Entfernungen zu vertretbaren Kosten und in guter Qualität möglich ist. Die Archive müssen sich ihr ebenfalls stellen, zumal seit einigen Jahren von verschiedenen Firmen Geräte angeboten werden, durch die über das öffentliche Telefonnetz Faksimiles übermittelt werden können; sie werden in Wirtschaft und Verwaltung vielfach schon angewandt, um Informationen, vor allem graphischer Art wie Zeichnungen und Pläne, entfernten Interessenten, z. B. Ingenieuren auf einer Baustelle, rasch verfügbar zu machen.

Nach unterschiedlichen Verfahren werden bei dieser als Telekopie oder Faksimilekommunikation bezeichneten Form der Nachrichtenverbreitung Lichtwerte abgetastet, in elektrische und akustische Werte umgewandelt, über Telefon – drahtlos oder über Leitungen – übermittelt und zurückverwandelt. Absender und Empfänger müssen über aufeinander abgestimmte Sende- und Empfangseinrichtungen verfügen, die an einen Telefonapparat angeschlossen sind. Die Übertragungszeit, für die dieselben Gebühren zu entrichten sind wie für ein gleichlanges Gespräch, dauert bei den einfachsten Geräten 6 Minuten für eine Seite im Format DIN A 4 (210 × 297 mm), sie kann bei größeren technischem Aufwand auf 30 oder sogar 15 Sekunden reduziert werden. Dabei ist jedoch festzustellen, daß die Qualität der Wiedergabe sich bei größerer Übertragungsgeschwindigkeit vermindert. Gebundene Vorlagen eignen sich bei vielen Geräten nicht für die Telekopie, so daß daraus zuerst Kopien auf lose Blätter gefertigt werden müssen.

Nur selten werden Archivbenutzer Faksimiles von Archivalien so rasch benötigen, daß

sie die Übersendung einer Kopie mit Luftpost und Eilzustellung nicht abwarten können und bereit sein werden, die höheren Kosten für die Telekopie zu tragen.

Trotzdem sollten die Archive die weitere Entwicklung der Telekopie aufmerksam verfolgen. In einer Zeit steigender Personal- und Portokosten bei sinkenden Kosten für Maschinen ist nicht auszuschließen, daß es eines Tages billiger sein kann, ein Dokument von 3 Seiten in eineinhalb Minuten über Telefon zu übermitteln.

6. Schlußfolgerungen

Wie alle anderen Zweige der öffentlichen Verwaltung werden auch die Archive vor jeder Entscheidung über die Einführung einer neuen Technologie versuchen müssen, durch eine Kosten-Nutzen-Analyse deren Wirtschaftlichkeit zu prüfen. Dabei wird sicher der nicht meßbare Nutzen, der bei den Benutzern durch Zeitgewinn entstehen kann, zu berücksichtigen sein. Die Anwendung neuer Verfahren zwingt die Archive daher auch, die Erfolge ihrer Arbeit besser zu kontrollieren. Das kann nicht nur durch eine verfeinerte Statistik geschehen, sondern verlangt vor allem einen regelmäßigen Dialog zwischen Archivar und Benutzer im Sinn eines feed-back.

Die hohen Kosten der technischen Verfahren machen es außerdem erforderlich, stärker als bisher die Zusammenarbeit mit anderen Institutionen zu suchen, die ebenfalls Informationen vermitteln. Das können Datenbanken der Verwaltung, Dokumentationsstellen und Spezialbibliotheken der Wissenschaft oder der Wirtschaft sein, aber auch Presseagenturen und Verleger, z. B. bei Publikationsfilmprogrammen. Dabei wird es freilich auch darauf ankommen, zu verhindern, daß kommerzielle Informationssysteme, die eine objektive und gleichmäßige Deckung des Informationsbedarfs nicht gewährleisten können, auf Grund ihrer größeren technischen Möglichkeiten eine unangemessene Verfügungsgewalt über archivierte Daten erhalten.

Nicht zuletzt verlangen die neuen Techniken eine verstärkte Zusammenarbeit der Archive sowohl auf nationaler als auch auf internationaler Ebene. Es muß gesichert sein, daß Erfahrungen, die ein Archiv mit einem Verfahren unter Aufwendung nicht unerheblicher Mittel gemacht hat, auch anderen Archiven zugute kommen, damit Fehler und Umwege möglichst nicht wiederholt werden. Am wichtigsten erscheint das im Bereich der Anwendung der automatischen Datenverarbeitung. Wegen der Unterschiede in der maschinellen Ausstattung wird es zwar wohl nicht realisierbar sein, Programmsysteme auszutauschen oder gar eine Standardsoftware für Archive auf der ganzen Welt zu entwickeln. Möglich könnte aber eine Arbeitsteilung werden, bei der ein Archiv sich auf die Indexierung mittelalterlicher Urkunden, ein anderes auf die automatisierte Erschließung von Bildbeständen, ein drittes auf Bestandsübersichten spezialisiert und jedes seine technischen Einrichtungen, soweit möglich, dafür anbietet. Für einen Datenaustausch kommen vor allem Informationen über Quellen zur Geschichte anderer Länder, die für deren Archive und Historiker von Bedeutung sind, in Betracht, er kann wesentlich dazu beitragen, daß sie besser zugänglich werden.

Voraussetzung dafür ist allerdings, daß gleichartige Daten in möglichst vielen Archiven in gleicher Form erfaßt werden. Dokumentare und Bibliothekare bemühen sich seit langem um Verfahren zum internationalen Austausch bibliographischer Informationen. Die schwierigen Probleme, die dabei aufgetreten sind, bestehen – sogar in verstärktem Maße – auch für die Archive. Trotzdem sollte versucht werden, sie zu bewältigen, um dadurch die großen Möglichkeiten, die eine moderne Technik den Archiven für die Verbreitung und Nutzung der ihnen anvertrauten Informationen geboten hat, international optimal zu nutzen.

THE LIBERALISATION OF ACCESS AND USE

Report by Mr. S.N. PRASAD¹

Background History of the Issue

Archivists have been making efforts for a long time to promote the use of archives for historical research, and it will be useful to recall these earlier efforts. One of the main objectives before the International Council on Archives itself, when it was established in 1948, was "to facilitate more frequent use of archives and the effective and impartial study of the documents they contain by making their contents more widely known and by encouraging greater freedom of access", as stated in Article 2 of the ICA Constitution. This objective was reaffirmed at the Extraordinary International Congress on Archives at Washington in 1966. The Extraordinary Congress also recommended substantial liberalisation of the rules of access by a reduction in the closed period of records, and by making available certain categories or series of records for research even from the closed period. Another recommendation urged that researchers should be given equal facilities and access, irrespective of their nationality, and that the idea of the International Reader's Card should be further investigated and worked out.

The 6th International Congress on Archives at Madrid in 1968 devoted its first session to the subject of liberalisation of access to archives, as indeed, had the 1966 Congress. The recommendations of the 1968 Congress included the following:

(a) In order to facilitate scholarly research and to remove all unjustified restrictions, the closed period for archives generally should not exceed 30 years, with specified series or fonds thrown open earlier and with certain sensitive records withheld from scholars for a longer period, which however, should never exceed 80 years.

(b) the closed period and access rules generally should be the same for private papers as for public records, and foreigners and citizens should be treated alike regarding access to the archives.

(c) as a preliminary to the introduction of an International Reader's Card, National Readers' Cards valid for all archival institutions within each country should be introduced.

(d) microfilm publications and microfilming on demand of scholars should be facilitated and promoted without any consideration of the bulk of records involved or of the purpose of research.

The problems facing archivists today are still basically the same as those discussed in these earlier Congresses.

Problem of the Open Period

The last decade has seen a clear trend to throw open records of a more recent date for historical research. Whereas scholars ten years ago were allowed generally to consult records which were at least 50 years old, today the 30 year old records are generally open to scholars. Canada, Fiji, Sri Lanka, India, Ghana and the UK itself (Public Record Office, India Office Library and Records, Scottish Record Office etc.) have changed over from the 50 year to the 30 year rule in the last ten years. So has Hungary. Switzerland has adopted a

1. Slightly abridged version of the report distributed to members before the Congress.

35 year time-limit instead of 50 years. The USA, Sweden, the USSR, have no specific time-limit for their open records. Several countries, like Malaysia, Norway and New Zealand, have also been progressive in this regards with closed period limits of less than 30 years. In France, archives prior to 1940 (i.e. 36 year old) are open to consultation. But some advanced countries are still keeping their archives closed for longer periods. The desirability of achieving a uniformity in this vital matter is obvious, nor would any one dispute the desirability of throwing open to research as many records as practicable.

No country, however, has found it practicable to throw open for research all its records without any exception. The exceptions relate to the well-known considerations of national security, interests of living officials or citizens, etc. Where there are no general restrictions or "Closed Period" on records, as in the USA, USSR, Sweden, Finland, there are simply longer lists of specified reservations and special delay regulations for particular types of records. It should also be borne in mind that records have to be processed in the archival repository before they can be useful to and conveniently handled by the researcher. Records have to change from current to semi-current stage, to be appraised one or twice, and to be properly listed or indexed and physically secured, before they are really ready for the researcher. So the ideal of all records even of the most recent date being available for research appears, like all ideals, really unattainable, and some restrictions on access must remain justified.

The vital question is, "who is to decide whether a particular restriction is justified or not"? In almost all countries it is still the record-creating agency, or the officials concerned, who decide this. Our distinguished colleague, Mr. D. Mannsaker of Norway, argued at a previous Congress that both the researcher and the official or politician were interested parties, and so the archivist, who was neutral and who understood the requirements of both, should decide what restrictions were justified. The archivist, in almost all countries, however, is just a middle ranking official, and not an independent judge, and there are highly classified records which he cannot even see. Any hasty pressure on officials by archivists backed by the scholarly community would endanger full documentation of the Government's proceedings, a risk which must be considered unacceptable. It is only the patient efforts of scholars and archivists, and a better education or orientation of officials, which would achieve results.

Some practical and mundane considerations too cannot be ignored. Under a system of a very brief or no "closed period", which inevitably has many special restrictions, the archivist's difficulties are multiplied. He has to be constantly consulting his book of restrictions, dismember files in efforts to separate the closed from the open records, and examine masses of materials required by scholars to make sure they contain no forbidden material. And still he runs the risk of making a mistake, without being really able to please and satisfy all researchers.

The outlook for the future, however, promises growing relief. We should thank the modern Press and its prying eyes for making people – including officials – more calloused and less sensitive. The steadily decreasing international tension and the thaw in the Cold War is bound to reduce the need for secrecy. Developments like President Nixon's Executive Order (11652) of March 1971, providing for mandatory reviews and automatic declassification of confidential papers, will certainly make more and more records available for research.

Bonafides of Researchers

There has been little change in the last decade regarding access to archives for the man in the street. Old records being unique, or single copy documents, most countries permit access to them only to "bonafide scholars", and not to the casual and curious visitor. Some countries, however, like Belgium, Canada, New Zealand, Tanzania, Ghana, France, USA and USSR, have rules allowing every citizen the right to consult the records.

Giving all citizens the right of access to archives is certainly progressive and praiseworthy.

Such a step is good public relations, and brings archives to the common man more effectively perhaps than exhibitions of documents. It is doubtful, however, if this access is of much practical utility in developing countries with a low percentage of literacy. The actual user of archives is, and will remain, the serious researcher, and if the definition and criteria of the "bonafide scholar" are not unduly restrictive, the main purpose is served.

Most of the developed countries of the Western World do not discriminate between the foreigners and their own citizens in giving access to their records. But many socialist and developing countries appear to require special clearance for foreigners, in order to restrict the facility only to bonafide scholars. The concept of the International Reader's Card appears to be as utopian today as it was a decade ago.

On the other hand, excellent progress has been made in the matter of doing away with the scrutiny of notes or excerpts taken by scholars from "open" records. Hardly any archive service insists on such scrutiny now. Apart from more liberal attitudes, one suspects that, with the ever-increasing number of scholars, the task of scrutinising their notes has become unmanageable. After all, in the USSR alone, search rooms are estimated to be used by 40,000 scholars each year.

Finding Aids and Search Facilities

Finding aids, such as guides, lists, and indices, enable the scholar to locate particular documents relevant to his research, and are, therefore, of vital importance for the actual use of archives. Such aids for most of the records were available in almost all archives even a decade ago. The position today is basically the same, with most major archives having some records which still do not have adequate finding aids. For example, the National Archives of India has no adequate finding aids for about 30% of its records. The USA, France and UK also have certain categories of records without adequate reference media. The Scottish Record Office is among the very few institutions reporting significant improvement in this matter in the last decade.

Most archival institutions simply make these finding aids available to scholars, who can then select the documents they should consult, but in many cases experienced archivists help researchers in selecting documents.

Assuming that finding aids are lacking because of shortage of funds and trained staff, it is surprising that many archival institutions undertake searches among the records on behalf of scholars without asking for any payment. Even developing countries like Tanzania and Sri Lanka provide this courtesy service. Perhaps the diversion of resources in providing this courtesy service is too marginal to make any difference to the preparation of finding aids.

Reprographic Facilities

There has been clear progress in the last decade in the provision of reprographic facilities in archival institutions. For example, Canada has added microfiche equipment, Belgium has added electrostatic copiers, and Sweden now has equipment giving copyflo from microfilms and also reproductions in colour. Even developing countries like India, Sri Lanka, Ghana and Malaysia have acquired quick copying equipment, while microfilming facilities are now almost universal.

In the last ten years, more and more scholars have started using their own typewriters, tape recorders and cameras, instead of taking down notes from the records by hand. Many archives permit these instruments, and some, particularly in the UK, have special rooms set apart for them. But many others still do not permit the use of such equipment, and private cameras, for reasons which are not quite clear, are forbidden by most archives.

Adequate reprographic facilities are essential for effective use of archives. This is universally accepted. It is hoped that the encouraging progress in this field will continue at a faster pace in the future.

However, there is still no uniformity on the question of filming whole series or groups of archives on the request of another institution. The arguments for and against were debated

at length at the Madrid Congress in 1968, and need not be repeated here. The dispute is basically between those who have archives but little money, and those who have the money and want more archives. A whole-hearted agreement is obviously difficult in such a situation. It appears likely that different countries will continue to pursue different policies in this matter, unless the 8th Congress produced a real consensus of opinion.

Working Hours of Research Rooms

The search rooms of archival institutions still observe the same working hours they kept a decade ago. Scholars are allowed to consult records in these rooms from morning to early evening on working days. In most countries, searchrooms are closed for a day and a half on week-end like other Government offices, and also remain closed on the usual holidays. Some institutions, like the India Office Library and Records, London, and the National Archives in France have, in addition, an annual vacation of one or two weeks. A few institutions, like the National Archives of India, keep their search-room open even on Sundays and almost all public holidays, throughout the year. The Public Archives of Canada has the unique distinction of keeping its doors open for researchers on every day of the year, and for all the 24 hours. Scholars have, of course, to collect the records during normal working hours, and supervision over them during the rest of the 24 hours is by commissioners and closed circuit monitors. Such an excellent arrangement should not be difficult for other developed countries to copy.

The Non-Public Records

The clear-cut differences between public, semi-public and non-public records are getting blurred in most countries, whether by nationalisation of banks, industrial undertakings, etc., or by the creation of institutions like the Presidential Libraries in the USA. It is proposed to consider in this section the problems of use for research of semipublic or non-public records, including private papers, business archives, and records of medical and social welfare agencies.

Each of these categories of records has its own special problems. Personal papers of eminent public men are to be treated as private property for all purposes, though the position is rather different in socialist countries. They often discuss family matters, apart from public issues. A public leader's attitude even in family matters is of great interest to scholars, since it often reveals hidden traits of character and helps in understanding the total personality of the man; at the same time, the need to protect family sensitivities and confidential information is obvious. There are also the problems of copyright, and the legal liability for libel and for violating the privacy of the individual. Access to business archives must safeguard trade secrets. Banks withhold their records disclosing confidential affairs of their customers because of the fear of legal complications. And in many countries there is no time limit on these legal restrictions. The records of medical and social welfare organisations are equally sensitive and confidential, though they are increasingly in demand by insurance agencies, behavioral scientists, social historians, etc. In some developing countries, even the archives of some religious institutions have explosive potentialities and cannot be thrown open to all researchers.

Non-public records have much better chances of being preserved today than they had a decade ago. Many business houses, religious orders, universities, etc., have organised and preserved their own archives under the retention system. Many other institutions and individuals have handed over their old records to archival institutions and libraries under the deposit system. Almost any national archives would welcome the offer of important non-public records now. The National Archives of India, for example, has acquired thirty-three large collections of private papers. The Presidential Libraries of the USA, and the Nehru Memorial Museum and Library at New Delhi, are well known. The National Register of Archives (UK) has been copied in India, while Australia has set up a Central Register of Business Archives on similar lines. The National Archives of France also has a central re-

gister of private (business and family) archives throughout the country. These are just a few illustrative examples.

In the matter of access and use also, progress has certainly been made. For example, the Presidential Libraries of the USA are now able to throw open for research most of the papers of a President within about 7 years of his leaving office. But formidable problems remain. It is possible only to mention a few of them here.

The private papers of politicians and high officials often elucidate and explain their public actions and attitudes. So to keep them closed when official archives of these events are open may result in an unjust judgement on their policy or actions. On the other hand, private papers often contain official secrets, and even copies of correspondence on official matters. So to open these when official records are closed would also be wrong. But it is not always possible to have public and private records open up to the same date. Moreover, the problem of copyright regarding private papers is still far from solved, and the legal liability of the archivist in giving access to them, or in supplying their copies, has yet to be finally settled in most countries. Requirements of confidentiality of certain types of records of banks and business houses are recognised by the archivist and the researcher, though income tax officials generally have access to all such records. But some other Government departments also have such information in their own files, and these files may be open for research. Modern governments have organisations engaged in study and investigations of working procedures, pricing policies, etc. of business firms. In the USA, for example, the records of the Bureau of Corporations (1903-1914) are open and contain such details about firms which can be identified. The position would be similar in India regarding the records of the Bureau of Industrial Costs and Prices, the Monopolies and Restrictive Trade Practices Commission, etc. Medical or personal case records are clearly confidential, and should be kept "closed" for a long time, but they are often destroyed after only 15 years from the termination of the medical services in question. Such examples can be multiplied, and each country has its own special problem regarding access to non-public archives.

International Organisations

At the same time, international organisations also have their own special problems. There must be some five thousand of these organisations in the "one world" of today. From the viewpoint of most scholars, the old League of Nations and the present United Nations must have archives of predominant interest. But the access to these records is far from satisfactory.

It will be recalled that as early as 1946, Dr. Solon J. Buck, the then Archivist of the USA, in his Presidential Address before the Society of American Archivists, recommended not only the setting up of the International Council on Archives but also the setting up of a unified archival agency for the United Nations. This unified agency has not yet been set up, though each of the major organisations of the UN family has its own records office. The archives of the main Secretariat of the UN was set up in 1946, but scholars will be able to make adequate use of these records only in the years to come. The archives of the League of Nations at Geneva opened its doors to scholars in 1968-69. Progress since then, however, can hardly be considered satisfactory.

The problems of access to the archives of organisations like the UN and the League of Nations are obviously more difficult than those faced by a National Archives. Apart from the usual considerations concerning the reputation or privacy of individual officials and statesmen, the legal rights and obligations of sovereign States are involved. Liberal access rules are perhaps not practicable in such situations, and a short "closed period" must require many special reservations on particular types of records. These reservations involve the scrutiny by archivists of individual files in many languages and a fine judgement concerning their sensitivity or confidentiality.

These considerations are exemplified by the rules governing access to the archives of the League of Nations. Generally the records were open when they were 40 years old, but a

closed period of 60 years was considered necessary for unofficial communications from Governments whose records of a more recent date were not open for research in their own countries. The closed period of 60 years also applied to the personal files of League officials. Any file less than 40 years old required special permission before its consultation. Supply to scholars and institutions of microfilm of an entire series of files was not permitted, for, in the words of the archivist concerned (Mr. Yves Pérotin), such a wholesale supply of microfilm "constitutes an alienation that a sovereign Government – but not an international organisation – may accept". The copyright problem was made the responsibility and concern of the researcher, which was perhaps the only way out.

New Archival Sources

Perhaps the most important development in the use of archives for research concerns the availability of new types of records. These new types of records come from many diverse developments, including technological and political developments, which will be discussed in detail later in this session, and in the Fourth Plenary Session. The emergence of well over a score of countries from colonial rule in the last ten years is one such development. With new archival institutions being gradually organised in these countries at the national level, indigenous historical sources are becoming available. Where so far only the records of the respective colonial offices held the field, and reflected only the viewpoint of the colonial administrations, the other side's story is now increasingly becoming available for those who care to find out the truth. Items like the private papers of local nationalists and publications banned and confiscated by the colonial rulers are thrown open for research in these newly independent countries. They provide the necessary corrective and counterpoise to the colonial records, and open new vistas to the historian. The significance of these local archival sources for a much-needed reinterpretation of the modern history of the third-world countries is obvious.

Also included among the new types of records are tape recordings of "oral history". I have my doubts about the reliability, and therefore, utility of such verbal accounts based on fallible memory and tainted by hindsight, but no one can deny that these unorthodox archival sources have become important sources in the last ten years.

The archivist is, in fact, acquiring much of the "grabbing" instincts or dynamic greed of the antique collector or the librarian, and is no longer content to simply receive regular instalments of long record series. He has given up the role of the passive ocean, waiting for the old familiar rivers to pour their waters into it.

These new archival sources deserve this brief mention here, because they have significance in the wider context of the use of archives for research. They enlarge the field available to the researcher, just as more liberal access rules do. Moreover, the problems concerning the use of this new material have not been sufficiently studied or discussed yet. For example, oral history can obviously be obtained only from persons still alive, and their oral testimony or statements might cover even very recent events. Then should the whole statement be kept hidden from researchers or should only a part be opened? The problems and difficulties are easy to see. It appears necessary to draw the attention of archivists and researchers to the unsolved problems, so that a uniform, well considered practice is evolved.

Conclusion

In the light of the paragraphs above, it is clear that, in the matter of access to and use of archives for research, no break-through or revolution has taken place in the last ten years. Efforts to liberalise access rules have been going on for a quarter of a century at least. The "closed period" of archives has been reduced in many countries, while a few have done away with the "closed period". But even these few countries have to deny access to many records series and important documents. There has been improvement, but no revolution.

It is possible to look forward confidently to better reprography facilities and finding aids

for the researcher in the years to come. More and more archival institutions can be expected to keep their search-rooms open for longer periods and on more days of the year. Electronics, through computers and Automatic Data Processing, will greatly reduce the time and drudgery of research – also robbing the researcher, incidentally, of the joy and excitement of finding something totally unexpected while hunting information in inadequately listed records.

But total access to all records will never be possible, and even a vast improvement in this direction appears unlikely in the near future. Requirements of national security, personal privacy and legal confidentiality will continue to prevail in greater or lesser degree. Even otherwise, the researcher will have to wait till the records have reached the non-current stage, have been finally appraised, and have been processed and put in shape by the archivist. The ultimate allegiance of the archivist, after all, is neither to the existing administration nor to the scholars of today. His allegiance is to the records and to documentation, which he holds in sacred trust for the generations to come. In any conflict between the present and the future, the archivist has to think of the future more than of the present. Preservation of records must take priority over utilisation. Undue pressure by researchers might endanger documentation itself in various ways.

Semi-public and private archives offer distinctly better prospects of a great improvement in the existing situation regarding their use for research. In most countries, they have to be first preserved more systematically if they are to be used for research, and so the interests of the archivist and the scholar coincide. The processing and utilisation of these records, however, still has many unsolved or difficult problems. We have yet to evolve standard or widely-accepted doctrines regarding the terms of acquisition, classification, listing, confidentiality and access, reproduction and copyright etc., of these records, which to the researcher are as valuable as the public records. The International Council on Archives might consider the possibility of arranging a study in depth of these problems, so that approved guidelines might become available. Detailed studies are also required of the problems peculiar to oral history sources, legal validity of photo reproductions, the problem of copyright, etc.

The long term interests of archivists are not in conflict with those of researchers, and both can look forward to better and better preservation as well as utilisation of the cultural heritage of all mankind in the form of archives.

PROCEEDINGS OF THE SESSION PROCÈS-VERBAL DE LA SÉANCE

PANELISTS' CONTRIBUTIONS/EXPOSÉS

M. Miloš MILOŠEVIĆ¹ (Yougoslavie): *L'accès aux archives et l'évolution des techniques.*

Dans son rapport sur *L'expansion de la clientèle archivistique*, après l'énumération détaillée de divers changements en matière d'expansion contemporaine de la clientèle archivistique, M. Borsa pose quelques questions de base. Tant du point de vue quantitatif que de la diversité thématique, cette expansion donne une grande impression positive. En revanche, sur le plan qualitatif, dans de nombreux cas apparaissent de sérieux dilemmes. La responsabilité des archivistes est d'assurer l'usage correct des instruments de recherche et d'empêcher ce que M. Borsa, avec raison, appelle «la régression de l'étude de l'histoire».

En voici un exemple pratique. Un certain nombre de chercheurs se servent exclusivement d'analyses, et négligent de consulter les documents originaux. Il est évident que cette démarche est dangereuse, quand on considère le caractère synthétique de l'analyse. Pour cette raison, il serait utile d'insister surtout sur la préparation des index analytiques, qui servent uniquement à situer où se trouvent les données, sans descriptions détaillées. Quant aux analyses individuelles des documents, il faut les réserver aux documents de grande importance et les faire aussi courtes que possible, afin que le chercheur soit contraint de recourir au document original. En d'autres termes, il faut empêcher que l'outil intermédiaire prenne la place de la source principale.

Le rapport de M. Prasad sur *La libéralisation de l'accès et de l'utilisation des archives* montre bien que c'est un des problèmes auxquels nous attachons la plus grande importance, mais que, malgré tous les efforts tentés, il reste actuellement insoluble. M. Prasad, après l'expérience de Washington (1966) et de Madrid (1968), est très réaliste quand il constate: «Les problèmes auxquels se heurtent actuellement les archivistes sont essentiellement les mêmes que ceux qui ont fait l'objet des débats des congrès antérieurs». Naturellement, quelques progrès sont évidents et cela est de la plus grande importance, mais il reste tout de même cette constatation: «L'accès total à toutes les archives ne sera jamais possible, pour beaucoup de raisons». Mais, alors, pourquoi en parlons-nous? Il reste, peut-être, seulement un aspect éthique de la question, une possible pression morale de l'opinion publique. En ce sens, ajoutons qu'on devrait se poser d'une manière réaliste cette question: que sont, vraiment, le secret et la «raison d'Etat»? Souvent une vérité désagréable est moins nuisible qu'un secret, qui est normalement accompagné de beaucoup de demi-vérités ou de mensonges pernicieux. Donc, en respectant ce petit pourcentage de documents d'archives qui, évidemment, doit être réservé, nous croyons au principe que la vérité seule est la moins nuisible, et que cela pénètre lentement dans la mentalité des administrations des Etats.

MM. Boberach et Buchmann, dans leur rapport sur *Les progrès techniques et l'expansion de l'accès aux archives*, nous ont offert un riche panorama des progrès techniques réalisés dans le monde des archives. Il s'agit, sans aucun doute, d'une des voies les plus sûres pour l'avenir des archives; et si les expériences n'étaient pas si coûteuses, cette activité serait en-

1. Conservateur aux Archives de Kotor.

core intensifiée. En effet, une grande partie des procédés automatiques et électroniques sont déjà depuis longtemps adoptés dans les archives, par exemple le microfilm, l'exposition, l'enseignement, l'index des noms de personnes et de lieux, etc.; mais les auteurs du rapport ont, avec beaucoup de raison, souligné certaines insuffisances de ces procédés quand il s'agit de travaux archivistiques plus complexes.

Il faut bien distinguer deux choses. Les instruments de recherche ont la fonction d'indiquer aux chercheurs où se trouvent certaines données, mais aussi où on peut étudier les processus historiques concrets. Ces données peuvent également servir souvent dans un contexte statistique, de classement, de comparaison, etc. Tout cela est très approprié pour l'élaboration électronique, mais les processus historiques ont de telles nuances dans les sources, que les procédés automatiques et électroniques ne sont pas capables de les traiter d'une manière critique, domaine réservé uniquement à l'homme. Il nous appartient de ne pas permettre que la machine, avec sa vitesse inaccessible pour l'homme, se substitue au travail réfléchi et intelligent que seul l'homme peut accomplir.

Mr. Cyrus PARHAM¹ (Iran): *The evolution of problems in access and use of archives since the Madrid Congress in 1968.*

The theme of this Session is a follow-up of the main topics discussed at the Madrid Congress (1968), notably the Liberalization and Microfilming reports. I feel therefore that a serious participant of this session will be somewhat disappointed by the absence of a systematic link between the papers presented here and the Madrid Congress reports. To be sure, there are occasional linkages in the excellent reports prepared by Dr. Boberach, Dr. Borsa and Dr. Prasad, but on the whole there is no systematic and analytic follow-up, no comprehensive evaluation of the aspects of the problems involved.

The following are examples of the kind of problems on which one wishes greater clarification now that eight years have passed since the Madrid Congress:

(a) To what extent has the archival technological revolution, particularly microfilming, succeeded in revolutionizing archival access and use?

(b) Does the classical problem of handling filmed archives still exist from the scholar's point of view?

(c) To what extent does the assumption hold true today that a direct contact with original records is essential to scholarly work?

(d) Is the use of microfilm, to quote Mr. Rieger, "entirely normal and acceptable to the younger generation" or, in other words, is the conservative attitude of the elder generation towards the use of microfilm a reality or a myth?

In this connection, Dr. Boberach mentions the inadequacy of filmed archives from the viewpoint of the users. He does not, however, elaborate and we fail to obtain a clear-cut and convincing analysis of the problem. I believe that a systematic study of the matter, coupled with and based on data obtained from users, through interviews, questionnaires etc., is required. Perhaps the 8th Congress would find the subject worthy of a survey and eventually of an ICA project.

Furthermore, one also expects to have a brief reference to, if not a report on, the projected international action concerning the legal status of microfilm. This is important simply because the revolution in access and use of archival documents promoted by microfilm and microfiche will be incomplete as long as legal validity is denied to such modern archival instruments.

As to the progress in liberalization, I think at least one of the speakers should have elaborated on the revolutionary role played by reprography facilities in liberalizing and popularizing access to archives. Many records hitherto closed to searchers, due to physical and administrative safe-keeping reasons, have been made available easily and promptly to the users when microfilmed. (Dr. Prasad touches on this when he discusses the practice of making available old and unique records to "bona fide scholars" only).

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The User's Needs

No appraisal of the revolution in access and use of modern archives can be effective without a comprehensive analysis and evaluation of users' needs. Both Dr. Borsa and Dr. Boberach have dealt extensively with different aspects of users' needs and expectations. In this respect, the inexperienced searcher with limited resources deserves more attention. (Dr. Prasad's account of the practice of experienced archivists in the USSR, Indonesia and Nepal in helping researchers in selecting documents creates a rather unfavorable impression of the practice which, incidentally, is common in many other countries). As Dr. Borsa rightly points out, the trained researcher has to be distinguished from the casual user and be treated differently. Generally, the occasional and inexperienced user has to ask for the archivist's help. As a rule, to quote Dr. Borsa, "the archivist has to perform a number of additional services" in order to give a professional hand to the searcher.

Certainly, very few archivists have the time and the energy required for shouldering this professional burden. Nevertheless, encouragement and assistance to the inexperienced user seems to be essential to the revolution and liberalization of access. As a matter of fact, having experienced archivists available in search rooms is a prerequisite for a revolutionized and liberalized archival service. This is particularly significant in view of the fact that, in the words of Dr. Borsa, "the percentage of properly qualified and experienced researchers has dropped and the number of less qualified people, having no experience in archival work, coming to the research rooms of the archives, has increased considerably".

Dr. Borsa raises the problem of the clientele expecting the archives "to perform archival research", without his suggesting any solution to the problem. Perhaps the very last paragraph of his paper, that is his suggestion for the "establishment of archival documentation services", contains elements of a long-term solution. Indeed, a closer and more systematic cooperation between the archival and documentation services, with the ultimate objective of serving certain groups of the archival clientele through the latter, seems to be highly desirable at a time when research work in modern archives has become more difficult and more complicated, because of the increasing volume of machine-readable records and automatic data processing.

New Archival Resources

Dr. Prasad's brief analysis of new archival resources, such as recordings of "oral history", brings into the open a problem of ever-increasing magnitude which has to be tackled by the archivist. Dr. Prasad's doubts about the "reliability, and therefore, utility" of such verbal documents, justified as these doubts may be, force us toward the conclusion that new archival resources require new archival treatment, policy and regulations, particularly in regard to access and closed periods. Authenticity of a tape-recorded statement cannot be established in the same way and with the same relative ease as the authenticity of a written document. In this respect the time element plays a vital role, as does the survival of the individuals involved. The handwriting and signature of a statesman can be validated after the termination of the closed period, no matter how long it may be. But we may have difficulty in validating the voice of the same statesman after some twenty or thirty years. For that reason different rules for accessioning and access to oral records, as well as more liberal and shorter closed periods, seem to be required.

Sr. Luis M. RODRÍGUEZ MORALES¹ (Puerto Rico): *Consideraciones sobre accesibilidad y uso de archivos*

El problema de la mayor accesibilidad de los documentos de los archivos, la evaluación sobre si ha habido una genuina revolución en este campo o si sólo ha habido cierto grado de liberalización se va a discutir en este Congreso y se va a seguir discutiendo en los años

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futuros. Tal vez nunca estaremos conformes con la situación existente los que vemos al archivo como una institución abierta, porque la realidad es muy compleja y tiene tantas posibilidades de criterios como tipos de documentos se custodien.

En base a las ponencias presentadas creo que podemos decir que ha habido un progreso notable en la accesibilidad de los documentos aún cuando no hayamos visto lo que cada uno de nosotros entienda por verdadera revolución. En lo que sí creo que muchos vamos a estar de acuerdo es en que se está operando una revolución conceptual en esta área . . . y ya eso es mucho. El primer campo de batalla en esta revolución pro-accesibilidad reside en la mentalidad del propio archivero y parece que ahí la batalla se está ganando.

De 1956 a 1976 – para escoger un período arbitrario – el cambio en la actitud del archivero ha sido notable. Ya no es profesional poner impedimentos a los usuarios de los archivos, ya no es profesional evitar la consulta o la reproducción de series completas de documentos, ya no es profesional creer que un archivo debe servir solamente o preferentemente a cierto tipo de investigador porque se le considere científico o con credenciales académicas. En esto último tenemos que insistir. Los archivos han de servir al investigador particular igual que al científico, porque si éste último sirve a la interpretación y a la erudición, el otro es un ciudadano en busca de los documentos que le resguardan unos derechos o que simplemente satisfacen una curiosidad intelectual. Es deber del archivero prestar esos servicios.

Logicamente podrán haber gradaciones entre los usuarios de un archivo, pero si desarrollamos una actitud de que vamos a servir con preferencia a un tipo de investigador sobre otro, estaremos en peligro de caer en una postura de elitismo que nos acarrea dos males. Primero, estamos dejando sin resguardo al ciudadano común y corriente que no busca las causas de las grandes convulsiones sociales o económicas, pero que si busca la comprobación de un derecho a una pensión, o la legitimidad de su nacimiento, o la extensión de unas tierras que compró años atrás. Segundo, no estaríamos siendo fieles a una obligación que tenemos los archiveros de prestar un servicio a todos los que lo necesiten. Personalmente opino que el archivero contemporáneo sirve – o debe servir – al estudioso y al erudito en su eterna búsqueda por la verdad y ese es un servicio valioso, igualmente sirve al administrador, al planificador y al profesional del servicio público que necesita conocer los antecedentes de un caso para tomar una decisión inteligente y también al ciudadano particular que busca un dato que es importante para él.

Sostengo esta opinión porque mientras los archivos pretendan mantenerse al servicio de sólo algunos de los que necesitan de ellos nunca tendrán el respaldo general que necesitan para lograr los recursos con que hacer realidad una política de amplia accesibilidad en beneficio de sus usuarios.

Posiblemente la accesibilidad óptima sea inalcanzable porque las instituciones no cuentan con los recursos necesarios para hacerla posible: suficiente personal capacitado, facilidades para consultas de distintos tipos, horario ilimitado para las consultas, guías de localización, equipo de conservación y reproducción y los recursos económicos para lograr hacer todo el trabajo profesional que se necesita previo a poner en uso los documentos.

Debe señalarse que la tecnología contemporánea ha producido unos equipos y unos métodos que aplicados a la archivología pueden multiplicar la potencialidad de acceso a la información. Es igualmente real que para muchos de nuestros archivos la nueva tecnología parece difícil de asimilar y prohibitivamente costosa. La simplificación de métodos y equipos parece ser la posibilidad del futuro pero hasta el presente, ni siquiera procedimientos tan conocidos como la microfilmación son de uso común en muchas instituciones archivísticas.

Por eso tenemos que seguir dando primero la primera batalla de esta revolución. Y esa está en la mentalidad del archivero.

Siempre tendremos documentos confidenciales por una razón u otra, pero hasta los expedientes médico ceden ante ese gran nivelador que es el tiempo. Las úlceras de Napoleón, la tesis de Bolívar o la inestabilidad emocional de algún gobernante contemporáneo podrán ser secretos de Estado en su momento. El tiempo los hará moneda de circulación general.

Lo que este Congreso y otros que le sigan deberán proveer son los criterios a utilizarse para abrir al uso público los fondos y colecciones documentales sin detrimento de la seguridad nacional, de los derechos de los particulares o de la dignidad del ser humano.

Mrs. D. Gail SAUNDERS¹ (Bahamas): *Comments on the three reports on the revolution in access and use of archives.*

I shall briefly comment on the three excellent reports that have just been presented.

1. Dr. Borsa's report

In his paper, Dr. Borsa traces the development of the expanding archival clientele in the Post War period to two main causes – the Archives themselves and external influences outside the scope of Archives. He concludes by stating the difficulties encountered by archivists in the increased liberalization of access and the trends to be expected in the future.

Dr. Borsa notes the increase in private papers deposits that have helped to revolutionize access to Archives, but states that some Archives will not accept them and also sundry items which form Archival Museums. In developing countries, because of limited resources, a National Archives is almost obliged to accept private papers and sundry items lest they perish forever.

I have noticed that some Archives which possess both the originals and the microfilm will only produce the latter to researchers. I am not entirely in agreement with this unless the documents are very fragile and are in constant demand. To produce microfilm only robs the researcher of the almost mystical experience of handling an original. I agree with Dr. Borsa that it is the archivist's duty to preserve motion pictures and sound recordings. For developing countries, however, this may merely mean preservation since in order to make them accessible, special equipment, which is often expensive, is required.

One of the reasons for the increase in the clientele is the taking over of the records after shorter periods. This is good and should be encouraged if the institution has the staff and space to deal with the newer records. Dr. Borsa points out that in socialist countries branches of industry and other economic concerns transfer records to the State Archives as a matter of course.

In non-socialist countries, it is sometimes difficult to obtain such records as it is not possible to legislate to make such transfers obligatory.

I agree that the increase in international communication, the support of researchers and the expansion of finding aids is a very good thing for the Archives. In developing countries, financial difficulties often prevent archivists from attending the Conferences they should and they cannot hope to support researchers.

I agree that Archives can be effectively used as teaching aids, as in France and other countries, even in smaller institutions with little financial outlay. Students should be encouraged to visit the Archives – they do it in the Bahamas. Exhibitions have proved an asset to many archival institutions, though some argue that they consume too much valuable time which should be dedicated to principle duties of the Archives. However, I think any institution which has sponsored exhibitions finds that it is one of the most effective means of communicating information to the general public and also advertising the Archives. The Bahamian Archives has sponsored four exhibitions and every year there is an increase of visitors and also an increase in researchers.

Dr. Borsa's comments about helping researchers are quite valid ones. Some still hold the view that researchers are a pest but we archivists must remember that although our *raison d'être* is preservation, our secondary one is making the records accessible.

I agree with Dr. Borsa's sentiments on the increased emphasis on the natural and applied sciences and on the new research methods; also that archivists must keep up to date. This is

1. Government Archivist, Nassau.

why Seminars and Conferences of this sort are so useful and important. But can we as archivists ever hope to keep up and prepare for the future adequately? Are Governments prepared to invest training archivists in all the modern technological progress?

I agree with Dr. Borsa that there is an insufficiency of finding aids and with his suggestion for a Central Finding Aids Centre. There are also less qualified researchers. His suggestion that researchers receive training by archivists in methods of research is a good one. Archivists should not undertake extensive research for interested researchers, but what is one to do when a foreigner writes in for information that requires only a few hours search?

2. Dr. Prasad's report.

Dr. Prasad describes the changes in the situation regarding access to and use of archives throughout the world since 1966, based on information supplied by a large number of countries circularized by questionnaire. He traces the background to more liberalized access, states the problems of the open period, and then describes in some detail the progress and problems involving increased access.

Dr. Prasad states that most countries permit access to records only to "bonafide scholars" and not to the casual and curious visitor. I think that every citizen of the country has the right to examine the open records, once he/she agrees to obey the rules and regulations of the Archival Institution. The problems of whether foreigners should need a special clearance is more difficult. A letter of recommendation and an interview with the Archivist, which we employ in the Bahamas, should suffice in most cases. However perhaps International Reader Cards could be granted by the ICA.

Dr. Prasad says that it is surprising that archival institutions undertake searches among records on behalf of scholars without asking for any payment. It is difficult sometimes to know what to charge. Do we have a set fee, or do we charge by the hour?

Dr. Prasad points out that there is no agreement on filming a whole series or groups of archives on request of another institution. I believe that there should be no question about the filming of records in former colonial territories, such as the Bahamas, by the Mother Country. After all, whose records are they? The records really belong to both countries as the history reflected in them affects both. In newly independent countries there is often a dearth of ancient official records, the originals having been transferred to the Mother Country and the duplicates have usually perished or been partially preserved. I am happy to say that the Bahamas is endeavouring to have microfilmed at the Public Record Office in England all the early records in the official series. However this is being done at great expense to the Bahamas.

I agree that it would be an excellent idea to open Archives Research Rooms after regular working hours. Unfortunately financial and staff resources often do not allow this.

Dr. Prasad questions the validity of oral history and mentions the problems of collecting oral history. However in spite of these, I think that oral history should still be given some attention, as in some areas, especially rural ones, oral history especially in the realm of folklore may sometimes be the only source that there is. Also we must think of linguists who may need to hear and study the tapes. The Bahamian Archives has started an oral history programme and has made the tapes available to historians and linguists alike.

I agree with Dr. Prasad's conclusion that there has been no "revolution" but "improvement", in the matter of access. However as to his statement that "preservation must take priority over utilization" I think that we should preserve with the view that the records will one day be accessible, otherwise how can we justify the expense in keeping them merely for preservation sake?

3. Dr. Boberach's report.

Dr. Boberach's remarks are based on the results of a survey made through archives administrators in 66 countries. He discusses the present and potential impact upon access of new technologies including microfilm publications, advanced display techniques used in

archival exhibits and in educational projects, and automated finding aids and remote facsimile transmission of document images.

With the world growing closer together, microfilm seems to be the answer to better communication and it is more economical than expensive travel, etc. Experience has proved that it is technically, legally and financially possible. If resources permit, I think that it is a good idea for archivists to produce a utility copy of all films made for lending purposes once confidentiality and copyright problems can be solved.

I do not entirely agree with the statement that the public will be bored by exhibits which do not employ the same presentation methods used by mass media and by the advertising industry. However I agree with the suggestions made to enhance exhibitions and educational instructions in the way of boards, photographic enlargements, tapes music, slides etc. In fact, the Bahamian Archives with the help of the Audio-Visual Section of the Ministry of Education and Culture has produced a slide presentation and commentary "Functions of the Archives" which is used to supplement speeches to various societies and clubs and will benefit the schools. Also in exhibitions we have used boards, photographic enlargements and spotlights and our budget for each exhibition does not exceed \$ 500.

I agree with Dr. Boberach that there is a need to get information faster and more precisely. I agree that for Archives with tremendously large holdings automatic data processing seems to be the answer. However it is difficult for developing countries to afford these methods. Besides expense, there is the staff problem. As Dr. Boberach points out the archivist must still do much of the work. He/she must go through the records and determine evaluation criteria. Perhaps in smaller archival repositories manpower and equipment can be shared with other sympathetic institutions.

INTERVENTIONS

Dr. Wilhelm LENZ¹ (Bundesrepublik Deutschland): *Internationale Benutzerkarte und Benutzerhilfsmittel.*

Im Anschluß an den interessanten Bericht von Dr. Prasad möchte ich ganz knapp auf zwei Punkte eingehen.

Der Berichterstatter schreibt zur Frage der internationalen Benutzerkarte, daß diese heute genau so utopisch sei wie vor 10 Jahren. Ich würde die Möglichkeit der Verwirklichung dieser Idee nicht so pessimistisch beurteilen. Voraussetzung wäre allerdings, daß ein derartiges Projekt wirklich gründlich vorbereitet wird. Es scheint evident, daß nicht alle Mitgliedsländer von vornherein an einem solchen Abkommen teilnehmen würden, doch könnte man bereits mit einer Handvoll Länder beginnen. Ich möchte dafür plädieren, daß der Kongreß eine entsprechende Empfehlung annimmt.

Mein zweiter Punkt betrifft die Benutzerhilfsmittel. Es ist schon seit langem ein besonderes Anliegen des Internationalen Archivrates, hier durch die Bereitstellung von neuen Katalogen und anderen Hilfsmitteln die Benutzbarkeit der Archive zu erleichtern. Ich darf in diesem Zusammenhang auf die Quellenführer zur Geschichte Lateinamerikas, Afrikas und Asiens hinweisen. Darüberhinaus ist der Internationale Archivrat zur Zeit gerade bemüht, ein neues Projekt in diesem Sinne zu verwirklichen. Es handelt sich um die internationale Microfichserie archivischer Findbehalte. 15 Länder haben bereits ihre Mitarbeit an diesem Unternehmen zugesagt. Es wäre sehr wünschenswert, wenn noch weitere folgen würden.

1. Beigeordneter Sachverständiger, ICA Secretariat, Paris.

Dr. Patricia KENNEDY GRIMSTED¹ (USA): *Towards a general reference system covering archival materials of the Soviet Union.*

I would like to add my encouragement to those seeking to expand the availability of archival finding aids and especially to Dr. Borsa's important suggestion for a general information system for finding aids.

Whatever the form new finding aids may take, the most important point is for researchers to have full access to all existing ones, and to know exactly which ones are available where. The new project started by the ICA Publications Committee to make out-of-print finding aids available on microfiche is to my mind a tremendously important step. It is to be hoped that the project could extend to descriptions of archival materials in local repositories and the manuscript divisions of libraries, museums, and other institutions. Even more significantly, it would be of extreme value to extend the project to hitherto unpublished inventories, catalogues, and other related finding aids. Yet in my view the reproduction and widescale distribution of such finding aids cannot proceed effectively without more general international bibliographical planning and coordination. A master international catalogue and information system could help specialists decide priorities for reproduction and help researchers know about available reference materials.

I have myself been preparing a reference system covering archival materials in the Soviet Union, and related materials abroad. With the cooperation of my Soviet colleagues, I have tried to set up a framework that now includes the widescale reproduction of finding aids on microfiche, correlated with bibliographical listings in an institutional directory. I sincerely hope that there will be an opportunity in the future to coordinate efforts with similar types of work covering other countries. But most important I see the need for a study to develop more systematic bibliographical plans on an international level. I would strongly urge the International Council on Archives to attempt to sponsor more efforts in this field.

Prof. S. L. TIVINSKI² (USSR): *International cooperation of the USSR and other countries in archive publications and exhibitions*

In the Soviet Union several collections of documents devoted to the development of the relations of the USSR with foreign countries are being published. These publications are made by the General Archives Administration, by the Academy of Sciences, which draw on the documentary sources of many archival establishments, and also by other Departmental Archives, for instance the archives of the Ministry of Foreign Affairs. We have published 20 volumes of documentation on the foreign relations of the USSR and 9 volumes of documentation on the foreign relations of Russia before the October Revolution.

We issue also thematic publications, for example, "The First Serbian Revolt, 1804–1813", which has been prepared in co-operation with the scientific institutions of Yugoslavia. Another such collection, "Russia and the Bulgarian National Liberation Movement, 1856–1876", is being prepared with the archivists of Bulgaria.

We have published a collection of documents on Soviet-French relations, and are working together with our French, American and Swedish colleagues on the preparation for publication of joint collections of documents devoted to various periods in the relations between our countries.

The publication of joint collections of documents brought to light in the archives of two or more countries makes possible a comprehensive and objective elucidation of historical events, which has great significance for science. In addition, an objective publication of this kind is a weighty contribution to the strengthening of ties between the countries, since it possesses exceptional strength as a means of persuasion and evidence.

Another means of cooperation in the interest of international understanding is the or-

ganization of joint exhibitions of documents with a number of states (Austria, England, the Scandinavian countries, et al.). In particular, the organization, in 1974 in Paris and in 1975 in Moscow, of a joint Soviet-French exhibition of documents and works of art devoted to the 50th anniversary of the establishment of diplomatic relations between the USSR and France, has shown that acquaintance with historical documents enriches the spiritual life of people and enables them to know each other better and closer in peaceful coexistence.

M. l'abbé Charles MOLETTE¹ (France): *Quelques considérations sur les notions d'archives publiques et privées.*

A propos de l'exposé de M. Prasad, qui a eu le mérite de prendre en considération l'importance des archives semi-publiques et privées, il serait possible de suggérer les deux remarques suivantes:

1° Il semble utile de distinguer entre, d'une part le titre juridique de propriété du document, et d'autre part l'intérêt historique de l'information que contient ce document. Afin donc que la propriété n'entraîne pas un *jus utendi et abutendi* sans réserve, il pourrait y avoir lieu de songer aux moyens requis pour étendre, même juridiquement, les exigences de conservation en vue de l'histoire, au-delà même du titre de propriété.

2° Pour ce qui concerne les archives semi-publiques ou privées, il y a lieu de souligner qu'il peut y avoir des pièces de nature différente (et donc différents degrés de communicabilité):

a) des pièces ou dossiers de fonction qui relèvent dans leur intégralité de la tâche accomplie dans un service public (certains dossiers emportés dans leur retraite par des hommes politiques);

b) des pièces ou dossiers de fonction qui relèvent de la tâche accomplie dans une administration semi-publique ou privée (certains dossiers emportés dans leur retraite par des syndicalistes);

c) des pièces ou dossiers qui proviennent de l'activité personnelle d'un homme qui a une responsabilité publique ou sociale (certains dossiers d'étude portent la marque du travail de leur auteur, mais éclairent une décision prise parce qu'ils contiennent la documentation rassemblée en vue de l'étude en question);

d) des pièces qui relèvent de la vie privée mais qui sont susceptibles de révéler l'inspiration d'une action de caractère public ou social (certains passages de lettres d'un homme public à sa femme);

e) des documents relatifs exclusivement au domaine privé (projets de mariage avortés); etc.

De par leur nature, ces différents documents pourraient n'avoir pas le même degré de communicabilité. Et le fait de prendre en considération ces situations différentes pourrait sans doute amener à faire les distinctions susceptibles d'ouvrir aux chercheurs des documents qui leur sont, faute de dispositions convenables, unilatéralement fermés au détriment de l'histoire.

Dra. Marisa VANNINI DE GERULOWICZ² (Venezuela): *Auxiliares descriptivos para la investigación histórica latinoamericana.*

West Indies, Latin America, South America, Spanish America, Atlantic Ocean, Pacific Ocean, Caribbean Area, Caribbean Islands; estas son las entradas bajo las cuales, en varios idiomas y frecuentemente en los índices, inventarios y catálogos de Norteamérica y Europa, se engloban todos los países latinoamericanos. Pero se olvida que cada uno de ellos tiene hoy una autonomía y fisonomía particular, y se dificulta así la labor del investigador, que busca en el índice o catálogo la voz de su país (Venezuela, Colombia, Ecuador, etc.) y allí no encuentra casi nada, o solo documentos recientes que también se hallan en su tierra.

1. Research Associate, Russian Research Center, Ukrainian Research Institute, Harvard University, Cambridge, Mass.

2. Ministry of Foreign Affairs, Moscow.

1. Président de l'Association des archivistes de l'Eglise de France, Paris.

2. Profesora, Universidad Central de Venezuela, Escuela de Bibliotecología y Archivos, Caracas.

La mayoría de las veces, tampoco están presentes las referencias cruzadas. Podría decirse que este es un problema de comunicación o de documentación. Pero es también un problema de archivos. Como latinoamericanos, recomendamos a los archiveros tomar en cuenta en lo posible, en la elaboración de guías e índices, las particularidades de nuestros países; pedimos mayor diferenciación y atención para ciertas zonas de gran interés histórico, geográfico, etnológico, económico; que se provean los auxiliares descriptivos para facilitar la labor del historiador, tomando en cuenta, además, que el investigador latinoamericano, frente a los archivos norteamericanos y europeos, tiene que superar también el obstáculo de la lengua. Y considerando, como apunta el Dr. Tanodi en su conferencia «Programas de asistencia archivística», que «los continentes de América, Asia y África fueron totalmente o en gran parte colonizados por naciones europeas»; que para aclarar nuestra evolución histórica no solo es necesario indagar sus raíces más hondas, las indígenas, sino también sus raíces más extendidas, las que surgen o desembocan o en alguna forma se entrelazan con las culturas de otros países; considerando que para reconstruir nuestras fuentes históricas debemos recurrir a los depositarios de varios países europeos y norteamericanos; les recomendamos a todos ellos poner especial interés en la elaboración de índices de personas, lugares y acontecimientos relacionados con América Latina, tomando en cuenta la diversidad de las naciones que la integran y la especificidad de los elementos que han contribuido a formar su idiosincrasia.

Mr. Theodor N. SCHELHAAS¹ (The Netherlands): *Access to archives in the Netherlands.*

About access to the Dutch archives my delegation should like to say something in addition to the presentation of Mr. Prasad. In pursuance of the Dutch law, since 1918 all records of public bodies and private persons or institutions, kept in public archives, are open to everybody, not only to scholars. All persons have the right to consult these records free of charge. The public bodies are obliged to transfer their records older than 50 years to the public archives. The increasing interest of science in records of more recent date has caused the tendency to transfer them at an earlier date, namely 25 years. Many local authorities already have adopted a shorter term.

The necessity to restrict the publicity in order to protect the interests of the authorities and persons still alive will of course only grow when shortening this term.

Regarding records still under the custody of the administration, a legal regulation concerning access does not exist. It depends on the relevant authority which regulation has been made.

In this field we have experienced a quite revolutionary tendency to open the whole administration to the public. In one of the provinces of the Netherlands, for example, the practice can be described as follows:

1. In general official documents are opened to the public;
2. A request is made to other people or authorities involved to cooperate on a voluntary basis.

Reflecting this tendency, a law on this subject is currently being prepared.

Sr. Antonio M. ARAGO CABAÑAS² (España): *Unos ejemplos de repertorios útiles para los estudiosos de paleografía y iconografía.*

En relación con el tema de la realización de programas de microfilmes y de la función informativa de los Archivos, deseo comunicar una idea-proyecto que ha surgido, en nuestro Archivo de la Corona de Aragón, de Barcelona, que es eminentemente histórico-medieval y del Antiguo Régimen.

Se trata de producir unas colecciones de materiales no-textuales que, oportunamente di-

fundidas a través de listas o repertorios, podrían ser de suma utilidad para los estudiosos de la paleografía e iconografía de las épocas media y moderna.

Las series proyectadas son las siguientes:

- 1° Colección de muestras de la escritura de los escribanos y amanuenses identificados.
- 2° Series de letras iniciales o capitales, ornadas o no, que figuran en los documentos.
- 3° Colección de abecedarios manuscritos, que introducen los índices alfabéticos que acompañan a los libros administrativos.
- 4° Las suscripciones originales de los testigos y otorgantes que aparecen en los documentos.

5° El «signum manus» y suscripción de los escribanos y oficiales de la Cancillería.

6° Las pinturas y diseños que ilustran un texto determinado.

7° Los dibujos marginales espontáneos.

Creemos que estas colecciones reprografiadas podrían ser, en el nuestro o en otros Archivos similares, de suma utilidad para el investigador, en orden a:

- a) la datación de los códices no fechados,
- b) la historia del utillaje (instrumentos, vestidos, accesorios, etc.) usado por el hombre,
- c) los estudios paleográficos y diplomáticos,
- d) la historia de las artes menores o decorativas.

Mr. Czeslaw BIERNAT¹ (Poland): *Archives and the administrative reform in Poland.*

We have learned that archival materials are ever more quickly being transferred from offices to archives and are earlier made there accessible to the public.

As far as Poland is concerned, it may be of interest to explain how the Polish Archival Service met a situation created by the recent administrative reform and the abolition of a medium level territorial administration. The reform was carried out by the Cabinet, and owing to a close collaboration with the Cabinet, the State Archives secured a quick transfer of the archival material from the liquidated offices. The whole action had been carefully prepared some time before it actually took place. The liquidated offices classified their archival fonds according to instructions elaborated by the Archival Service, supplied units assigned to be taken over by the archives with descriptions of their contents, prepared lists which would serve as provisional finding aids as well as formal documents concerned with transferring material to the archives, and delivered all the other records to the stores of waste-paper.

The main task of our archives in the future, as it has been in the past, will of course be to make their materials accessible as much as possible to scholars. At the same time they must serve the needs of the Government, especially of their various economic units. This is a collaboration which has greatly increased in the last ten years. These units often make use of documentation deposited in the archives for their actual tasks and problems. In such cases archives are usually commissioned to make inquiry in their archival fonds on a definite problem. The results of such research also serve later for the preparation of thematic detailed catalogues concerned with selective problems. In such a way quests undertaken for some actual practical purposes contribute also to improve finding aids of more lasting value.

M. Gildas BERNARD² (France): *Trois utilisations du microfilm pour la recherche en France.*

En complément de l'exposé de M. Boberach sur l'accès du public aux documents par la voie notamment du microfilm, on peut préciser qu'en France il existe trois sortes de microfilms à l'usage des chercheurs d'archives.

1° *Microfilm de déplacement.* Devant l'afflux des demandes de déplacement de documents d'un dépôt dans un autre dépôt, il a été décidé par M. Favier, directeur général des

1. Assistant Director, Municipal Archives, Haarlem.

2. Vicedirector del Archivo de la Corona de Aragón, Barcelona.

1. Wojewodzkie Archiwum Państwowe, Gdansk.

2. Conservateur en chef des Archives de la Région de Basse-Normandie, Caen.

Archives de France, que les originaux précieux ne seront plus communiqués sinon sur place. Le microfilm, établi aux frais du chercheur, doit être généralisé pour la communication à l'extérieur.

2° *Microfilm de consultation sur place*. Devant le mauvais état de certaines séries (les plus consultées et par suite les plus abîmées sont souvent les plus précieuses), certaines séries des Archives nationales ne sont plus communiquées que sous forme de microfilms. On peut penser que leur nombre ira en augmentant et cette pratique commence à se généraliser dans les Archives départementales.

3° *Microfilm de substitution*. Il s'agit de microfilms exécutés pour conservation au lieu des documents originaux, qui sont alors détruits. Le coût de ce procédé, qui augmente proportionnellement moins vite que celui de la construction, laisse à penser que dans un délai relativement proche il sera plus rentable que la construction de bâtiments neufs. Devant la pléthore de documents à microfilmer est posé le problème du microfilmage sans classement préalable. Toutefois les archivistes français sont dans l'ensemble plutôt opposés à cette pratique (cf. *La Gazette des Archives*, n° 91, 4ème trimestre 1975, p. 215 et suivantes).

Mr. Hugh PAYNE¹ (Guyana): *The archivist as researcher-historian*

In accordance with the archival revolution which is happening throughout the world, we need an equivalent revolution in the role of archivists. Without sacrificing our traditional role as custodians, we must seriously consider the proposal made by S. Carbone and R. Guêze in their *Draft Model Law on Archives* (Unesco, 1972), that the archivist be also a researcher-historian.

This is illustrated, in my opinion, by three points in the reports which we heard this morning.

The first point relates to Dr. Borsa's statement that it is difficult to find persons with sufficient scientific and technical knowledge to deal with modern technology in archives. It seems to me that only the qualification of the archivist as academic researcher can give him sufficient authority on technicians and scientists in his own field.

The second point concerns the fear of developing countries that microfilms of their own archives, when made by developed countries, may be detrimental to the research on the spot, – a fear which Dr. Borsa has alluded to. I feel that only archivists of the researcher-historian level, in a developing country, can have all the necessary knowledge and authority to promote and strengthen research in their country.

The third point is about international co-operation in archives, a cooperation which is possible on an equality basis only if archivists of all countries possess the same degree of knowledge and academic responsibility.

In stressing the need for a new enhanced moral standing and status for archivists, I want to remember that, in all early civilizations, the record keeper was invariably a man of the highest religious, intellectual and moral character, because it was universally felt that he was responsible for the maintenance of the collective memory of society.

Mrs. Veliška FILIPOVA² (Bulgaria): *Facilities of access to archives in Bulgaria*

Documentary materials are inexhaustible sources of historical experience, and they are badly needed for the successful solution of current and prospective problems in scientific, ideological, organizational and state activities. The foundation of the State Archival Fond and the concentration of archival materials provide an extremely good basis for their multilateral utilization. The existing legislation in the People's Republic of Bulgaria permits easy access to all documents kept in the public archives. They are available to all establishments, organizations and citizens of this country as well as to foreigners.

1. Archivist of Guyana, Georgetown.

2. Deputy Director, Central Department of Archives to the Council of Ministers, Sofia.

Of no less importance is the exchange of documentary microfilms. For the time being, this exchange takes place on a reciprocal basis only. Presently, in Bulgaria, entire archival fonds are being microfilmed in order to establish an "insurance" fond. The archives can offer microfilmed documents on specific subjects for the needs of research institutes, museums, schools etc. For the most rational utilization of our documentary wealth, conditions already exist to mechanize the nominal catalogue by means of mechanized searching systems, and, depending on the results obtained, the mechanization of the "social-political life" section of the systematic catalogue is being envisaged. This will create the possibility to include archival information in the unified system of social information.

One of the easiest forms for making archival documents more popular is the organization of exhibitions. We should not neglect this side of the work of the archives, which provides proper documents in the process of education. Archives help most actively in propaganda lecturing; they provide the necessary documentary materials. Often the archives themselves take the initiative and give lectures on different occasions. Press conferences with journalists, and discourses with research workers, teachers, propagandists and others are being held, and information is given about existing documents that can be useful in their work. The above-mentioned forms of information contribute to the widening of access to documentary materials and their efficient utilization. In conclusion, we may say that modern technical equipment and methods will facilitate and speed up the usage of archival materials.

Dr. Alfred WAGNER¹ (Bundesrepublik Deutschland): *A proposal for an international harmonization of access rules*

Taking up a specific archival access problem to which Dr. Boberach and other speakers have already alluded during this session and which I – in my capacity as former Programme Specialist in Archives at Unesco – consider as important, I propose that this Congress, considering that the international harmonization of archival access practices is essential in order to promote the liberalization of access to archives throughout the world, adopt a recommendation that national archives administrations harmonize their access practices with those of other countries, so that a user who, in the archives of one country, has unrestricted access to documents relating to his research topic, obtains equally free access to relevant complementary material which is in the archives of other countries.

M. Michel HAYEZ² (France): *Quelques aspects de l'informatique dans les archives françaises*

Tout élément de progrès ou de «révolution» comporte un double aspect négatif et positif. Selon M. Kromnow, le traitement automatique de l'information vient ajouter, aux documents contemporains surabondants, un type d'archives lisibles par machine, fragiles et d'un intérêt souvent limité qu'il faudrait essayer de fixer en microfilm.

A cet égard, les Archives de France ont l'intention de recommander aux principales institutions productrices d'archives informatiques qui détruisent habituellement leur mémoire magnétique par des mises à jour constantes, le versement de «listings» périodiques reflétant certains moments antérieurs et certaines étapes de l'évolution; il s'agit là de création de documents à des fins d'archivage.

L'informatique serait aussi le moyen de moderniser les instruments de recherche, y compris les guides de dépôts maintenant classiques que M. Boberach voudrait voir remplacés par des états mécanographiques, et surtout le moyen de diminuer le nombre des fichiers, comme le souhaite M. Borsa, de les rendre aussi plus exhaustifs par une analyse pluridisciplinaire. Les index de personnes et de lieux viennent immédiatement à l'esprit, et M. Boberach cite de façon très pertinente les applications des Archives de France à partir des

1. Ltrd. Archivdirektor, Bundesarchiv, Koblenz. Formerly Programme Specialist in Archives, Unesco.

2. Directeur des services d'archives du département de Vaucluse, Avignon.

commandes d'oeuvres d'art, des minutes notariales, des dossiers de la Légion d'honneur, ou encore le fichier prosopographique du Parlement de Paris au XIV^e siècle. Comme projet de banque de données, j'essaie aux Archives de Vaucluse à Avignon de mettre en place, à l'instigation de l'Ecole française de Rome et avec le concours espéré du Centre national de la Recherche scientifique, un centre de recherches sur la papauté d'Avignon au XIV^e siècle, basé au début sur l'indexation des lettres communes des papes. L'utilisation à temps partiel d'un terminal à la disposition de la Préfecture de Vaucluse est envisagée pour réduire le coût du traitement. Nous ressentons le besoin de coopération pour identifier les milliers de paroisses de la chrétienté citées dans les lettres pontificales et appelons de tous nos voeux cet échange international d'informations évoqué par M. Boberach.

Mme Hilda COPPEJANS-DESMEDT¹ (Belgique): *Le rôle des archivistes comme auxiliaires des recherches du public.*

Pour les archivistes il ne devrait pas avoir de distinction à faire entre les différentes catégories de chercheurs. Tous ont droit à l'aide de l'archiviste. Cependant celle-ci ne doit pas devenir une *tutelle*. Il faut laisser libre accès aux instruments de recherche et n'intervenir que si le chercheur requiert de l'assistance. Dans ce cas on lui donnera l'aide demandée volontiers, mais sans trop s'incliner s'il y avait exagération de la part du client.

La même attitude devrait être adoptée envers la clientèle par écrit. Si le correspondant demande un renseignement précis, qu'on le lui donne. Mais si ses questions sont, ou trop vagues ou trop générales, il y a lieu de se limiter aux données qui peuvent le guider ou orienter sans faire les recherches soi-même. Il ne doit pas être permis que toute une équipe d'archivistes soit constamment absorbée par le service du public au détriment de ses propres travaux archivistiques. Les tâches primordiales de l'archiviste sont et resteront l'acquisition, la conservation -éventuellement après tri- et l'inventoriage des documents. Le travail archivistique, qui se fait à l'avantage de tous, doit nécessairement primer sur l'intérêt de l'individu.

Quant à l'organisation de cours pour chercheurs, cela n'entre pas dans les attributions des archives. C'est un fait que la connaissance du latin est en régression. Mais il y a un progrès énorme aussi bien dans les sciences exactes que dans les sciences humaines. Si on accepte le principe d'organisation de cours pour chercheurs, il n'y a aucune raison de se limiter à l'étude seule du latin, mais il faudrait y ajouter toute une gamme d'autres, combien utiles aux tendances nouvelles. L'organisation de cours pour chercheurs «scientifiques» reste de la compétence des universités et des autres instituts d'enseignement supérieur. Quant aux amateurs, c'est une initiative qu'on laissera aux associations culturelles, dont ils sont généralement membres. La même chose peut être dite des généalogistes. En Belgique, il existe une association de généalogistes qui compte plusieurs milliers d'affiliés et qui organise pour ceux-ci des cours à leur entière satisfaction, tout en facilitant en même temps considérablement le travail des archivistes.

Dr. Gottfried BÖRNERT² (Deutsche Demokratische Republik): *Zur rationellen Archivbenutzung.*

Erst durch die Nutzung archivischer Dokumente realisiert sich in wesentlichem Maße der Aufwand archivarischer Arbeit. Es ist ein gutes Zeichen dafür, daß die Archive in wachsendem Umfang von vielen Institutionen und Personen in Anspruch genommen werden. Das unterstreicht die Erhöhung ihres gesellschaftlichen Ranges. Für eine rationelle Benutzung der Archive ist jedoch der enge dialektische Zusammenhang zwischen der Qualität der Bewertungs- und Erschließungsprozesse und dem daraus resultierenden sachlich-inhaltlichen Zugang zum Archivgut entsprechend dem Forschungsthema oder dem Benutzungsanliegen zu sehen. Die Benutzung und Erschließung von archivischen Quellen

muß sich deshalb durch Analyse und Planung bei der Hauptarbeitsgebiete der Archive gegenseitig bedingen, wodurch wesentliche Effekte im Arbeitsaufwand erreichbar sind. Dieser Grundsatz wird in der DDR beachtet. Ausgangspunkt für den Zugang zu den Archiven sollte die Zielstellung der Wissenschaften sein, zur Erforschung und Verbreitung der historischen Wahrheit im Interesse der weiteren Völkerverständigung und der Bemühungen, einen aktiven Beitrag zur Erhaltung und Festigung des Friedens zu leisten.

Umfang und Vielfältigkeit zunehmender Anforderungen an die Archive erfordern zweifellos auch den immer besseren Einsatz technischer Mittel, sowohl zur Rationalisierung des Recherche- und Benutzungsprozesses als auch zur Erhaltung der Originale. Die Archive sollten zudem nicht nur passiv der Nutzung gegenüberstehen, sondern aktiv auf die Auswertung ihrer wertvollen Bestände Einfluß nehmen, zum Beispiel durch eine gezielte Öffentlichkeitsarbeit und die Herausgabe thematischer Informationen über Einzelquellen und Quellenkollektive. Unerwartete Archivbenutzungen könnten dadurch verringert werden, indem die Archive mit ihren vermutlichen Hauptnutzern vorausschauend zusammenarbeiten sowie zu erwartende Benutzungen aus den allgemeinen wissenschaftlichen und gesellschaftlichen Anforderungen ableiten sowie vorbereiten. Auf diesem Gebiete konnten bereits nützliche Erfahrungen in der Deutschen Demokratischen Republik gesammelt werden.

Mlle Marie-Antoinette MENIER¹ (France): *Nécessité d'une étude internationale sur le développement des recherches généalogiques.*

La multiplication du nombre des chercheurs, l'universalisation de la recherche ont conduit la Direction des Archives de France à une politique de publications rénovée et consolidée. A côté des inventaires de fonds ou de séries selon la formule classique, de nombreuses publications importantes ont été effectuées ou sont en préparation. *Sur le plan international*, collaboration des Archives de France à des guides de caractère général: Guides des sources de l'histoire des nations dans les archives européennes, patronnés par le CIA et l'UNESCO; coopération avec les Directions d'archives d'autres Etats: Guide des sources de l'histoire des U.S.A. et du Canada dans les Archives françaises. *Dans le cadre des Archives nationales*, collections de guides sur des fonds ou thèmes précis: fonds de la Cour des Comptes, recherches d'histoire de la musique, recherches d'histoire de l'architecture, recherches généalogiques etc.; préparation d'un *Etat général des fonds* en plusieurs volumes et d'un *Etat des inventaires*. *Dans les archives départementales*, achèvement de la série des guides départementaux, dont un tiers environ est paru, et préparation d'un *Etat général des inventaires*.

La multiplication des chercheurs préoccupés de généalogie, signalée par M. Borsa, semble être universelle. Sans doute y aurait-il lieu, pour le CIA, de lancer une enquête comparative sur la courbe des recherches purement historiques et des recherches généalogiques dans les 25 dernières années.

Si l'ascension du chiffre des généalogistes pose des problèmes matériels (usure des registres, manque de personnel), une chute dans le chiffre de la recherche historique présenterait, intellectuellement, une gravité extrême et mériterait d'être signalée à l'échelon gouvernemental le plus élevé afin qu'en soient tirées les conséquences du point de vue de la place de la recherche historique dans le patrimoine culturel de chaque Etat.

Sr. Federico UDINA MARTORELL² (España): *El progreso de los archivos españoles desde 1939.*

Durante los decenios posteriores a la Guerra civil española, el aumento de la documentación en la administración y sobre todo en los archivos ha superado, con mucho, las pérdidas sufridas durante la misma – pérdidas que fueron muchas en la zona republicana, debido

1. Chef de Département aux Archives générales du Royaume, Bruxelles.

2. Direktor, Staatsarchiv Weimar

1. Conservateur en chef de la Section Outre-Mer, Archives nationales, Paris.

2. Comisario Nacional de Archivos, Madrid.

a la revolución que se cebó en centenares de archivos, a diferencia de la zona dominada por el General Franco en que esas pérdidas fueron sólo ocasionales y como consecuencia de la guerra, únicamente -. Aparte de los resultados de aumento de la burocracia en un país de organización corporativa (documentación producida por los Ministerios y la organización central), se debe tener en cuenta la abundancia de documentación laboral, sindical, etc.

En cuanto a los archivos eclesiásticos, éstos han recibido ayudas importantes por parte del Estado, lo que ha facilitado su accesibilidad y a ello ha coadyuvado asimismo a la constitución, con posterioridad al Concilio Vaticano II, de la Asociación de Archiveros Eclesiásticos; los archivos se han instalado mucho mejor y se han abierto al público sin limitaciones, aun cuando existe todavía alguna excepción.

No es necesario subrayar que la accesibilidad en los Archivos del Estado ha sido fácil y, desde 1940, total.

El alza enorme del nivel de vida que en estos últimos decenios ha experimentado España y el aumento también grande de estudiantes universitarios ha dado lugar a un crecimiento muy notorio en el número de investigadores, especialmente de graduados universitarios, que acuden a los archivos para redactar sus tesis de licenciatura, así como las doctorales.

En cuanto a las horas de apertura de los archivos españoles, así como a las horas en que estos centros están abiertos al público durante el día, en general son muchas las horas en que los servicios de archivos atienden a los investigadores, alcanzando entre siete y diez horas diarias, a veces en jornada continuada. Los archivos españoles del Estado no se cierran por vacaciones, y sólo lo están los días festivos religiosos y nacionales.

CONCLUSION

by Dr. Dagfin MANNSÄKER¹ (Norway)

There will not be time to give any extended summary of the discussion this morning. However, I have noticed that the subjects discussed can be listed under three main headings:

1. The archivist and the needs of the users, and in connection with this, the duties of the archivist and the priority problems he has to face.
2. The problem of access to archives in general, and the special problem of access to private archives.
3. Publications on microfilm, wholesale microfilming of archives holdings, and microreproduction of single documents on request.

By far the greatest number of speeches and interventions were delivered on subjects to be listed under point 1. This seems to show that there is a special interest in those problems.

As for the proposals for recommendations and resolutions that have been put forth during the discussion, these will be handed over to the Resolutions Committee.

1. Director, National Archives, Oslo.

FOURTH PLENARY SESSION QUATRIÈME SÉANCE PLÉNIÈRE DE TRAVAIL

Friday 1st October/vendredi 1er octobre, 10h-13h.

THE GEO-ARCHIVAL REVOLUTION LA RÉVOLUTION GÉO-ARCHIVISTIQUE

Chairman/Président

Datuk Alwi JANTAN, Secretary General, Ministry of Local Government and Federal Territory, Kuala Lumpur (Malaysia).

Reporters/Rapporteurs

Mr. S.O. SOWOOLU, Director, National Archives, Ibadan (Nigeria).
M. Guy CANGAH, Directeur des Archives nationales, Abidjan (Côte d'Ivoire).
Dr. Aurelio TANODI, Director de la Escuela de Archiveros, Universidad de Córdoba (Argentina).

Conclusion

M. Bruno DELMAS (France).

WORLDWIDE ARCHIVAL EXPANSION AND EVOLUTION

Report by Mr. S.O. Sowoolu¹

This paper is concerned with the post-World War II proliferation of archival institutions and services, as well as associated professional and technical training facilities, throughout the world; and its causes, dimensions, current status and future prospects. It also examines the legislative foundations of this proliferation with particular emphasis on the inter-relationships between such legislation and prevailing national political doctrines, administrative structures, and socio-economic systems as well as external legislative models in archivally advanced countries.

I would begin by apologising for the unevenness that will be exposed in this paper at all stages of its development. I have had, because of language difficulties, to rely heavily on bibliographical material in the English language and it was astonishing how very little current information there is in English on the establishment and development of archival institutions. I had therefore to try to complete this, for most countries, very sketchy material with information which I had hoped to elicit from a questionnaire directed to certain archival establishments, but unfortunately, only a few replies had been received up to the time of writing this paper. The result of this comes out clearly in this paper: I have been able to write expansively on a few archival institutions while on several others I have hardly any other information beyond the bare fact of their establishment after 1945.

Archival institutions, in the period before 1945, were restricted very largely to the advanced countries of the world in Europe, North America and Australasia. Wherever they existed in other continents, their existence was in large measure due to the importation by the metropolitan powers of the archives idea into their colonies, and so archival institutions were established in the Caribbean, Indonesia, Indo-China, the Philippines, India, Ceylon, the former French colonies of Africa, Rhodesia, South Africa.

In Europe and North America, it was widely acknowledged, much before 1945, that an archival institution must adopt certain archival management techniques and practices, in the accessioning and selection, arrangement, description, preservation and use of the archives, among others, if its work was to have lasting results. American archivists who had been exercised by the need to train the American archivist for his profession had the good luck to have Professor Posner, formerly of the famous Prussian Institute for Archival Science and Historical Training, to tell them of the famous archive schools of Europe, and the establishment of the French National Archives in 1790 had pointed the way for the establishment of a Government archives to be based on the authority or sanction of an Act of Parliament or a Royal Decree.

We now begin our enquiry with the consideration of countries in which archival institutions have been established for the first time only after 1945. We will consider the matter continent by continent and the proper beginning point is Africa, which records the largest number of such countries.

1. Slightly abridged and up-to-dated version of the report distributed to members before the Congress.

AFRICA

*Date of establishment*¹. The dates for the establishment of new archival institutions in Africa are as follows: 1946: Ghana.- 1947: Malawi, Zambia, Zaire.- 1949: Sudan.- 1950-51: Sierra Leone.- 1952: Cameroun.- 1954: Nigeria, Zanzibar.- 1956: Uganda.- 1958: Lesotho, Malagasy.- 1962: Tanzania.- 1963: Kenya.- 1965: Gambia.- 1967: Botswana.- 1969: Central African Republic and Gabon.- 1970: Swaziland.- 1971: Algeria, Congo-Brazzaville. The establishment of archival institutions is understood to be under way in Tchad (*Unesco Bulletin for Libraries*, May-June 1975, p. 138), Liberia, Rwanda and Burundi (letter to the author from Mr. Charles Keckskeméti, Executive Secretary of the International Council on Archives, 21 October, 1975).

In Dahomey, Egypt, Guinea, Ivory Coast, Mali, Mauritania, Morocco, Togo, Upper Volta, national archival institutions, though established before 1945, became operative only because of some re-organisation after this date.

Causation. Where the National Archives was established before Independence, it was likely that the decision to create it was spontaneously taken by the colonial administration (e.g. Sierra Leone, Uganda, Zambia and Malawi), although in some cases (Nigeria and Tanzania) pressure from an individual or a professional group helped it to reach its decision. Where the National Archives was established after Independence the creation had almost always been the result of the spontaneous exercise of its sovereignty by the newly independent country (Gambia, Kenya, Swaziland) although in the case of Gambia this was cased by an Independence Gift of £ 10,000 received from Nigeria.

In some cases, expert survey was conducted on the records before the establishment of the National Archives (Algeria, Gambia², Sierra Leone, Botswana³ and Uganda) and sometimes after the establishment of the National Archives experts were invited to advise on their reorganisation and further development (Nigeria 1955, Gabon 1972, Cameroun 1973, etc.)

Technical and Reference Services. Functional archive buildings exist in Zambia, Ghana and Nigeria where they have been built for the purpose. The archive building reportedly has steel shelving in Gambia, Zambia, Tanzania, Ghana, Botswana and Nigeria, and is fully air-conditioned in Sierra Leone, Zambia, Malawi, Ghana, Sudan, Algeria and Nigeria. Partial air-conditioning exists in Gambia, which together with Tanzania also has fire-fighting equipment. Nigeria reports a modern fire-detecting/fighting system and a document fumigation system. There are document repair facilities in Zaire, Ghana, Nigeria, Sudan and Lesotho, and mechanical lamination equipment is available in Ghana and Nigeria. Book-binding facilities are available in Zanzibar, Lesotho, Ghana and Nigeria. While Cameroun, Zambia, Tanzania, Kenya, Ghana, Nigeria, Sudan, Botswana and Malagasy have photocopying facilities, microfilming is undertaken only in Cameroun, Zaire, Kenya, Nigeria, Sudan and Malagasy. Search rooms are provided in Zambia, Zaire, Malawi, Tanzania, Ghana, Nigeria, Sudan and Lesotho, and liberal access rules exist in Cameroun, Zambia (twenty years closed period), Tanzania and Nigeria. There are inventories for the use of searchers in Sierra Leone, Cameroun, Zaire, Malawi, Tanzania, Ghana, Nigeria and Sudan, and a departmental library is available in Cameroun, Zambia, Malawi, Tanzania, Kenya, Ghana and Nigeria.

Professional or technical training facilities. Apart from the Unesco/UNDP financed Regional Archival Training Centres in Dakar and Accra, there are no formal archival training facilities in the continent. Zambia has a system of on-the-job training and Nigeria now has a systematic inservice training scheme. Archivists and archive technicians in the continent had hitherto received their professional or technical training overseas in attendance at ar-

chive schools or seminars or on attachment to archival institutions in the advanced countries. Nigeria now offers short-term in-service training facilities to foreign archivists.

Records management and records centres. Records management activities have begun in Ghana, Zambia, Tanzania, Malawi and Nigeria and the first three countries named also run records centres.

Oral history. Only Gambia collects oral history, although Malawi preserves oral history records collected by others.

Publications. Only Nigeria reports publication of finding aids, in mimeograph. Most of the institutions seem to issue annual or periodical reports. Algeria has published a journal since 1973. Kenya publishes the *Ecarbica Journal*.

Legal authority and administrative arrangements in relation to political and socio-economic systems. The laws relating to all these countries do not appear to owe much to their political or socio-economic systems. Gambia, Sierra Leone and Nigeria modelled their legislation on the Ghana pattern, which is already out-of-date and is to be replaced and was itself copied from the former Rhodesian legislation which itself ultimately derived from the defunct Canadian archive law. Cameroun has very good legal provisions and so have Tanzania, Kenya and Zambia. In all these countries, with the exception of Nigeria, the Central Archives exercises supervision and control over all state provincial or local archival establishments. No country has any control over private archives, but most of them would accept all private archives offered to them. The good laws of the English-speaking East African countries are an apparent result of the work of the experts who had organised the establishment of those institutions and have some common features obviously borrowed from the current English legislation. Only Kenya and Tanzania have reservations in the transfer of public records to the National Archives. The National Archives of Zambia, Cameroun and Gabon (where the National Library is a division of the Archives) also serve as deposit libraries, and the Malagasy Archives is in charge of the Documentation and Museum Services. The pattern of Ministries currently in charge of these archival institutions is as follows: Office of the President (Gambia, Cameroun, Uganda and Sudan); Deputy Prime Minister's Office (Swaziland, Central African Republic – together with the Minister of Interior -); Interior or Home Affairs (Ghana, Botswana); National Resources (Kenya); Local Government (Malawi); Education (Sierra Leone); Culture (Zaire and Tanzania); Information (Nigeria). Nigeria, Tanzania, Malawi and Uganda have witnessed over the years several changes of controlling ministries. Status of archival personnel appears generally fair but could be improved in a few cases (e.g. Botswana).

Prospects. From the detailed description of the current status of new African archival institutions their future lines of development are clear. Many require functional archive buildings or extensions to present ones (Malawi, Tanzania, Zambia, Sudan, Congo Brazzaville, Zaire, Kenya, Sierra Leone, Uganda); and everyone requires more professional and technical training facilities. A large number require to install technical archival services of reprography and document restoration or improve existing such services (Uganda, Tanzania, Sierra Leone, Malawi, Kenya, Zaire, Congo Brazzaville, Cameroun) and others require expert advice on a number of professional or technical matters (Zaire, Kenya, Sierra Leone, Uganda). A few need new or improved legislation (Ghana, Nigeria, Gambia, Sierra Leone, Uganda, Congo Brazzaville and Botswana), and all are faced with the problem of how to have their "emigrated" archives returned to them.

ASIA

The information I have on the archival institutions established after 1945 in Asia is sparse and it would be better here to give each country individual treatment.

Bangladesh. The Bangladesh National Archives was established in 1973 as a result of the break-away from Pakistan. It has a library and inventorying of records is in preparation. It preserves both Government and private archives but exercises no control over the latter. It is a separate and distinct organization in the Ministry of Cultural Affairs and Sports. It is in-

1. In many cases, as in Madagascar, Zaire or Algeria for instance, there were already archival institutions before independence. The dates quoted here are those of the establishment of new institutions.

2. Reply to the questionnaire sent by the author to the keeper of Public Records of Gambia.

3. Id., the Government Archivist of Botswana.

cluded in the country's development plan and its projects under the plan include the construction of a functional building and the overseas training of more staff.

Hong Kong. The National Archives of Hong Kong would appear to be a very recent creation (*Southeast Asian Archives*, Vol. 7, July 1974, p. 33-37). Its preoccupation is the difficulty of recruiting suitable candidates as archivists. It has facilities for photocopying, repair and binding, and owns a library.

Indonesia. The Indonesian National Archives was established before 1945 but it underwent great changes after Independence. It is directly responsible to the President.

Iran. The moribund 1930 Archive Law was replaced by the 1970 law establishing the Iranian National Archives Organisation. It has an independent governing council – a welcome development in the management of archival institutions – but without financial autonomy. It has no responsibility for the archives of the War Ministry, but has responsibility for records management and is now engaged in disposing of fifty years accumulation of records. It is attached to the State Organisation for Administration and Employment Affairs.

Iraq. The Iraq National Archives Centre was established by law in 1963 as an independent body under a governing council attached to the Ministry of Culture and Information. The staff of the Archive Centre was to be attached to the Presidency of the University of Baghdad for five years. It received a UNESCO expert on an archival mission in 1970.

Israel. The Israeli National Archives was established after the War, in 1949, mainly because Israel had achieved nationhood in 1948. Its legislation has provisions for exercising control over private archives. It established an archive school in 1960. Israeli National Archives is an advanced archival institution and requires no further consideration here.

Japan. It would appear that inertia was the sole cause of the delay until 1971 in setting up the National Archives of Japan because modern literature on archive management has been available in Japan since the mid-19th century. Drastic administrative reforms and reorganisations after World War II led to a great dispersal of records about which the Science Council of Japan remonstrated with the Government. In 1959 the Council recommended to the Prime Minister the establishment of the archival institution, a recommendation heartily welcomed by the Government. A decision was taken to construct a building for the records and on its completion the new archival service was inaugurated. It is placed in the Prime Minister's Office. Its establishment has encouraged the establishment of several local government archives.

The building of the Japanese National Archives is purpose-built, very modern and well-equipped. The Archives publishes a semi-annual journal, *Kitanomaru-Kokuritsu*.

Laos. The Laotian National Archives was established by law in 1960 and is under the President of the Council of Ministers. It has a general documentation centre and has charge of the National Library.

Lebanon. The Lebanese National Archives was established by law in 1962 and is attached to the Office of the President on the location for the archive pilot project in Arab countries. It is also proposed to establish a National Archives School in the Institute for Information and Documentation of the University of Lebanon. It received two UNESCO archival experts in 1974 to advise on archival developments. Its present legislation is inadequate.

Malaysia. The National Archives was established as Public Records Office in 1957 and became the National Archives in 1963. In 1971 it became also responsible for the National Library. Its present building, although not purpose-built, has necessary facilities for the care, repair, protection and use of records except fire-detecting equipment; a new building is programmed for 1977. Training for sub-professional staff was begun in 1965 in the fields of conservation, microfilming and archival management. In-service training of archivists is also undertaken. Malaysia has records management programmes and has a purpose-built records centre – the first developing country to have it. It also collects oral history. It has published accession lists, microfilm catalogues, records inventories, and publishes *Southeast Asian Archives* for SARBICA. Its archive law was passed only in 1966 and is based on existing archival legislation of archivally advanced countries. It has jurisdiction only over

all Federal Government records but may preserve other archives. It is a department in the Ministry of Local Government and Environment, but had earlier been attached to the Prime Minister's Office, Justice, Technology and Local Government, and Local Government and Housing. It is altogether one of the best managed archival institutions of the Third World, and its only concern is the need to institute permanent professional and technical training facilities in Southeast Asia.

Nepal. Nepal's National Archives was established in 1967. A UNDP sponsored archival expert advised it on its organisation and development in 1974. Already equipment worth \$15,000 has been supplied by UNESCO. The priority needs are for archival training and observation tours.

Pakistan. The National Archives was established in 1951 but began work only in 1962. In 1974 it was separated from the Directorate of Archives and Libraries and became a separate and full-fledged department in the Ministry of Education and Provincial Coordination. It has no jurisdiction over Foreign Affairs and Defence archives nor over archives of provincial governments, which are really federating States. A permanent building is being planned but present buildings have all necessary facilities for the storage, rehabilitation, preservation, reproduction and use of archives. An in-service three-week training course in the preservation and restoration of archives has been organised. The Archives has produced descriptive catalogues of its holdings. Its present preoccupation is the construction of its permanent building. It also needs to have an archive legislation and a record management programme.

Thailand. The National Archives was established in 1952 and is a sub-division of the Department of Fine Arts of the Ministry of Education. It preserves archives dating before 1932 only. Some archival courses may soon become available in the Chulalongkorn University Library School. Its greatest need is for trained archivists whose qualifications will be recognised by the Public Service Commission as at least equal to those of librarians. A new building is under construction in Bangkok. It has a National Diary section which collects information on current activities. There is a need to develop conservation, technical and records management services.

Arab Republic of Yemen. The establishment of the National Archives of Yemen is reported to be under way.

LATIN AMERICA AND THE CARIBBEAN

Archival institutions of this region will also have individual treatment.

Antigua. The archives of Antigua were sent in 1954 to the Colonial Office, which passed them to the Public Record Office, London, for proper preservation (*American Archivist*, Vol. 29, No. 3, July 1966, p. 388). They should now have been returned.

Barbados. The National Archives of Barbados was established in 1964 as a result of public and private pressure on the Government after the publication of the report on the records survey conducted in 1960-61. The institution has fire-detecting, document cleaning and fumigation equipment and repair facilities with manual and mechanical lamination and will soon have photocopying facilities. Access conditions are liberal, and there is a departmental library. Unpublished finding aids are available, but it has also published a *List of Printed Accessions 1964-67*. It is a department in the Ministry of Education. Salaries are under review. The future requirements of the department are establishment or expansion of technical sections, improved office accommodation, a records centre and better service prospects.

El Salvador. The National Archives of El Salvador is the only one established after 1945 in Latin America. It was established by law in 1948 and has an association of archivists and an archive school (*Archivum*, XXI, 1971, p. 77-78).

Guadeloupe and Martinique. The Archives established in 1951 in Guadeloupe has a fire-proof and hurricane proof building, steel shelving and repair workshop and repair workshop and bindery. In Martinique, where the Archives was established in 1949, a mod-

ern and up-to-date building, with air-conditioning, microfilming equipment and fumigation chamber, was opened in 1975.

Puerto Rico. The National Archives of Puerto Rico was established by law in 1955 and was made responsible to the Institute of Puerto Rican Culture in 1956. It places emphasis on records management. It has an Archives Advisory Commission, reference facilities, document preservation workshop and bindery. It also has vacuum fumigation and lamination facilities. It trains its personnel in the in-service training schemes of the National Archives, Washington. There is an association of records administration personnel.

Surinam. Archival programme began in 1957 and is under the Prime Minister and Minister for General Affairs. It has an old wooden building for repository (*American Archivist*, Vol. 19 No 3, July 1966, p. 390-291), but it owns a repair shop and bindery, and advises departments on records management. Some of the archives it should have are in the Netherlands.

Trinidad and Tobago. Archival programme began in 1958 after a record survey report by C.V. Black and T.R. Schellenberg. It is in the Prime Minister's Office.

General. Latin America has archive schools in Colombia (La Salle University, Bogota), El Salvador (1964), Venezuela (Caracas University) and Argentina (University of Cordoba). The last named has now become, with financial assistance from the Organisation of American States, a multi-national archival training centre which publishes the *Boletín Interamericano de Archivos* for the newly established Interamerican Archival Association. In the Caribbean, the newly formed Caribbean Branch of ICA also issues the journal *Caribbean Archives*.

AUSTRALIA AND OCEANIA

Australia. Though the Australian Federal Archives began its activity in 1944, it was then only a division of the Commonwealth National Library. It was separated in 1961 and placed in the Prime Minister's Office. It is now known as the Australian Archives. The establishment of the office has its origins in the efforts to preserve the records of World War II. It has repositories in the capital and five states and employs compactus steel shelving. Reorganisation of the department is being undertaken after Dr. Kaye's report on a National Archives System for Federal Australian Archives and will involve the enactment of a new Archive Law (See *Archives and Manuscripts*, Vol. 5 No 7, May 1974, p. 185-186; and Vol. 5 No 8, August 1974). The archival training situation has improved in Australia. A postgraduate course on archives administration has opened at the School of Librarianship, University of New South Wales, Sydney.

Fiji. The archival institution established in Fiji after much pressure from archives enthusiasts in 1953 serves also the Western Pacific High Commission Government.

Papua-New Guinea. The archive repository was established in 1957 but with emphasis on records management. It was set up as a result of much loss of records during World War II. A new building was constructed in 1972.

EVOLUTION OF ARCHIVAL SYSTEMS IN EUROPE AND NORTH AMERICA

Apart from the creation of new archive services in Africa, Asia, America and Oceania, many advanced countries in Europe and North America have undergone fundamental changes in their archival systems consequent upon the conclusion of World War II, changes which have resulted in the establishment of new archival institutions.

The Eastern European democracies brought all formerly private archives into the public domain under one central authority, although the archives of some sensitive organs of State are excluded from its jurisdiction. These countries are East Germany, Poland, Czechoslovakia, Hungary, Bulgaria, Rumania and Yugoslavia. These central archival authorities are subordinated to either the Ministry of Interior or Education and Culture. The Bulgarian State Archives publishes a "Bulletin". In Yugoslavia, the Federation of Archivists of Yugoslavia, founded in 1953, publishes the quarterly review *Arhivist*, and another quar-

terly *Arhivski Pregled* is issued by the Historical Archives of Serbia. In Poland, an Association of Archivists has been in existence since 1954. Archives schools exist in Hungary, Bulgaria and Czechoslovakia. The East German Archives publishes the *Archivmitteilungen* and runs two archive schools, one of them for middle-level professionals.

The Bundesarchiv in Koblenz, Western Germany, was also established at the end of World War II, partly to take over the responsibilities of the former Reichsarchiv. It has grown into a mighty institution. In Western Germany two archive schools – one in Marburg, and the other in Bavaria – were established after 1945. Europe has maintained its supremacy in the field of the training of the archivist. Spain established two archive schools in Barcelona and Madrid in 1945 and 1964 respectively, and Great Britain established schools in London, Aberystwyth, Bangor and Liverpool Universities between 1946 and 1955, and reorganised the one in the University of London in 1970 to make its teaching more relevant to overseas students. In respect of short courses of archival instruction, the French began the International Technical Course on Archives in 1949.

The Americans and Canadians are strong here too and many universities hold summer archive schools or have "credits" courses on archive administration. Perhaps the latest of these short-course programmes is that now being run by Dr. Welch, formerly of Churchill College, Cambridge, in the Library School of the University of Ottawa.

CONCLUSIONS

As I stated in the introduction to this report, quite a few countries did not provide any data on their archives organisation, so that I am lacking information about them, whether they actually have established National Archives or not: for instance, in Africa: Angola, Ethiopia, Equatorial Guinea, Guinea-Bissau, Mozambique, Somalia; in Asia: Afghanistan, Bhutan, Burma, People's Republic of China, Khmer Republic, Korea (North and South), Kuwait, Jordan, Mongolia, Saudi Arabia, Taiwan, Vietnam; in the Caribbean: Bahamas, Bermuda, Cuba, Curacao, Guyana, Haiti; in Europe: Albania.

With regard to the establishment after 1945 of archives sections of international organisations – it is difficult to speak of them as archival institutions except in the case of UNO Archives – there is little one can add to the survey reports of Christian Gut and Charles Ziegler¹. Most of the existing establishments are little more than records units in the administrative or related division, and the debate on the establishment of a single international archives agency, responsible to UNO, but perhaps decentralised, intensifies². The services rendered by the archives of international organisations have been examined during the discussion on the revolution in access and use of archives.

I have no wish to anticipate my friend, Professor Tanodi, but I cannot really end this survey without some reference to the sterling role played by the ICA and UNESCO in the establishment and the development of some of these institutions. There can be no doubt that without the cooperation and the readiness of these two organisations to send out expert missions to survey, aid and advise, without the fellowship and equipment grants, the establishment of some of those institutions could have been indefinitely delayed and the smooth development of others could have been retarded.

In conclusion I would like to make some quite unoriginal suggestions on the subject-matter of this paper, some of which may merit further attention. I should list out these suggestions as follows:

1. All means must be engaged to facilitate access to information on archival developments in other countries. The barrier of language must be broken down in international archival communication. To achieve this end, all national or state archival institutions should

1. Christian Gut, Les archives des institutions internationales, in *Treizième Conférence de la Table ronde des Archives*; Charles Ziegler, Archival practices survey, in *American Archivist*, Vol. 38 No. 2, April 1975, p. 191-203.

2. *American Archivist*, Vol. 33 No 1, January 1970, p. 25-33.

regularly publish annual or periodical reports on their activities or developments for the widest possible distribution throughout the world; essential but long out-of-print archival literature should be reprinted and translated into the ICA languages for sale to interested archival institutions; a special issue of *Archivum* should be devoted to recording the history of archival developments in all countries; articles of international importance in leading archival journals should be translated and sold to archival institutions willing to subscribe to such a service; and survey missions should be sent out every few years to each archival region to make on the spot assessment of progress. Their reports should be published for the information and action of archival institutions and their Governments.

2. There is a need for a detailed study of administrative structures of national or state archival institutions and this should be instituted urgently with a view to persuading some countries to give their National Archives better chances of performing their tasks effectively by according them higher status in the administrative hierarchy. Such a study should determine, among other things, whether it is always to be expected that attachment to the Office of the President or the Prime Minister is the best thing that can happen to a National Archives or whether other Ministries have been equally useful; whether there should be a governing, financially autonomous Council, or whether the Council should be merely advisory, and if advisory, whom does it advise and on what? Are existing arrangements for the separate management of Defence or Foreign Affairs or Film Archives satisfactory, or is there a settled case for bringing all archives of the same Government or other body under a single management?

3. From about 1965, it has been difficult to talk of some countries borrowing ideas on archival law from others because very many advanced countries have themselves been renewing their own laws since the late fifties. There is now only a common fund of archival legal knowledge. It is therefore time to request all nations with defective or out-of-date archival laws to take the necessary step to modernise them. In particular, it should be stressed that proper arrangements must be made in respect of private archives.

4. World archival professional and technical training facilities are grossly inadequate, and unless these are increased or expanded, and provisions made for specialist and advanced training, the status of the archival profession will not be improved. Existing old-established archive schools must be reorganised as to their courses to make it possible for foreigners to profit from attendance in them. The recent proposals for the establishment of technical training facilities must be expedited especially in the interest of developing nations. Efforts must be made to achieve a state of pre-appointment training in most countries at no very distant date. It is time for a specialist international committee to look into all the problems connected with the education of the archivist and the archival technician.

5. Developing countries may be advised to take measures to help themselves in upgrading their archival services. This could be by trying to persuade their Governments to include archives in all bilateral or multilateral financial or economic agreements and in their development programmes; and by establishing regional associations of archivists (which may become ICA branches) for regional cooperation. Such organisations can spearhead the establishment of more training facilities or document restoration laboratories with financial assistance from associated political or economic groups like OAS, ECOWAS, or OAU.

6. A survey of the archival situation in countries where no National Archives exist would be desirable, as also in countries which offer no information about the present situation of their own archival institutions, with a view to determining what assistance is needed or may be offered.

7. I wish to end by drawing attention to the fact that for a new National Archives to make speedy progress, it should be put under an experienced and very senior public officer or a highly qualified academic who might later become an archivist. Young unexperienced University graduates will take too long to overcome the resistance of senior and much older administrators. The Malaysian National Archives under Dato Alwi Jantan is a case in point.

L'UTILITÉ PARTICULIÈRE DES ARCHIVES DANS LES PAYS EN VOIE DE DÉVELOPPEMENT

Rapport par M. Guy CANGAH¹

1. Peut-on parler d'une «utilité particulière» des Archives dans les pays en voie de développement?

Le sujet choisi pour le congrès du Conseil international des Archives: «l'utilité particulière des Archives dans les pays en voie de développement», n'a pas été sans soulever de nombreux problèmes.

En ce qui concerne le thème, nous nous sommes posé les questions suivantes:
1° pouvons-nous parler d'utilité particulière des Archives dans les pays en voie de développement?

2° la finalité d'un service d'archives n'est-elle pas identique dans les pays en voie de développement et dans les pays développés?

Pour l'élaboration de notre travail, liberté nous a été donnée quant au choix de la méthode: faire un exposé magistral de notre conception du rôle d'un service d'archives dans les pays en voie de développement ou recourir à un questionnaire et en faire la synthèse.

Nous avons préféré la première méthode; cependant nous avons fait appel à nos collègues du Sénégal, de la Haute-Volta et du Niger en leur demandant de bien vouloir nous dire ce qu'ils pensaient du sujet.

Seul le Sénégal nous a répondu; aussi remercions-nous vivement notre collègue M. Saliou Mbaye pour les quelques lignes qu'il a bien voulu nous faire parvenir, nous permettant par la même occasion de ne pas nous limiter à la conception ivoirienne des Archives et de leur rôle dans la bataille pour le développement.

Un des traits caractéristiques des pays en voie de développement est qu'ils sont confrontés à plusieurs problèmes à la fois. En effet, ces pays doivent non seulement rattraper leur retard mais également suivre les progrès de la technologie pour atteindre leurs objectifs.

Cette situation particulière les amène à faire des efforts relativement plus nombreux et plus importants sur le plan économique, social et culturel que les pays avancés.

Pour agir simultanément dans tous ces domaines, les pays en voie de développement ne disposent en l'état actuel des choses que d'un outil: l'Administration. En effet, dans la plupart de ces pays, l'Administration, souvent encore embryonnaire, est la seule institution vraiment organisée. C'est la raison pour laquelle elle est chargée de la programmation du développement économique, social et culturel.

Or, la base du travail administratif est la gestion des dossiers. Celle-ci doit être efficace et cohérente. Il convient en effet d'éviter les pertes de temps, d'argent et de ressources en personnel, mais aussi de tout mettre en oeuvre pour que les choix pris par les responsables soient les meilleurs possibles. Et ceci n'est réalisable que si lesdits responsables ont une connaissance complète des situations en cause. A ce titre, les Archives constituent dans les pays en voie de développement une source inépuisable d'informations à laquelle l'Administration peut toujours venir puiser.

1. Texte du rapport distribué aux congressistes avant le congrès.

C'est donc vers les organes de l'information que se tournera l'Administration pour accomplir sa mission. L'absence de systèmes nationaux d'archives et de préarchivage sera un handicap pour l'administrateur alors qu'un système cohérent de gestion des dossiers et d'administration des archives lui permettra de contribuer efficacement au développement économique, social et culturel de son pays. Les Archives sont donc outil administratif et nécessité préalable à la planification du développement national.

Ces constatations ont amené certains pays en voie de développement, comme la Côte d'Ivoire, à se lancer dans «l'informatique documentaire» dont les utilisations concerneront les aspects économiques, scientifiques et culturels du développement.

2. Utilité des Archives pour la planification économique.

Sur le plan économique, ces pays ont hérité des structures de l'économie coloniale. Aux termes de celle-ci, l'agriculture était orientée vers la production des matières destinées à l'exportation, tandis que l'industrie était vouée à la fabrication des produits de consommation les plus courants. Aujourd'hui, il leur faut développer et utiliser au maximum les ressources tant agricoles que minières nécessaires pour obtenir les devises fournies par les exportations, et en outre fonder sur ces ressources des industries de transformation modernes.

L'Administration est concernée au premier chef par ces recherches économiques. Or, la mise en valeur optimum des potentialités matérielles et humaines des pays en voie de développement ne peut être menée à bien que dans la mesure où les ressources de ces pays ont été appréciées à leur juste valeur. Ceci suppose donc que soient menées à bien un grand nombre d'opérations d'évaluation qui ne sont envisageables que si l'on dispose des documents d'archives conservés dans les dépôts de l'Etat.

La planification constitue une bonne illustration de ce rôle que les Archives sont amenées à jouer dans le cadre du développement économique. Planifier, en effet, c'est réfléchir sur les grandes orientations dans les domaines économiques, sociaux et culturels. La planification est donc en soi une prospective. Cependant, pour que celle-ci soit réaliste, il lui faut reposer sur un inventaire aussi complet et exact que possible de la situation du pays. L'élaboration d'un tel inventaire s'effectue grâce à des études sur l'évolution antérieure des progrès accomplis pendant les années écoulées dans les différents secteurs de la vie nationale.

Or, les renseignements qui permettront aux planificateurs de déceler les tendances significatives sont contenues dans les documents d'archives auxquels ils devront sans cesse se référer. La mise au point d'un programme d'industrialisation, par exemple, suppose qu'un examen très complet ait été fait concernant les matières premières, la main d'oeuvre, les moyens de transport, les prix de revient et les débouchés. C'est à la lumière de ces renseignements – statistiques, recherches réalisées par divers services administratifs, etc. – que les planificateurs seront en mesure de faire un choix judicieux parmi les différents projets industriels qui étaient envisageables a priori.

Cet exemple d'analyse sur dossiers particulièrement élaborée par les services administratifs chargés de la planification montre bien quelle importance revêtent les multiples renseignements consignés dans les documents d'archives pour ce qui est du développement économique. Et ceci ne constitue qu'un seul domaine d'utilisation des Archives.

3. Utilité des Archives pour le développement scientifique et culturel.

En effet, très utiles pour définir et guider le développement économique, les Archives ont une utilisation non moins importante dans les domaines scientifiques et culturels.

Les Archives sont en effet en mesure d'apporter une contribution spécifique dans la recherche scientifique nationale des pays en voie de développement. Cette recherche n'a pas commencé avec l'accession de ces Etats à l'indépendance.

En Côte d'Ivoire, par exemple, bien avant la création du ministère de la recherche scientifique l'on pouvait noter l'existence de plusieurs unités de recherches:

- Institut de recherches du coton et des textiles exotiques
- Institut français de recherches fruitières
- Institut français du café et du cacao
- Institut de recherches pour les huiles et les oléagineux, etc.

Ces instituts ont procédé à diverses études dans le domaine agricole que l'on considère à juste titre comme un élément de base dans le développement d'un pays. Dans bien des cas, c'est à partir des études entreprises à l'époque coloniale que les jeunes Etats poursuivront leurs recherches. La conservation des dossiers des expériences passées permet d'éviter de recommencer des essais parfois longs, difficiles et coûteux. D'où gain appréciable de temps et d'argent.

Sur le plan culturel, l'Administration dans les pays en voie de développement a le devoir de donner confiance aux populations en les aidant à découvrir leur identité nationale. Or, les Archives qui renferment les sources indispensables à l'écriture de l'histoire se trouvent être là encore les auxiliaires privilégiés de l'Administration.

Si dans la plupart des Etats européens le problème d'une conscience nationale ne se pose pas, il n'en est pas de même dans la majorité des pays en voie de développement. L'écriture de l'histoire nationale constitue donc pour ces pays l'élément unificateur dans la construction nationale. Elle unit et assemble des éléments apparemment disparates mais nourris en fait aux mêmes sources.

Parce qu'elle permet dans bien des cas d'éviter que les problèmes ethniques ne soient un frein à l'épanouissement de ces pays, les archives qui sont une source inégalable pour l'histoire sérieuse participent au développement. L'étude des budgets, des livres de commerce, des recensements offrent à l'historien de la statistique un champ fécond.

L'histoire quotidienne est éclairée d'un jour nouveau grâce aux archives des notaires et des greffes qui prennent place dans les dépôts des pays en voie de développement.

Parce que les archives permettent l'écriture de l'histoire, elles participent au développement et ont encore ici une utilité particulière.

Il convient à cet effet de faire appel à un passage de l'article de M. Locou, assistant à la faculté des lettres de l'Université d'Abidjan, intitulé *L'histoire africaine au présent*, pour se convaincre si besoin était de l'utilité particulière des archives, source inégalable pour l'histoire, qui elle aussi participe au développement national.

«L'histoire ne saurait être une simple discipline académique, indifférente aux problèmes du développement. D'aucuns pourraient être surpris des rapports entre l'histoire, étude du passé des sociétés, et le développement, entendu souvent comme le seul progrès matériel.»

«On est justement revenu de cette conception étroite et simpliste du développement. Celui-ci est un processus global de transformation de la société, organisé, dirigé et entretenu de l'intérieur. Il suppose donc des agents nationaux conscients de cette nécessité.»

«Or l'information et la réflexion historique sont de puissants facteurs de conscientisation, elles développent le sens et le goût de l'action collective, permettent de comprendre la racine des problèmes du présent, non seulement de manière concrète par les exemples qu'elle révèle. Mais surtout, dans nos pays qui ont souffert de la dépersonnalisation due à la domination coloniale, l'histoire est l'instrument privilégié de désaliénation: désaliénation de la jeunesse, désaliénation des peuples qui peuvent secouer le poids des vieux préjugés et se libérer des complexes longtemps accumulés, grâce à l'éclairage scientifique de leur propre condition.»

«Cette entreprise de désaliénation doit servir à la prise de conscience nationale, à l'accélération de l'unification africaine, au développement de la solidarité avec les autres peuples. La restitution de notre destin collectif doit permettre l'affirmation de notre personnalité, libérer les initiatives créatrices. La diffusion des matériaux historiques et des thèmes qui en découlent doit enrichir l'art, la littérature, la science. Les «retombées» économiques, politiques et culturelles de tous ces apports de l'histoire sont incalculables.»

«L'histoire est donc inséparable du développement»

Les Archives dans les pays en voie de développement vont donc être amenées à jouer le

rôle d'un véritable centre de documentation administrative permettant, outre la collecte des documents, leur exploitation et leur diffusion à l'échelle nationale.

Aussi, nous passerons d'une conception déjà dépassée dans les pays développés, qui amenait les autorités administratives à ne voir dans les Archives qu'une institution tournée vers l'histoire, donc en quelque sorte peu utile au développement, à une conception plus positive car les Archives, grâce à la documentation administrative, joueront désormais un rôle dynamique.

4. Conclusion.

Par la richesse des fonds conservés aux Archives et par l'efficacité renforcée avec l'utilisation de l'informatique, les administrateurs disposeront désormais d'un outil qui leur sera d'une grande utilité. Mais cette option visant à faire jouer aux Archives un rôle plus dynamique dans le développement national ne peut être effective que si les administrateurs à l'intérieur du pays attachent une importance à la conservation des documents, comme le souligne ce passage du discours prononcé par le Ministre d'Etat chargé de l'Intérieur de la République de Côte d'Ivoire lors du séminaire de réflexion sur l'administration territoriale (Yamoussokro, 20 septembre – 20 octobre 1974):

«Une autre activité administrative non moins importante des autorités locales est la constitution et la conservation des archives locales. La lutte contre le sous-développement, souci majeur et légitime du Gouvernement, incite l'administrateur à consacrer tous ses efforts à des réalisations concrètes, à rechercher des résultats tangibles et visibles, à dresser des tableaux de bord et des statistiques mesurant des tensions et des volumes matériels, toutes préoccupations qui, en beaucoup de cas, conduisent cet administrateur à négliger, oublier d'autres activités apparemment moins utiles mais tout aussi nécessaires et importantes dans le développement national. Ainsi en est-il des Archives».

«Loin d'être un secteur dédaignable, les Archives peuvent et doivent jouer un rôle plus dynamique dans le développement si l'on conçoit leur existence comme un trésor de connaissances et d'expériences administratives acquises, une mine d'évaluation et de mise en état d'accessibilité de ces renseignements en vue de leur utilisation comme facteurs potentiels de l'action administrative dans tous les domaines du développement national».

«A cet égard, nul document mieux que les archives ne peut aider à la connaissance et à l'appréciation des possibilités».

«L'administrateur qui y a recours cernera vite et mieux les problèmes qui se présenteront à lui et, ce faisant, il gagnera non seulement du temps mais également de l'argent, deux choses qu'un pays en voie de développement ne peut se permettre de gaspiller».

«Les archives sont donc loin d'être un luxe; elles sont un support utilitaire pour une politique réaliste de développement. C'est pourquoi leur entretien et leur gestion dans un local approprié, avec un agent spécialement affecté à ce travail, doivent retenir l'attention et l'intérêt des autorités locales».

Ce passage du discours du Ministre d'Etat chargé de l'Intérieur de la Côte d'Ivoire, illustre bien le rôle que peut et doit jouer un service d'archives dans un pays en voie de développement. Ainsi conçu, le service d'archives devient un des supports du développement national, d'où son utilité particulière dans les pays en voie de développement.

PROGRAMAS DE ASISTENCIA EN EL CAMPO DE ARCHIVOS

Informe por el Prof. Aurelio TANODI¹

1. Progresivo crecimiento de programas de asistencia

En la primera década, después de la Segunda Guerra Mundial, no se advierte una sistemática y bien planificada asistencia técnica y ayuda económica a los archivos de los países en vías de desarrollo. La asistencia fue, en cuanto se puede hablar de la misma, accidental, limitada a una que otra actividad por parte de uno que otro país desarrollado, especialmente los Estados Unidos de América. Tanto la UNESCO como el CIA no preveían, en sus primeros lustros, una ayuda directa.

Los primeros programas de envergadura empiezan con la Unidad Móvil de Microfilm de la UNESCO (desde 1957) y la Guía de las Fuentes de Historia de las Naciones del CIA (desde 1960). Hacia fines de la década del 50 y principios de la del 60, entre los países que hacían aportes para los archivos se cuentan Bélgica, Holanda, Alemania Occidental y, a fines de la década, Italia, de manera preferente, pero no exclusiva, para sus ex-colonias; algunos otros países europeos y Canadá se les unen con ciertas contribuciones.

Mayor impulso se advierte en la UNESCO y en el Programa de las Naciones Unidas para el Desarrollo (PNUD) desde los años 1962 y 1963, que ha crecido paralelamente con el apoyo que han dado el CIA, desde 1966 y la Organización de los Estados Americanos (OEA) desde 1972. Se puede decir, que el último lustro ha superado grandemente todos los programas anteriores y abierto el camino a una asistencia y ayuda que tienden hacia el verdadero desarrollo de los archivos de todo el mundo.

A continuación, resumiremos los principales programas, tanto de las organizaciones internacionales como de los Gobiernos e instituciones privadas.

2. Acción de las organizaciones internacionales

Consejo Internacional de Archivos. La función transcendental que desempeña el CIA no consiste tanto en la asistencia financiera directa, cuanto a la clara visión de los problemas y necesidades de los repositorios, en los esfuerzos para despertar y fomentar la conciencia archivística, en la programación de actividades y de asistencia, en las iniciativas de proveer fondos para la ayuda económica, etc.

Una actividad sistemática que ha llevado al CIA a dar trato preferencial a los archivos de los países en desarrollo, se ha iniciado en el Congreso Extraordinario Internacional de Archivos en Washington (1966) y ha continuado en el 6° Congreso en Madrid, en la formación de un Grupo de Trabajo que se reunió en Londres (1970) y Verona (1971) y se convocó durante el 7° Congreso en Moscú en el Comité para el Desarrollo de Archivos (CDA). El CDA ha efectuado sus reuniones en París (1973), Darmstadt (1974) y en Dakar (1975) donde se ha creado el Fondo Internacional para el Desarrollo de Archivos.

Considerables aportes para conocer los problemas de tema hicieron los Sres. J. R. Ede y S. N. Prasad, al presentar al 7° Congreso del CIA los trabajos sobre la *Asistencia Técnica para el Desarrollo de Archivos*.

1. Texto abreviado del informe preliminar distribuido a los congresistas antes del congreso.

A pesar de sus magros ingresos, el CIA ha aportado medios para algunas reuniones regionales, asistencias técnicas, profesores visitantes y publicaciones; ha promovido la afiliación de gran número de los países en desarrollo y la creación de las Ramas Regionales, lo que ha dado al CIA el verdadero carácter mundial.

UNESCO y PNUD. La principal asistencia técnica, empezada por la UNESCO en 1963, ha consistido en el envío de expertos, por lo general de uno a dos meses, para la organización o reorganización de archivos nacionales, planificación de sistemas nacionales de archivos, inclusive la fase pre – archivística y la enseñanza. De esta asistencia se han beneficiado los siguientes países: Afganistán, Alto Volta, Argelia, Camerún, Congo, Costa Rica, Chad, Chipre, El Salvador, Gabón, Guinea, Irak, Líbano, Liberia, Libia, Malasia, Malí, Marruecos, México, Perú, Sierra Leone, Singapur, Sri Lanka, Tanzania, Túnez, Turquía, Venezuela; asimismo, la Organización Afro-Malgache. En el presupuesto 1975/76 se aprobó el asesoramiento para Alto Volta, Barbados, Líbano y Mauritania. Significativo aporte bibliográfico constituye la publicación de los informes de los expertos.

Por su parte, el PNUD facilitó el asesoramiento de expertos a Malasia, Nepal y Túnez.

Desde el año 1963, el programa de becas se ha extendido al campo archivístico. Varias decenas de becarios, sobre todo de África y Asia, pudieron especializarse por el lapso de 3 a 12 meses, en los centros de enseñanza archivística, inclusive últimamente en las escuelas y cursos regionales de los países en desarrollo. La primera carrera archivística regional se ha creado en Dakar, Senegal, en 1971, con una considerable ayuda económica del PNUD, para los países africanos de habla francesa, y otra en Accra, Ghana, en 1975, para los países de habla inglesa; la UNESCO facilitó, especialmente, el personal directivo y docente por varios meses hasta años. Se realizan las gestiones de crear centros regionales en Asia y en los Países Árabes.

Otro importante programa consiste en los planes piloto; el primero se ha realizado en Abidjan, Costa de Marfil (1971 – 1974). La ayuda ha consistido en el envío de expertos, dotación de equipos para servicios de reprografía y restauración de documentos y en perfeccionamiento profesional. Actualmente, se efectúa el plan piloto en San José, Costa Rica (desde 1975), con miras a la extensión regional centroamericana.

La UNESCO ha adquirido varios equipos de microfilmación y restauración para Barbados, Guatemala, Jamaica, Malasia, Malawi, Nigeria, República Árabe Unida, Sierra Leone, Sri Lanka, Sudán y Tanzania. En el presupuesto 1975/76 se asigna ayuda a Alto Volta, Barbados, Costa Rica, Cuba, Dahomey, Senegal y Trinidad y Tobago.

Organización de los Estados Americanos. Desde 1972, cuando la OEA ha organizado en Washington la Reunión técnica sobre el desarrollo de archivos, ha incluido entre sus programas culturales la asistencia y ayuda a los archivos de los países latinoamericanos y del Caribe. La principal ayuda se concentra en la capacitación y perfeccionamiento de archiveros y de personal docente de escuelas o cursos nacionales. A tal efecto, se ha creado el Centro Interamericano de Formación de Archiveros en Córdoba, Argentina, para el cual la OEA facilita unas 10 becas anuales de 7 meses de duración y el Centro Taller Regional de Restauración y Microfilmación de Documentos para Centroamérica y el Caribe, en Santo Domingo, República Dominicana. Además, la OEA y el Gobierno de España organizan cursos anuales de 4–5 meses en Madrid otorgando 10–12 becas. La OEA facilita el perfeccionamiento de docentes de los Centros de Córdoba y Santo Domingo.

Una especie de plan piloto se realiza en Lima, Perú, donde ha tenido lugar el Seminario Multinacional sobre Planificación y Reorganización de Archivos Nacionales Latinoamericanos (1973); la OEA otorga equipos para talleres técnicos y estanterías, becas y asesoramiento técnico. El asesoramiento se ha dado a Colombia y Costa Rica, los equipos a estos países, Panamá y dos Centros, y organizado cursillos de adiestramiento en Colombia, Costa Rica y Perú y un curso de 3 meses en Bolivia. Al Centro de Córdoba se presta ayuda para las publicaciones archivísticas, inclusive el Boletín Interamericano de Archivos.

El Instituto Panamericano de Geografía e Historia (IPGH), como dependencia cultural autónoma de la OEA con sede en México, por medio de su Comité de Archivos, ha promovido reuniones archivísticas; recientemente, ha incluido en su presupuesto módicas parti-

das para publicaciones archivísticas, Centros de Documentación Archivística y Guías de archivos.

3. Acción bilateral o multilateral de varios países

Varios países europeos han colaborado con la UNESCO, el PNUD y el CIA y, además, otorgado asistencia y ayuda dentro de programas bilaterales o multilaterales.

Francia. Ha mostrado un interés que puede considerarse ejemplar. En el campo de asistencia por medio de expertos, aparte de los especialistas contratados por los organismos internacionales, se han enviado especialistas a Brasil, Camerún, Madagascar, Isla Mauricio, Nicaragua, Túnez. Por un acuerdo con Senegal, los archiveros franceses se desempeñan en los archivos de Senegal; el Archivo de Senegal ha recibido ayuda en equipos.

Especial atención se ha dado a la formación de archiveros, tanto con el envío de docentes y conferencistas franceses al exterior (Argelia, carrera regional de archiveros de Dakar, Senegal) como la participación de unos 200 archiveros de África, Asia y Oceanía en el «Stage technique international des Archives» de París (desde 1951). En base a convenios bilaterales, los jóvenes archiveros franceses se desempeñan por el término de un año en los países en desarrollo de habla francesa.

Un ejemplo digno de imitación lo constituye la devolución, en 1975, de los fondos de archivos de Argelia anteriores a la conquista francesa en 1830.

Reino Unido. Ya en los tiempos coloniales, Gran Bretaña ha procedido a la organización archivística en varios países descolonizados, v. gr. Ghana, Nigeria, Sudán, Malasia, Jamaica, Mauricio y Fijí.

Los archiveros de un medio centenar de países en desarrollo visitaron los archivos de Inglaterra, especialmente Public Record Office, subvencionados por British Council y la UNESCO, instituciones que otorgan becas desde 1971, para estudios archivísticos en University College de Londres. Con subvenciones del Reino Unido, los archiveros ingleses han trabajado por el lapso de unos meses hasta dos y más años, en los archivos de Saba, Sarawak, Malawi, Zambia, Tanzania, Botswana, Bermudas, Jamaica, Fijí, Kenia, Camerún Occidental. Se dio asesoramiento a Guyana, y un aporte para efectuar un seminario promovido por el Comité para el Desarrollo de Archivos del CIA.

Inglaterra participa en diversos programas de asistencia técnica regional dentro de Commonwealth, v. gr. en preparación de archiveros; en este campo colaboran, también, Nueva Zelanda, Australia e India.

Canadá, por su parte, ha contribuido, junto con el IPGH, a la realización de dos reuniones de archiveros, preferentemente latinoamericanos, en 1968 y 1974.

España. No existen programas de asistencia técnica a los países de tradición hispanoamericana, inclusive las Filipinas. Tal como varios otros países europeos, los archiveros españoles se desempeñaron en calidad de expertos contratados por la UNESCO y el PNUD y, además, por la OEA o por los países interesados. Pocos asesoramientos se efectuaron a través del Gobierno español.

Desde 1973, el Gobierno Español subvenciona, junto con la OEA, los cursos anuales de 4–5 meses en Madrid destinados a archiveros latinoamericanos. El Instituto de Cultura Hispánica ha facilitado a cierto número de archiveros becas para la Escuela de Documentalistas en Madrid y dos cursos de 1961–63 en Sevilla.

Italia. Italia ha contribuido a la capacitación de archiveros de los países árabes y algunos otros de África y América Latina, directamente o dentro de programas del CIA, UNESCO y OEA, y a la creación de la Rama Regional Árabe del CIA. Los archiveros italianos, subvencionados por el Gobierno, prestaron asesoramiento y/o dictaron cursos en Marruecos, Argelia y Egipto, y los arquitectos italianos elaboraron planos de edificios para archivos de Egipto y Senegal. Las visitas de un especialista italiano a Senegal y a las reuniones archivísticas latinoamericanas estrecharon vínculos de estos países con Italia.

Italia, igual que otros países europeos, colabora con el CIA y con la UNESCO en la elaboración y publicación de la Guía de las Fuentes de Historia de las Naciones.

Bélgica. El Gobierno ha facilitado becas de hasta tres meses a varios archiveros de África y Asia. El Ministerio de Relaciones Exteriores ha contribuido a la reorganización del Archivo del Ministerio homónimo de Chile y facilitado equipos y entrenamiento para microfilmación de archivos; en este programa participa la empresa Gevaert – Agfa. Se considera ayuda para crear Centros de Documentación en Microfilm en Túnez, Turquía, Zaire y Uruguay.

Holanda. Ofrece asistencia técnica a las ex-colonias y a las Antillas Holandesas. Varios becarios de Indonesia se capacitaron en Holanda, y otros archiveros de Antillas se perfeccionaron por medio de visitas y estudios. Los archiveros holandeses prestaron asesoramiento a Indonesia y a las Antillas.

Se facilitan microfilmes de documentos de ex-colonias y de Antillas, y se restauran documentos judiciales de Surinam.

Holanda ha tomado una posición ejemplar en la delicada cuestión de restitución de fondos documentales a las ex-colonias, y ya ha devuelto una parte de tal material a Indonesia.

U.R.S.S. En colaboración con el CIA y la UNESCO, se ha organizado en Moscú, en 1974, un Seminario para los archiveros de Asia y África de habla inglesa, para el cual se ha preparado el material bibliográfico. La Dirección General de Archivos prepara subsidios científico-metódicos y bibliográficos.

Alemania Occidental. Presta atención a las ex-colonias alemanas en África. Un archivero alemán dio asesoramiento por dos años a Tanzania, cuyo Archivo Nacional recibió como regalo los equipos de microfilmación y conservación de documentos. Se planifica una ayuda parecida a Togo y Camerún, mientras que a Nepal se dio ayuda en un programa conjunto con la India. Algunos archiveros africanos obtuvieron becas para estudios en Alemania.

Estados Unidos. Considerable asistencia y ayuda se debe a los Estados Unidos de América que contribuyeron mucho al desarrollo de archivos, principalmente por medio del Departamento de Estado, Archivo Nacional (National Archives and Records Service – NARS), Society of American Archivists, American Library Association y las Fundaciones privadas: Rockefeller, Ford, Carnegie, Commonwealth Fund, Asia Foundation, Tinker.

Los archiveros de casi 50 países de América Latina y el Caribe, África y Asia pudieron perfeccionarse en los cursos organizados por NARS y, parcialmente, la Universidad Americana de Washington. Un elevado número de archiveros de todo el mundo pudo efectuar cortas visitas y prácticas en NARS – en los últimos 10 años más de 300 personas provenientes de 30 países en desarrollo, mientras que el Departamento de Estado facilitó visitas de un mes a varios archiveros para conocer los repositorios estadounidenses.

Un gran aporte al desarrollo de los archivos latinoamericanos fue la Reunión Interamericana sobre Archivos, de 3 semanas, en Washington, 1961, con ayuda de NARS y Fundación Rockefeller, para el cual se imprimió una serie de libros y folletos.

NARS presta asesoramiento por correspondencia y facilita bibliografía archivística.

Casi una veintena de misiones de asistencia se extendieron a casi 30 países en desarrollo, desde 1948: Cuba, Haití, República Dominicana, Jamaica, Trinidad y Tobago, México, Colombia, Perú, Bolivia y otros países latinoamericanos y del Caribe; Zambia, Sierra Leone, Liberia, Ghana, Nigeria, Etiopía de África; Filipinas, Irán, Malasia de Asia.

Otros países. No disponemos de datos detallados y actualizados de la asistencia de otros países desarrollados, inclusive los países en desarrollo que han contribuido al progreso archivístico regional.

3. Fuentes de financiación y su magnitud

La financiación de programas archivísticos provenía de las organizaciones internacionales: la UNESCO, el PNUD, el CIA, la OEA; de Gobiernos de varios países desarrollados, en gran parte ex-potencias coloniales; de las instituciones y fundaciones privadas, sobre todo las de los Estados Unidos de América; de algunos gobiernos de los países en desarrollo.

El mayor importe lo ha dado la UNESCO, en manera creciente; mientras que entre 1946 y 1966 los archivos recibieron sólo el 5% de montos destinados a bibliotecas y centros de documentación, posteriormente han subido entre el 15 y el 25% en los presupuestos generales y a 30–40% en los programas de participación, en buena parte destinados a los archivos de los países en desarrollo. Es sólo posible dar las sumas aproximadas. Considerables montos se destinan para planes piloto.

Por su parte, el PNUD, aparte de otros rubros, ha dado la asistencia económica al programa regional de enseñanza archivística en Dakar en un total de US \$ 345.000 y ha previsto para el programa análogo en Accra \$ 353.000.–

El CIA no pudo disponer de mucho dinero, pero su apoyo moral lo recompensa abundantemente.

La OEA empezó con una ayuda sistemática a los archivos en 1972, la cual ha ido aumentando hasta que en el presupuesto para el año 1976/77 se ha previsto \$ 210.000 para archivos latinoamericanos y del Caribe, superando la suma de \$ 169.000 destinada para bibliotecas y centros de documentación. Los mayores montos se aplican a las becas.

No disponemos de sumas que han dado los Gobiernos de diversos países; algo puede deducirse de la naturaleza de la asistencia, sobresalen los Estados Unidos, Francia y el Reino Unido.

Entre las Fundaciones, quizás, más han dado las de Rockefeller y Ford.

4. Finalidades de los programas de asistencia

Los primeros dos grandes programas extendidos a América Latina, África y Asia, los de la Unidad Móvil de Microfilm y de la Guía de las Fuentes de Historia de las Naciones se relacionan más con la investigación histórica basada en la archivalia que con la organización de los repositorios.

Los programas sistemáticos impulsados posteriormente se concentran en tres campos principales: 1) asistencia técnica para la creación, organización y reorganización de archivos nacionales y la planificación de sistemas nacionales de archivos y, subsidiariamente, para el establecimiento de talleres técnicos de restauración y de reproducción de documentos, sobre todo la microfilmación; 2) entrenamiento y perfeccionamiento de personal científico, auxiliar y técnico de los archivos, inclusive visitas de directores; las becas se daban de variada duración, pero el promedio fue de 6–9 meses; 3) donación de equipos para talleres técnicos.

Otras necesidades archivísticas atrajeron menor atención, v. gr. viajes de estudio con el fin de establecer diagnóstico de la situación actual, parcial o total financiamiento de reuniones, conferencias, seminarios, etc., perfeccionamiento de personal docente de las escuelas de archiveros, organización de cursillos nacionales de entrenamiento, asesoramiento en la elaboración de planos para edificios de archivos, microfilmación de archivalia conservada en el exterior. Casi todos estos tópicos los considera el Fondo Internacional para el Desarrollo de Archivos, dentro de las categorías de proyectos para los cuales puede considerarse la ayuda económica.

5. Impacto de la asistencia

El resultado de la asistencia y ayuda es, indudablemente, positivo, a pesar del inevitable parcial desperdicio de fondos y energías. Los archivos que ocuparon – si los hubo organizados – un lugar de subdesarrollo interno dentro de muchos países, empezaron a surgir y ocupar el debido lugar, inclusive en los programas nacionales de desarrollo. Los expertos consultores contribuyeron mucho para despertar la conciencia archivística que es la palanca de todo progreso; consiguieron convencer a las autoridades gubernamentales sobre la utilidad cultural y socio-económica de los repositorios.

Surgieron archivos nacionales en muchos países que no los tenían antes o mejoraron la organización y los servicios de los ya existentes, extendidos hacia la planificación de sistemas nacionales de archivos y su vinculación con los sistemas nacionales de información, y la

defensa del patrimonio cultural, para lo cual mejoraron las condiciones de conservación, restauración y reproducción de documentos.

Probablemente, un mayor impacto ha tenido la capacitación y perfeccionamiento del personal profesional y técnico. La mayoría, si no la totalidad de los archivos de continentes enteros estuvo en manos de personal empírico, autodidacta; actualmente, muchos países en desarrollo ya tienen pequeño o considerable número de archiveros metódicamente preparados, por lo general a nivel medio, porque todavía no abundan los de elevada capacitación científica. La participación activa de los colegas de estos países en los congresos y reuniones internacionales y regionales es en constante crecimiento cuanti- y cualitativo.

Estos son sólo algunos, pero los más importantes aspectos del impacto que ha producido la asistencia – ayuda que han estimulado muchas actividades archivísticas, sin las cuales hubiera sido postergado por muchos años, quizás décadas, el progreso archivístico en no pocos lugares de los países en desarrollo.

La labor que debe realizarse con asistencia y ayuda de los archivísticamente más favorecidos países es amplia, para satisfacer las incontables necesidades y superar serias dificultades. La ayuda que se ha prestado hasta ahora, son apenas unas gotas en un gran vaso, gotas que se multiplicaron en el último lustro y que hacen inclinar la balanza de las esperanzas hacia un moderado optimismo.

6. Recomendación final

La experiencia personal nos impulsa recomendar el establecimiento de un Centro de Información y Coordinación, que disponga de una información constantemente actualizada sobre los programas de asistencia técnica y ayuda económica, inclusive los programas anteriores y los que actualmente están en ejecución, los proyectos al futuro, los informes sobre la utilización y resultados de ayudas anteriores, presentes y futuras y los informes sobre las necesidades concretas a nivel regional y nacional.

Para la coordinación, el Centro deberá suministrar informes requeridos a todos los que prestan ayuda, para que puedan elaborar mejor sus programas, evitar las superposiciones y distribuir, con mayor equidad posible, los medios disponibles.

PROCEEDINGS OF THE SESSION PROCÈS-VERBAL DE LA SÉANCE

PANELISTS' CONTRIBUTIONS/EXPOSÉS.

Dra. Vicenta CORTES ALONSO¹ (España): *Los problemas de la organización archivística en los países en desarrollo.*

Estudiados los tres escritos presentados a esta Sesión por nuestros colegas S.O. Sowoolu, de Nigeria, sobre *Expansión y Evolución Mundiales de los Archivos*, G. Cangah, de la Costa de Marfil, sobre *La Utilidad especial de los Archivos en los Países en Desarrollo*, y A. Tanodi, de Argentina, sobre *Esfuerzos de Asistencia Archivística para el Mundo en Desarrollo*, si nos presenta el tema general de la Sesión, titulada «Revolución geo-archivística», como el planteamiento de los problemas que si manifiestan en todo ser o institución que esta naciendo o renaciendo.

Vamos a aclarar esta idea un poco mas pues en las dos etapas, nacer y renacer, tenemos ejemplos en lo que se titula Tercer Mundo. Bajo esta denominación, en lo que se refiere al campo archivístico (como otras veces hemos apuntado) se encuentran englobados países que estan naciendo, y creo que por ello la fecha tope que se marco era el fin de la Segunda Guerra Mundial, 1945, a partir de la cual se hacen independientes muchas comunidades del mundo, y tambien otros países que llevaban más de siglo y medio en condición de estados soberanos y que, por ello, queremos aqui situar en una posición de renacimiento en lo que a los archivos se refiere.

Para algunos aspectos de los cuatro puntos que a continuación vamos a enumerar – los fondos documentales, el servicio archivístico, el personal y la financiación – unos países seran plenamente tercermundistas (falta de documentos, de personal capacitado y de buen servicio de los mismos), mientras que otros merecerían estar en una categoria superior porque la carencia fundamental es de tipo económico (grandes acervos documentales, algunos archiveros preparados).

Esta primera distinción supone, de entrada, que los países nacies por lo general deben aprender a constituir sus archivos, lo que hoy se llama en expresión casi aceptada el «archival management», lo que es en parte competencia de la Administración productora de los documentos y que, por sus circunstancias históricas, tambien está naciendo al compás de los países ya que, si bien podían tener tradiciones burocráticas anteriores, la comunicación intensa que hoy priva hace que todos debamos estar al día sobre lo que hacen los más adelantados en este campo.

Los países que ya nacieron hace tiempo, que tuvieron una tradición archivística que se ha ido perdiendo o debilitando, pero que continuan en posesión de grandes masas documentales y siguen produciendo cada día papeles por la gestión cotidiana, que de alguna manera han mantenido un recuerdo de su pasado, además de tener que actualizar la técnica del trámite archivístico corriente, tienen que preocuparse de fondos varias veces centenarios a los que se aplicaron, en su tiempo, normas archivísticas de raigambre hasta medieval. Recordemos, por ejemplo, que la tradición castellana llevada a Hispanoamérica y Filipinas

1. Inspectora General de Archivos de España, Madrid.

tenía reglamentos muy viejos, o que Brasil ya consignaba en su Constitución, en el primer momento de su vida nacional, la importancia del Archivo.

Estas distinciones, que parecen a primera vista de carácter erudito, consideramos que no lo son y que, por ello, hay que tenerlas en cuenta en el momento de promover planes, de asignar ayudas y de clasificar las necesidades a escala universal.

Por otro lado, si los primeros trabajos leídos nos ponen al tanto de lo urgente de una acción de salvamento de fondos documentales antiguos y de la buena organización y servicio de los que ahora se producen – por lo que resulta un acierto digno de todo elogio la creación del Fondo Internacional para el Desarrollo de los Archivos del Tercer Mundo, aprobado en Dakar en 1975, con el consenso de muchos asistentes a esta asamblea – el tercer trabajo nos muestra, por su lado, que tanto las instituciones como los países capaces de proporcionar una asistencia archivística a aquellas naciones que tenían necesidad de ella, no se mostraron remisos en hacerlo siempre en función de sus recursos.

Bien es verdad que, dada la riqueza documental y la modestia de los medios económicos a tal fin dedicados, la distancia hasta la meta que los proyectos en marcha intentan alcanzar queda, todavía, lejos de satisfacer al archivero menos exigente. Faltan pues años de esfuerzo y trabajo dedicado a acortarla. Pero, tal vez, haciendo una evaluación mesurada de ambos extremos, parece que los resultados obtenidos hasta el momento deben inclinarnos a seguir con mayor entusiasmo en el camino emprendido, aunque sepamos es largo y de difícil consecución. Los avances observados en la última década permiten tener unas experiencias que nos hagan avanzar con mayor seguridad en el futuro, evitando los errores que hasta ahora se hayan podido cometer, para poder con mayor eficacia emplear los recursos de distinta índole de que se dispone, personales, técnicos y financieros.

Veamos, para ello, los cuatro puntos que quedan reflejados en las ponencias mencionadas. En primer lugar, hay que atender al objeto material de nuestra preocupación, es decir, los propios documentos.

1. Fondos documentales

Antigüedad y riqueza de los mismos. Nos parece de la mayor importancia el conocimiento de la cuantía, por lo menos, de los materiales archivísticos con los que tenemos que trabajar. En esta línea, en lo que se refiere al espacio en que nos movemos, la primera nota que hay que señalar es que carecemos de información aproximada y fiable de los fondos existentes en muchos países de los que nos estamos ocupando.

Teniendo en cuenta que el proyecto de las Guías de Fuentes está avanzado en lo que concierne a los países antes metropolitanos de muchos de los que son objeto de nuestro interés, consideramos que debe comenzarse a recoger un censo, por muy sumario que sea, de la documentación existente en los ya independientes. Esta es una tarea costosa, en personal especializado y en recursos varios, pero nos parece que es la base sobre la que poder concretar futuras acciones.

Las experiencias exploratorias hasta ahora efectuadas, por ejemplo, para lo que sería solamente una visión general de la situación archivística en los países del Centro y Suramérica, realizadas en 1972 mediante la colaboración de archiveros de distintas procedencias y por iniciativa institucional compartida, no han sido continuadas en el área americana. En esta amplia zona del mundo, seguimos sin tener una idea preliminar de los materiales con los que tenemos que contar, base indiscutible sobre la que establecer cuadros de personal, edificios, instalaciones, etc., que son, de entrada, las premisas sobre las que ir planificando.

Si repasamos la información recogida en las publicaciones profesionales referentes a los archivos del Tercer Mundo, nuestra propia revista *Archivum*, aparece como pobre o inexistente. Estas son noticias que no pueden ser relegadas a un segundo término y que, proporcionadas por los propios nacionales o conseguidas por otras fuentes, tanto de los archivos vivos como de los históricos, constituyen el primer paso para dar los siguientes.

Productores de documentación. La actualización de las mencionadas noticias, por otro lado, es imprescindible, pues el crecimiento constante de los productores de documentación hace que pronto envejezcan las ya publicadas.

Los cambios administrativos, el crecimiento de la población, la utilización de nuevas tecnologías en el trámite burocrático, hacen que no solo haya mayor número de centros de producción sino que, a su vez, estos emitan mayor cantidad de documentos que han de ser archivados.

Protección y selección. Para que de una manera ordenada los documentos vayan formando el tesoro documental, será precisa una legislación que coordine la acción de los administradores y de los archiveros, de tal manera que realmente se expurgue lo inútil y se conserve lo imperecedero. Este apartado incide en la situación de los archiveros dentro del contexto funcional de la Administración de los distintos países, pues en la medida en que tengan atribuciones plenas para desempeñar su cometido como custodios de actas públicas y bienes culturales, la conservación de los fondos se hará a satisfacción o no.

Existen directrices sobre el tema, producto de un estudio de la legislación existente, realizado y publicado a instancias del propio Consejo Internacional de Archivos que bien pueden servir de pauta en los lugares en que haya que redactar una normativa inexistente o anticuada.

2. Servicio.

Función primordial. So los archivos deben su existencia a la imperiosa necesidad de utilización de los fondos que guardan, sea para justificar derechos y deberes, para proporcionar información, para asentar la personalidad individual y nacional, para enriquecimiento cultural, en la medida que su servicio sea eficaz y seguro estarán cumpliendo su fin.

Por ello, el servicio que proporcionen dependerá en gran medida del crédito que reciban por parte de los poderes públicos y del nivel orgánico que se les adjudique por la Administración del Estado. Cuanto más alto sea su rango, mayor autoridad tendrá para salvar la documentación de posibles contingencias, independencia para redactar sus programas y decisión para administrar sus recursos.

Bienes culturales. Como al terminar su vida administrativa los documentos adquieren un valor para la cultura, tienen un importante lugar en la enseñanza y la investigación. Por ello, este servicio tiene que ser atendido con todo cuidado en el momento en que sale del ámbito de los productores de la documentación y vigilado en especial por los archiveros. Son raíces que si se cortan pueden causar perjuicios, por lo que la documentación debe ser conseguida por los pueblos a los que se refiere, sea en los originales o en copias.

Estos bienes culturales tienen que ser descritos y la información debe circular abundantemente para conocimiento general.

3. Personal

Formación. El servicio de la documentación, en todas sus etapas archivísticas, es función de los archiveros. Por lo que la formación de estos especialistas nos parece uno de los objetivos esenciales en cualquier proyecto. La mejora de las Escuelas existentes, las becas de formación y perfeccionamiento, los cursillos de todo tipo, son la premisa clave para poner en marcha los planes de conservación del patrimonio documental de los países.

Mientras en la realidad que nos rodea la labor de un archivero pueda ser desempeñada por cualquier persona no preparada, los archiveros no serán necesarios, los documentos se perderán y estos bienes culturales serán olvidados. Los archiveros solo son los que pueden cumplir las tareas que les son propias y para ello hay que formarlos.

De la misma manera que necesitamos un censo de la documentación que existe, conveniría tener un censo de los archiveros. La creación de asociaciones profesionales es un paso interesante, dando personalidad jurídica y acción a la especialidad.

Promoción. Como en todas las profesiones, en esta hay distintas especialidades en las que se pueden adquirir posiciones y saberes elevados. Por tanto, al igual que en otras carreras, en la de archivero debe establecerse un cursus honorum profesional que habilite para la ocupación de puestos jerárquicamente más altos cada vez, equiparables a los de otras dedicaciones.

4. Financiación

Recursos. El problema de los recursos es siempre importante, pues se trata de trabajos caros en razón de la materia – los fondos documentales de inapreciable valor para cada país – y de la clase de funcionarios que deben encargarse de su servicio, que necesitan tener unos conocimientos específicos. Tanto los edificios, las instalaciones y los servicios técnicos como el material deben ser cuidados en atención a los fines a que van encaminados.

Si ello no es así, la conservación del tesoro documental será imperfecta y se perderá irremediablemente su integridad. Los propietarios de tales bienes, Estado o particulares, por lo tanto, deben ser los primeros interesados en que no desaparezcan, rodeándolos de aquellas condiciones mínimas de seguridad que establecen las normas al uso.

Los efectivos de personal deben estar incluidos en las plantillas de los cuerpos del Estado, ampliándose a medida que las necesidades y los posibles candidatos lo permitan. Por eso la preparación de los archiveros, de los docentes que los formen, son un proyecto que debe contemplar cada país.

Planes de asistencia técnica. Como no todos los países están en condiciones de comenzar el trabajo por sí solos, ni cuentan con los recursos económicos para hacer proyectos propios, es importante la continuación de los programas en marcha y la formulación de otros nuevos, que permitan elevar la condición de los archivos.

Hemos visto, por la exposición del tercer trabajo, que es amplio el campo en que se viene trabajando. Por las otras dos ponencias se hace patente que sigue siendo necesario que se siga trabajando en este empeño.

Nos parece que hay tres preguntas clave a las que hay que responder en el momento de pensar en disponer de los modestos recursos con que se cuenta por el momento:

¿Qué asistencia piden los países?

¿Qué pueden aprovechar de la asistencia solicitada?

¿Qué se les puede ofrecer?

Cada una de estas preguntas encierra en sí un cúmulo de premisas que se pueden reducir a la siguiente enumeración:

Fondos + Servicio + Personal + Financiación

Según tengamos conocimiento de las cuatro unidades en cada uno de los casos, podremos ir dando solución a la elección de peticiones.

Los puntos sobre los que quisiéramos hacer mayor hincapié son:

1. Censo de la documentación
2. Microfilmación de los documentos para los países
3. Formación de personal
4. Asociaciones de archiveros
5. Publicaciones

Dr. M. KAPRAN¹ (USSR): *Technical assistance of the USSR to developing countries in the field of archives.*

The progressive process of economic and cultural development of the young national States of Asia, Africa, and Latin America finds its manifestation also in the constantly growing volume of documentary information. Therefore, the archivists of these countries must resolve the questions of creation and perfection of archival services. In this process, the rise of the role of archives in the social life of every developing State acquires great significance.

Professional archivists, as we see from the papers of Mr. Guy C'angah (Ivory Coast) and Mr. S. Sowoolu (Nigeria), understand this well. As the matter now stands, this understanding of the significance of archives in the life of each country and of the organized service of

clerical work has become one of the important elements in the activity of the State Administration.

It is also doubtless true that in the resolution of the whole complex of tasks which the archival services of the developing countries must decide, the rendering of technical assistance to them by States with experience in the organization of archival affairs acquires important significance.

As you know, at the Seventh International Congress on Archives in Moscow, considerable attention was devoted to the analysis of the possibilities of broadening assistance to the archives of these countries.

In our view, the seminars for archivists from the countries of Asia, Africa, and Latin America which were conducted in the USSR and the German Democratic Republic with the assistance of the International Council on Archives and UNESCO were a very useful and concrete form of such help. They were given broad opportunity to familiarize themselves with the working practices of State Archives.

The archivists of the Soviet Union are also ready to offer assistance and to take part in the realization of similar measures within the bounds of the UNESCO program in the future.

Responding to the wishes of our colleagues from the developing countries concerning the making available to them of more detailed information on the work of the State Archives of the USSR, the General Archival Administration of the Council of Ministers of the USSR, together with a number of scientific institutions of our country, has undertaken the publication in English, French, and Spanish of the textbook "Archival Affairs in the USSR." It contains information on the fundamental aspects of the theory and practice of archival affairs. It is to be hoped that the appearance of this book will render assistance to the archivists of these countries in their practical work.

The proposal put forward in Mr. Sowoolu's paper concerning the establishment of broader information on the working experience of the archives of all countries by the exchange of literature, annual reports, documents, etc., deserves support. In this regard, it seems to us that the journal *Archivum* can do much good if it will more broadly elucidate on its pages the work experience of the archives of various countries.

In the Soviet Union, we relate with understanding to the difficulties which many developing countries are experiencing in connection with the lack of national cadres. As is known, the Soviet State is giving to developing countries important help in the training of qualified specialists in both technical and humanitarian professions, including archivists, in our middle and higher educational institutions. Many archivists from foreign countries spend a probationary period in the State Archives of the Soviet Union. There are large opportunities for students from developing countries to visit our country for training at the Moscow State Historico-Archival Institute.

We support the proposal of the speakers on the question under discussion concerning the creation of a Committee under the International Council on Archives for the review of questions connected with the training of cadres for work in the archives.

As for the system of the subordination of archival services in each country, based upon the working experience of Soviet archival establishments, it appears that the subordination of the central archival organ directly to the Government of the country is the most rational form of organization for the management of archives.

I would like to broach one more question. As you know, at the Seventh International Congress on Archives, the proposal of the archivists of the developing countries concerning the return to them of authentic documents concerning their national history, which were taken to their former metropolitan countries during the period of colonial domination, received the approval of the majority of the delegates.

This problem was widely discussed in January, 1975, in Dakar, at the General Conference on the Planning of the Development of Archives in Developing Countries, and also in March, 1976, at the consultative conference organized by UNESCO in cooperation with the International Council on Archives, at which the principles of the transfer of archival

1. Head of the Service of International Relations, General Archival Administration of the Council of Ministers of the USSR, Moscow.

materials to their lawful owners were worked out. Now, apparently, the time has come for translating words into deeds.

As is known, at the Conference in Colombo in August of this year, several heads of State also voiced the demand for the return of documents and manuscripts removed from former colonies.

We think that it is the duty of the archival establishments of States which render assistance to the developing world to relate more attentively to the wishes and needs of their colleagues from the countries of Asia, Africa, and Latin America.

Dr. A.W. MABBS¹ (United Kingdom): *Hope and concern for the future of archives in the developing countries.*

The papers presented by our distinguished speakers should persuade us (if indeed persuasion were necessary) that the subject matter of this present session is the most important of the whole Congress. For we are concerned today not with any sophistication of archival techniques, nor with the application of modern technology to archival or information management, although of course such subjects are interesting and important. We are discussing what must be the basic concern of all archivists – the very survival of archives in many parts of the world. The papers give us comforting evidence of the proliferation of national archival institutions, and the increase in the world population of archivists in recent years. They also remind us, however, that in many countries – even some where a national archives has existed for many years – scarcity of resources and other factors do not merely impede archives administration and records management, but imperil the very survival of valuable archives. It is therefore important that we balance any feelings of self-congratulation which we may have concerning the progress of the so-called geo-archival revolution with our deep concern for the threat of decay by natural agents and destruction by human ignorance or stupidity of large quantities of archives in countries where archivists are still unknown, or where they are impotent and frustrated through lack of staff, of basic technical equipment, and of the support and understanding needed to sustain them in their endeavours.

The progress which has been made in recent years and summarised in Mr. Sowoolu's paper owes a great deal to the efforts of the ICA, UNESCO, regional inter-governmental organisations such as OAS, private foundations, and countries in more advanced stages of archival development which have provided the services of experts, assistance in training, and made other tangible contributions to technical assistance. On the value, the effectiveness and the limitations of such assistance Dr. Tanodi has made some interesting observations which deserve discussion. His particular concern for the need for greater coordination of assistance projects and programmes will have the agreement of many of us here; for there is little doubt, particularly in view of the inadequacy of the resources available, that the most effective application of archival assistance requires constant monitoring with the benefit of up-to-date information from all aid-giving sources and the recipients of the aid. It also requires a capability to evaluate the benefits derived from aid and cooperation from whatever source derived. The main difficulty, I suppose, is in obtaining adequate information rather than providing the machinery for processing it. It is clearly a function of the International Council on Archives, and more particularly the Committee on Archival Development, to provide effective machinery for obtaining information, processing and evaluating it, and then providing (as Mr. Sowoolu requests) some kind of information service for the benefit of those who would gain from a knowledge of world-wide events and trends in archival development.

Formidable tasks lie ahead in reaching the objective of ensuring that in all countries there is a national archives authority capable of meeting at least the most basic and urgent problems of archival control and preservation. Achievement of this objective, and progres-

sion to the stage where satisfactory archives administration and records management arrangements exist in all countries will take time (time during which part of the archival heritage of the world will have been lost); it will need all the technical assistance which can be obtained from any source; and it will require the total dedication of the growing army of archivists. But above all it will require the allocation by governments of money for staff, buildings and equipment for archival services in their own countries. And on this latter point many of us will see little cause for hope in the near future. There is evidence that many governments have not yet been convinced by arguments of the kind presented by Mr. Cangah that there is a high benefit to a country from money spent on archives or on records management. We should, therefore, ask ourselves if archivists have not in the past spent too much time in philosophical discussions of archival principles and too little in considering ways of convincing governments and people, by argument and example, of the value of archives and their duty to preserve them for posterity.

I doubt if an application to UNESCO by a member country for money to be spent on a national publicity campaign for archives would be very well received. But there is no doubt that greater and wider knowledge and understanding of archives – however achieved – would influence the attitude of governments and aid-giving organisations in their allocation of resources to archival services; and that both on a national and international level we should make a greater and more positive effort in the field of public relations. No revolution can even begin without effective propaganda.

Dr. A.E.M. RIBBERINK¹ (The Netherlands): *Supplementary archives.*

The archival expansion and evolution as treated in this Congress calls in a country like the Netherlands for an increased effort on acquisition, specialisation and international archival cooperation.

Acquisition

The economic revolution in the European Economic Community, with its many mergers of commercial, transport and banking organisations and a high social mobility, endangers archives formed in the 19th and the first half of the 20th century. Families and private or public corporations are not interested in safekeeping obsolete data. Yet those documents with reference to, for example, tropical cultures or transport-systems in foreign countries can be, as demonstrated in the paper of Mr. Cangah, very valuable for the countries concerned. Let me give one example. Some years ago the family of a former Dutch high colonial officer removed and the State Archives were requested to take immediate care of a large quantity of archives, documents and books. This call ("can you come this very day;") was one of the results of constant advertising in the proper circles.

On the other hand, we seized the opportunity to enrich the archives of Indonesia. A specialized collection of many rather old and rare books, which was part of the library of this former high colonial officer, was shipped to the Arsip Nasional of the Republic of Indonesia. Parts of the archives were microfilmed. Our colleague, the director of the Arsip Nasional, Miss Soemartini, has published in collaboration with the University of Djakarta some of those microfilms, reports and analyses concerning savah-cultures and village-economics on Java in the first quarter of this century.

Specialisation

Mr. Bautier informed us, in the report "Les archives dans la vie internationale" which he wrote in 1961 for the Table Ronde in Warsaw, Poland (*Actes de la sixième conférence internationale de la Table Ronde des Archives*, Paris 1963), about the archival cooperation between Austria and Hungary. Hungarian archivists conduct studies in the Haus-, Hof-

1. Deputy Keeper of Public Records, Public Record Office, London.

1. Archivist General of the Kingdom of the Netherlands, The Hague.

und Staatsarchiv in Vienna and they have access to the repositories. They prepare microfilm-programs and cooperate with their Austrian colleagues in selecting and inventorying the common heritage. This example inspired the cooperation between the State Archives of Indonesia and the Netherlands.

Indonesian archivists and historians are working in the repositories of the Dutch State Archives and Dutch archivists have worked in the Arsip Nasional. Indonesia supplied us with microfilms of documents of the 17th and 18th century and with microfilms of genealogical manuscripts. Sent to the Arsip Nasional were microfilms, programmed by Indonesian historians working in the archives in the Netherlands, of political, economic and social reports of the first half of the 20th century.

Our State Archives need the assistance of our Indonesian colleagues in inventorying and selecting. Every year two or three archives of metropolitan offices of tea, sugar, tobacco, railways, or trading corporations are deposited in the State Archives. To obtain the specialised knowledge required to work with archives concerning Indonesia we can not do without the Arsip Nasional and a close cooperation.

International cooperation

Developments in Europe also call for an intensification of international cooperation in specialising archivists and assisting historical research. The quiet integration of Western Europe and the industrialisation and urbanisation of rural and limitrophe regions stimulate research in regional history and studies of cultural and historical connections that transcend national frontiers.

Only in close cooperation with our neighbours can academic research projects be organised and assistance offered to individuals and groups. In the archives every generation can consult the authentic vestiges of its past and can reflect on its identity and its tasks. For the history of mankind many archives must be consulted.

A worldwide fraternity of archivists can facilitate these studies and stimulate contacts between countries and cultures. It is fortunate that the International Council on Archives leads the way in this struggle for cooperation, mutual respect and understanding.

INTERVENTIONS

M. Charles KECSKEMÉTI¹ (France): *Pour la suppression du «Tiers Monde archivistique».*

La géographie archivistique n'est pas identique à la géographie économique. Les archives ont leur histoire propre, à cause de laquelle certains «petits» pays d'aujourd'hui peuvent avoir des archives très développées.

Les pays en voie de développement doivent savoir que les investissements consentis pour l'organisation des archives sont rentables, car ils coûtent moins cher que le désordre et ses conséquences.

Mais pour cela il faut que ce soient les pays eux-mêmes qui en prennent conscience. Il peut venir une aide de l'extérieur, mais seulement une aide. Le développement des archives est une question de politique nationale et ne peut être réglé par une aide étrangère, bien qu'une telle aide étrangère soit souvent nécessaire au départ, mais uniquement sur le plan du conseil, non sur celui de la décision.

L'objectif qu'il faut chercher à atteindre est la suppression du «Tiers Monde archivistique», et la réalisation de l'unité archivistique des différentes nations. Pour cela, nous avons à notre disposition plusieurs instruments:

- le Conseil international des Archives, avec sa structure en branches régionales,
- une nouvelle approche méthodologique mettant l'accent, non sur la spécificité du

Tiers Monde, mais sur l'unité fondamentale de l'archivistique, sans ignorer pour autant l'existence de *besoins* spécifiques et de *conditions* spécifiques, qui d'ailleurs varient selon les régions et selon les pays.

Ce qui importe aujourd'hui, c'est que l'action menée en faveur du développement économique et du développement culturel intègre l'action menée en faveur des archives. Les plans de développement archivistique ne doivent plus être conçus isolément, mais globalement, avec les autres aspects du développement. C'est là la condition de l'efficacité de notre action et de la crédibilité de nos efforts. Les archives ne sont pas dissociables de l'activité d'un pays, quel qu'il soit. Le jour où les gouvernements et où les peuples en auront pris conscience, un progrès immense aura été accompli.

Mme Bijamal RAMAZANOVA¹ (URSS): *L'expérience du Kazakhstan et son intérêt pour les pays en voie de développement.*

Les interventions des représentants des pays en voie de développement portant sur les difficultés de l'édification des services d'archives modernes dans leurs pays ont évoqué dans ma mémoire le cas de la jeune République du Kazakhstan qui, formée après la Grande Révolution Socialiste d'Octobre en 1917, avait éprouvé les mêmes difficultés.

Alors que notre province était autrefois très arriérée au point de vue économique et culturel, le régime soviétique lui a donné la possibilité de développer avec succès son économie et sa culture nationale avec les autres républiques de l'Union.

Ces heureux changements se sont également manifestés dans le domaine des archives. Conformément au décret de V. I. Lénine de 1918 sur les archives, le gouvernement de la République a adopté dès le début la centralisation des services d'archives, a créé les organes d'Etat correspondants, a déclaré propriété nationale les archives de l'administration coloniale gouvernant le territoire du Kazakhstan, a assigné les ressources nécessaires au dépouillement et à la collecte des documents sur l'histoire du peuple kazakh en dehors de la République. Les cadres archivistiques sont formés aux Archives de Moscou, de Léninegrad et d'autres grandes villes de Russie.

Il existe actuellement au Kazakhstan 54 dépôts d'archives possédant le personnel scientifique et technique nécessaire. Le Fonds des Archives d'Etat de la République comprend près de 5 millions de dossiers classiques, plus de 20.000 boîtes de films et de cinédocuments, environ 120.000 documents photographiques, avec les instruments de recherche qui les rendent accessibles aux chercheurs. Pour les années à venir on a prévu la construction d'une série de bâtiments pour les Archives d'Etat.

Tout cela a été réalisé pratiquement à partir de zéro, dans l'espace d'une vie d'homme. Cette expérience est particulièrement intéressante pour les pays en voie de développement. Les archivistes du Kazakhstan sont prêts à faire tout le nécessaire pour prêter assistance aux archivistes des pays de l'Asie et de l'Afrique. D'après une expression populaire, «il vaut mieux voir une fois qu'entendre cent fois». Nous pouvons recevoir les stagiaires des pays de l'Asie du Sud-Est et leur faire part de notre expérience concernant la collecte, la description et la conservation des documents tenant compte des conditions climatiques et nationales. Nous sommes également tout disposés à effectuer des échanges, sur la base de l'équivalence, de copies de documents avec les pays du Proche et Moyen-Orient.

M. Saliou M'BAYE² (Sénégal): *Importance respective des archives écrites et de la tradition orale pour les pays africains.*

M. Cangah vient de nous faire un exposé complet sur l'utilité particulière des Archives dans les pays en voie de développement. Tout a été dit et bien dit. Organe administratif, les Archives constituent le support nécessaire à la recherche scientifique et technique et à

1. Chef de la Direction générale des Archives près le Conseil des Ministres de la République Socialiste Soviétique du Kazakhstan, Alma-Ata.

2. Directeur des Archives nationales, Dakar.

1. Secrétaire exécutif du Conseil international des Archives, Paris.

l'écriture de l'histoire en vue du développement économique et social. Cependant je voudrais attirer l'attention sur le rôle que jouent les Archives face à la tradition orale. Vous n'ignorez certes pas que dans nos pays il se rencontre des intellectuels peu au courant de la vie des Archives et de leur spécificité et qui cependant les rejettent d'emblée sous le prétexte qu'elles sont le produit de la période coloniale et ne peuvent donc en aucun cas être des vecteurs de la culture «nationale». C'est une démarche psychologiquement compréhensible mais scientifiquement insoutenable. Il est clair que tous les pays en voie de développement ont le souci primordial de se développer mais il n'en reste pas moins vrai que les moyens et les approches diffèrent d'un pays à un autre. Au Sénégal nous avons l'habitude de dire que la «culture est au début et à la fin du développement»; or cette culture, je veux dire l'esprit même de notre civilisation, nous-la trouvons figée dans au moins trois sources que nous détenons dans nos archives.

La première source est constituée par les registres des tribunaux indigènes. Ces registres conservés aux Archives constituent une des meilleures sources pour la connaissance du droit africain, de la vie quotidienne et surtout de la vision africaine du monde.

La seconde source est constituée par les récits de voyages des étrangers et les rapports d'envoyés de l'administration auprès des cours royales.

La troisième source est l'iconographie. Certes l'Afrique est mère de l'art nègre mais elle n'a tracé ni cartes, ni plans, ni portraits.

Plus qu'un climat de lutte il s'agit d'instaurer une symbiose entre les sources archivistiques et la tradition orale pour une meilleure ré-écriture de l'histoire africaine.

Mrs. Astrêa DE MORAES E CASTRO¹ (Brazil): *Archivology as a science and as a technique.*

It is fundamental for us to base our work on pure principles: "learning by doing" is fundamental. The archivist who is based on the pure principles of archivology and always keeps these principles in mind should face the mass of documentation with realism, without illusions, and without unnecessary sophistication of difficult techniques. Archives are simple and logical. Archivology is an independent science. To apply it well, it is necessary to study correlative subjects from administration and history. It is sufficient to check the archives curriculum prepared for the *Association of Unified Instruction of the Federal District* in Brasilia. In the archives one works to serve administration in the first stage, and to attend to the needs of researchers in the second stage. To be an archivist it is not necessary to be a graduate historian or a specialist in administration.

When we discuss archivology, juridical notions can be cited. If the matter at hand is evaluation of documents for elimination and safekeeping, we should remember legal time limits as well as the time limits of interest to administration and to history.

In the description of documentary proofs of legal acts we need knowledge of this field, especially if these juridical acts occurred in the past when the vocabulary was not the same which we now find in dictionaries and the ambiguity of phrases requires experience to decipher. Thus, we wish to demonstrate that the sciences are interwoven but are not to be confused.

Generalization reminds us of terminology. We really need to unify concepts. It is frequently said that "Brazilians begin later, but they begin better". Let us take advantage of the experiences of other countries and choose our vocabulary now.

Archivology is still in the phases of historicism, administrativism and library science. Let us struggle for the hour and the time of the purification of our science and of our techniques.

1. Head of the Historical Archives of the Chamber of Deputies, Brasilia.

Dr. Elio LODOLINI¹ (Italia): *La formación de archiveros, condición previa para el desarrollo de los archivos.*

La ponencia del Dr. Tanodi «Programas de asistencia archivística» es tan exacta, clara y completa – como todos los trabajos del autor – que no necesita comentarios ni aclaraciones.

Estoy completamente de acuerdo con lo que afirma el Dr. Tanodi y quisiera poner de relieve como de lo que él dijo emerge una constatación: a la base de toda forma de progreso de archivos hay la formación de una conciencia archivística. Entre los puntos señalados por el Dr. Tanodi para el desarrollo de los archivos, el punto absolutamente fundamental y determinante es, a mi parecer, la formación y capacitación profesional de los archiveros y, en consecuencia, el reconocimiento de su estatuto profesional por parte de los Gobiernos respectivos.

Me parece que exactamente en esta dirección se está desarrollando un activo movimiento tanto en Asia y en Africa como en América latina, a la cual tengo intención de referirme especialmente, por ser la región que conozco mejor. En América latina el progreso es evidente y es debido no solamente a los programas exteriores de asistencia archivística, sino también a la capacidad de autodesarrollo que los colegas latinoamericanos han demostrado en los últimos años. Pensemos en las escuelas para archiveros y en la difusión de la enseñanza de archivología (y es el mismo Dr. Tanodi el animador de este obra), en el desarrollo de los Archivos nacionales, en la constitución de asociaciones archivísticas nacionales y en la reciente creación de la Asociación Archivística Latinoamericana, tan dignamente presidida por el Dr. Guillermo Durand Flores.

Los problemas de los edificios, de los equipos técnicos, de la restauración de documentos son sin duda interesantes y vigentes; pero reafirmo mi convicción de que, para el desarrollo de los archivos, es elemento previo y determinante la formación de archiveros competentes, capacitados y compenetrados con su profesión, con su «misión».

Mr. Breandan MAC GIOLLA CHOILLE² (Ireland): *The need of archival help is not restricted to the Third World.*

As labour organisations fight vigorously for minimum standards for members, Ireland suggests that ICA should engage in a similar campaign for all its members giving to the weak the strength of the world community of archivists.

Members of ICA are unfortunately divided into four categories – highly developed, developed, developing to undeveloping (the latter often merely existing at a sub-minimal standard). Like Secretary Kecskeméti, Ireland should like to substitute for them two categories only, viz. (a) those who can help the weak and poor members, and (b) those who are in dire need of archival help.

Ireland should like to see ICA helping needy National Archives to reach rapidly minimum standards in regard to personnel, financial support, special sections catering for archival activities (such as restoration laboratories), adequate buildings, equipment and services to users.

Ireland believes that an inventory of minimum standards, based on these and other points, could be an extremely beneficial tool to enable needy national archives to raise standards and pressurise governments to spend adequate amounts of money on their national archives. No government, it is thought, would like to have the responsibility for a national archives manifestly below minimum level as judged by international standards.

Ireland urges that ICA undertake the task of creating such an inventory and be not daunted by those who would think the difficulties in the way are insurmountable.

This should ensure a faster rate of development in all national archival organisations in ICA, not just in the Third World but in every part of the world where there is archival need.

1. Direttore dell'Archivio de Stato di Roma.

2. Keeper of State Papers and Deputy Keeper of the Records, Public Record Office, Dublin.

Ireland sees such a task as a primary duty of ICA towards the weak and needy in the community. Therefore, let ICA help in the fight, as labour organizations do for their members, by establishing a set of minimum standards for National Archives.

Fr. Alberto LEE LOPEZ¹ (Colombia): *Asistencia archivística para América Latina.*

La constitución de la Asociación Latinoamericana de Archivos (ALA), como Rama Regional del CIA, puede considerarse como el más concreto fruto de los Programas de asistencia archivística en la América hispano y lusoparlante.

En estos países hay no sólo una tradición burocrática, sino una tradición archivística de antiguas culturas europeas. Nuestros problemas fundamentales son dos: 1) personal suficiente en número, preparación específica y reconocimiento de su estado profesional; 2) recursos suficientes para la adecuada conservación del Patrimonio documental de cada uno de nuestros países.

Desde un punto de vista personal y refiriéndome concretamente a la situación de Colombia, considero que la asistencia de los Organismos Internacionales a América Latina debe canalizarse principalmente hacia los dos puntos mencionados. La revolución archivística para nosotros tiene que empezar por darnos los instrumentos humanos y técnico-económicos para poder salvar, ante todo, el rico patrimonio documental de cada país. Es indispensable que haya una mayor información sobre los diversos proyectos de asistencia, que se programan por cada uno de los Organismos internacionales (UNESCO, OEA, Comité de Archivos del IPGH), a fin de evitar duplicación de programas que por su pequeño monto económico no logran un efecto suficiente, y para que se tengan en cuenta las prioridades regionales y nacionales, reales y no supuestas. La ALA aspira a ser ante todo un instrumento de información y coordinación.

El segundo aspecto es mucho más concreto y un poco explosivo, pero es urgente plantearlo aquí. Una de las vías de pérdida, o mejor de disminución física de nuestros acervos documentales, es la transferencia que se está haciendo de fondos documentales privados, semioficiales y aún públicos a países desarrollados, especialmente a Universidades y Centros culturales que disponen de los medios económicos para adquirirlos a buen precio. Frente a este saqueo que se pretende justificar con razones aparentes, creo interpretar el pensamiento de quienes rechazamos tales procedimientos, proponiendo a las Universidades e Instituciones culturales que contribuyan con los dineros que destinan a estas adquisiciones ilegales a que podamos conservar adecuadamente en nuestros archivos todo el patrimonio documental de nuestros países, y proporcionar a tales Entidades reproducciones de los mismos.

Sr. Guillermo DURAND FLORES² (Perú): *Expansión y evolución de los Archivos en Perú.*

El Perú en la última década ha desarrollado un importante plan archivístico, que permite prever un futuro muy optimista. Una Ley de 1972 da pautas legales y declara el documento Patrimonio Nacional, y da la estructura a un Sistema Nacional de Archivos bajo la jurisdicción del Archivo General, con facultad de supervigilancia en los archivos de la Administración Pública.

De esta forma se han creado 7 Archivos Departamentales en Arequipa, Cuzco, Tacua, Trujillo, Piura, Cajamarca y Ayacucho. Se proyectan 3 más para el próximo año. Su instalación es modesta pero suficiente para prestar un adecuado servicio.

El personal ha sido fuertemente incrementado en la sede central en Lima y viene entrenándose con cursillos, así como un plan de becas. Se estudia la apertura de una Escuela de Archiveros para el año entrante.

Edita una Revista anual y una serie dedicada a dar a conocer los importantes fondos documentales.

1. Director del Archivo Nacional, Secretario de la ALA, Bogotá.

2. Director del Archivo General de la Nación, Lima.

Estos datos complementan los proporcionados por las exposiciones de los ponentes de la fecha.

Sr. Cesar GARCIA BELSUNCE¹ (Argentina): *De la utilidad de los Archivos: interesar en ellos a los hombres públicos.*

Quiero destacar respecto del aislamiento de los Archiveros a que hizo referencia el Dr. Tanodi, que el aspecto más peligroso de aquel reside en la incompreensión del papel y función de los archivos por parte de los funcionarios de la Administración Pública de cada país.

En Argentina comenzaremos inmediatamente una serie de conferencias y reuniones de archiveros con altos funcionarios del Estado, para explicarles el papel de los Archivos, el apoyo que dan o pueden dar a la Administración Pública y el ahorro de dinero que significa un buen archivo.

Estoy convencido que si en todos los países diésemos pasos semejantes se obtendrían grandes beneficios, pues mientras no sepan para que sirven los archivos aquellos que por sus altas funciones deben tomar las últimas decisiones y deben dar o negar los fondos públicos, nada podremos adelantar por más sofisticadas que sean nuestras técnicas y proyectos.

Si convencemos a los Ministros de Economía y Finanzas que un buen archivo es un ahorro de tiempo y dinero, podemos esperar disponer de los fondos para nuestros proyectos. Lo mismo podemos decir de los ministros y secretarios políticos. Si no lo logramos, seguiremos haciendo exquisitas disquisiciones que no se materializarán.

En resumen, sugiero que todos los países en desarrollo – y por qué no muchos de los desarrollados? – realicen acciones en este preciso sentido.

Mlle Liliane CHAULEAU² (France): *Le nouveau bâtiment des Archives de la Martinique.*

Je voudrais signaler, à propos du rapport de M. S. O. Sowoolu sur l'expansion et l'évolution des Archives à l'échelle mondiale, l'existence dans la région des Caraïbes, à la Martinique, d'un dépôt d'archives moderne et fonctionnel qui a été construit fin 1974 grâce à la Direction des Archives de France et au département de la Martinique.

Ce dépôt dispose de 6 km de rayonnages métalliques, d'un atelier de reliure, d'un appareil de désinfection, d'un système de détection incendie et d'installations de climatisation centrale. C'est, dit-on en haut lieu, le plus beau bâtiment administratif de la Martinique et un exemple pour la région.

Je le signale dans un souci d'information en vue de faciliter la coordination dont on a parlé.

Je pense que le projet de guides d'archives pour l'ensemble des Antilles dont il est question dans la branche antillaise du CIA fera mieux connaître l'existence et les fonds des dépôts antillais. Mais nous aurons certainement besoin pour la parution de ce guide du concours financier d'organismes internationaux.

Dr. Gerhard EXNER³ (Deutsche Demokratische Republik): *Flexible Anpassung der Entwicklungshilfe an die Bedürfnisse der Empfängerländer (mit Erfolgskontrolle und -auswertung durch CIA)*

Die Vielfalt der Probleme, die Unterschiedlichkeit der Bedingungen und die spezifischen Interessen der einzelnen Entwicklungsländer lassen es problematisch erscheinen, ein für alle gleichermaßen gültiges Rezept für den Aufbau des Archivwesens zu entwickeln. Nach unserer Ansicht sollte eine Analyse der konkreten Bedürfnisse und Wünsche erfolgen, um eine optimale Hilfe zu gewähren. Auch sollte man die Formen und Methoden der Unterstützung der Entwicklungsländer in Hinblick auf ihre Effektivität

1. Director General del Archivo General de la Nación, Buenos Aires.
2. Directrice des services d'archives de la Martinique, Fort de France.
3. Direktor der Staatlichen Archivverwaltung der DDR, Potsdam

einbeziehen und prüfen, inwieweit sie den Bedingungen dieser Staaten entsprechen. In den letzten Jahren wurden zahlreiche Maßnahmen vorgeschlagen und teilweise realisiert, deren Erfolg aber unterschiedlich war. Es erscheint uns angeraten, bereits bewährte Formen zu intensivieren. Als solche haben sich aber besonders bilaterale Kontakte und als Qualifizierungsmaßnahme internationale Seminare bewährt, zu denen im Nachgang das Ausbildungsmaterial gedruckt den Teilnehmern zur Verfügung gestellt wird.

Um zu verallgemeinerungswürdigen Ergebnissen zu kommen, wäre es wünschenswert, eine schnelle und präzise Information über die Anwendung der vermittelten Kenntnisse an den IAR (CIA) zu geben, damit dieser entsprechende Analysen erarbeiten kann. Solche Analysen sollten dann auch den Mitgliedern des IAR (CIA) zugänglich gemacht werden. Das würde sicherlich auch zu einem effektiveren Einsatz der finanziellen Mittel des IAR (CIA) beitragen. Die Hilfe der DDR beschränkt sich natürlich nicht nur auf die oben dargelegten Formen.

CONCLUSION

par M. Bruno DELMAS¹ (France).

Au terme de cette séance consacrée à la révolution mondiale des Archives, une distinction s'impose à notre esprit. Il y a une révolution interne que nous pouvons guider, qui concerne les méthodes et les moyens de notre profession, et une révolution qui s'impose à nous et qui nous entraîne, celle du monde moderne.

La révolution du monde moderne présente, selon les débats de ce matin, trois traits principaux: l'universalisation du phénomène archivistique, l'unification de la problématique archivistique et l'extension aux archives de la notion de patrimoine de l'humanité.

L'universalisation dans l'espace du phénomène archivistique nous a été présentée par M. Sowoolu. Il y a environ un demi-siècle, de grandes régions du monde restaient encore à découvrir et à reconnaître; la majorité des territoires restait sous-administrée; seule une petite partie d'entre eux disposait d'archives organisées. Il a suffi d'une cinquantaine d'années pour que la terre soit reconnue, pour que partout se fondent des Etats et se développent des administrations. Le monde d'aujourd'hui, scientifique, industriel et technique, conduit nécessairement les Etats à se doter d'administrations modernes et celles-ci ont besoin des archives.

Certes, tous n'ont pas atteint le même niveau d'organisation et de complexité, mais le fait est là, nul n'y échappe. Partout des institutions d'archives se sont constituées ou se constituent suivant le rythme et à l'image de cette transformation mondiale. Désormais, le monde entier est concerné; l'existence même de notre Conseil et son essor rapide sont la preuve tangible de cette universalisation.

Les sociétés d'autrefois étaient principalement marquées par le lieu de leur éclosion et par leur histoire propre. Le monde technique d'aujourd'hui s'affranchit de plus en plus de ces contingences locales et des cultures particulières par la facilité des échanges d'informations, d'idées et de produits.

La généralisation d'une administration de type moderne soulève partout les mêmes problèmes archivistiques, comme M. Cangah l'a souligné. Cette constatation ne nous empêche pas de reconnaître la spécificité des problèmes concrets de chaque pays, particulièrement lorsqu'il s'agit de la situation des archives et des services que l'on en attend dans la bataille du développement et dans la construction nationale de chacun. Mais il n'en reste pas moins vrai que ce grand mouvement a entraîné un renouvellement et une unification de la problématique archivistique contemporaine, phénomène sur lequel M. Kecskeméti a attiré notre attention.

Enfin, nous assistons à l'extension aux archives de la notion de patrimoine de l'humanité, comme l'atteste le rapport de M. Tanodi sur le développement de la coopération internationale en matière d'archives. En effet, cette notion réservée tout d'abord aux oeuvres d'art classiques, s'est étendue aux chefs-d'oeuvre de toutes les cultures, puis aux grands sites historiques. Son extension aujourd'hui aux archives me paraît doublement importante. Elle signifie d'abord la reconnaissance de la valeur des archives en tant que source privilégiée sur les sociétés humaines. Elle marque ensuite un dépassement de la fonction traditionnelle des archives: arsenal de l'Etat et grenier de l'histoire. Nous avons désormais conscience que les archives d'un peuple, si elles le concernent au premier chef, intéressent aussi tous les peuples et tous les hommes de cette terre, comme autant de témoignages de l'aventure humaine. Aujourd'hui, la disparition d'un fonds d'archives important ne laisserait pas indifférente la conscience universelle. Voilà qui fonde la lutte contre le sous-développement archivistique. Chacun se sentant concerné, une entreprise comme celle du «Guide des sources de l'histoire des nations» est la marque de cette nouvelle dimension de la conscience archivistique. La coopération internationale qui s'est développée d'une façon extraordinaire ces dernières années est la preuve de cet intérêt et la marque de cette nouvelle solidarité.

1. Conservateur à la Direction des Archives de France, Paris

CLOSING SESSION OF CONGRESS SÉANCE DE CLÔTURE DU CONGRÈS

The closing session of the 8th International Congress on Archives took place at the Statler Hilton Hotel, Washington, on 1st October, 1976, at 4 p. m.

SPEECH BY MR. FILIP I. DOLGIH

Past President of the International Council on Archives

During the last few days we have been engaged in active discussions of professional problems with which you are all familiar. I will not recapitulate the discussions you conducted in the Plenary Sessions; but the General Assembly has also met regularly during these last days, and I would like to inform you of its activities.

First: The General Assembly gave a positive evaluation of the activity of the Executive Committee, of the Secretariat, of the regional organizations, of the specialized committees, of the Round Table, of the journal *Archivum*, and of other ICA organizations which I will not list here.

Second: The General Assembly approved a new constitution for our organization, and examined and approved the new statutes concerning dues for ICA members.

Third: The General Assembly approved resolutions concerning the work of the ICA during the last period and for future activity.

Fourth: The General Assembly examined the recommendations of the Eighth Congress, noting that they represent a further development of the recommendations of the Moscow Congress, of the Madrid Congress, and of previous Congresses of our organization. All these recommendations, in my opinion, serve to strengthen the international activity of our Council and the growth of its influence and authority among archivists of all countries; and promoting our cause is very important in the social sense, in the interest of strengthening peace and of social progress.

Fifth: The Assembly adopted the separate resolutions of archivists and governmental organizations of all countries, recommending that an International Archival Week be held in 1977¹. In my opinion, this resolution of the General Assembly will also facilitate raising the level of archival work in all countries of the world, and I ask you all to inform your colleagues about and to prepare for this very important program to be conducted next year. The recommendations which were approved by the Assembly foresee a course of development of the archival revolution on all continents and in all countries of the world.

Sixth: I would like to summarize if I may. I cannot go through all the topics which were discussed by the General Assembly, so I will mention the principal ones. Briefly, the essence of the recommendations of the General Assembly is as follows: archivists of the world should work together more and more; they should strive to enhance the social function of archives, and actively contribute their efforts to the struggle of peoples for a firm peace and the further development of our world.

1. The Executive Committee of ICA decided, at its session in October 1977, to postpone the International Archival Week until 1979.

Seventh: Other activities of the General Assembly can be summarized as follows: it chose a new President, two Vice-presidents, and fourteen members of the Executive Committee for our organization. I will not list the names of all these people; I will note that the new President of our organization is the Archivist of the United States, Dr. Rhoads. His election was unanimous. The Vice-presidents and the new Executive Committee members were also elected unanimously. Allow me on my own behalf, and on behalf of all those here, to congratulate the new President, Vice-presidents, and Executive Committee members; and I would like to extend my special congratulations to Dr. Rhoads.

Finally, before I turn over my authority to the new President, allow me on my own behalf, and on your behalf, to congratulate the Organizing Committee of the Congress – to thank them, and certainly to congratulate them. I would also like to thank the archivists of America for the very warm reception they gave us while we were in Washington; and all of the technical personnel of the Congress, on whom the productive and successful conduct of our Congress so much depended. And in this connection, I would like to extend our special thanks to the interpreters, whose excellent and precise interpreting facilitated the mutual understanding of the archivists of different countries and continents; for language is the most important factor in promoting understanding between peoples.

SPEECH BY DR. JAMES B. RHOADS

Newly elected President of the International Council on Archives

The English poet John Donne reminded us that “No man is an island,” that each of us is “A piece of the continent, a part of the main.” No one knows this as well as we archivists who keep the records of humankind. We see how they interweave. We have come to recognize the unity of human experience. Perhaps this is one of the reasons why there is such a spirit of fraternity in our profession, and in our professional international organization.

It is well that we work so cooperatively together, because our responsibilities as the recordkeepers of the world continue to grow with celerity. As Dr. Borsa of Hungary told us in his paper on “The Expanding Archival Clientele in the Post-World War Two Period,” our time has witnessed an enormous growth in both archival holdings and in the numbers of researchers and other users who utilize those records. This applies to the public and non-public sectors alike. There has been an increasing awareness of the value of the records of institutions such as universities, labor unions, churches and business organizations, as well as in the records of governmental bodies. The expansion of archival holdings generally, and of the numbers of users, has created a climate of rising expectations. Scholars, researchers and even casual users expect easy access to the records which they need. The virtual explosion in documentation and the rising expectations of users have made our responsibilities as archivists heavier than ever before.

My friends, you honor me by electing me President of the International Council on Archives at a time so challenging to our profession. I shall do my best to serve you in the next four years. Any apprehensions which I might have about the responsibilities which you have given to me are assuaged by the knowledge that you have elected other officers and Executive Committee members with talents and experience to share the burdens. There should be enough collective wisdom available to do the job.

There is much to build upon. The past four years under the leadership of Dr. Filip Ivanović Dolgi have been years of accomplishment. Membership has increased significantly and is representative of most parts of the world. The archival development program, with emphasis on Third World countries, is producing results. New regional branches have been established and the Secretariat has been strengthened. The publications program has become more vigorous and useful. ICA has begun to grapple with the revolutionary challenge of the computer. The new dues structure, adopted at this Congress, has placed the International Council on Archives on a sounder, more realistic financial basis.

The record of the years just past has been built by many hands. I could name many names of those who have made significant contributions to the work of the ICA, but will limit my-

self to a few. Our good friend Dr. Dolgi, that vibrant son of Mother Russia, has been supportive of the new programs of ICA and has striven for maximum participation in the Council's deliberations. He has always tried to be fair. We are fortunate that we shall be able to continue to make use of his counsel and advice on the Executive Committee. He is a good friend to us all.

I also wish to single out two men who have handled difficult and complicated matters for the Council. Secretary General Carlos Wyffels of Belgium has labored long and diligently on the thorny problems of constitutional and dues revision. Oscar Gauye of Switzerland has served with efficiency and devotion as Treasurer.

I must also mention the continuing helpfulness of Guy Duboscq of France who has been a stalwart of the Council for so long and who now, regrettably, is leaving the active archival scene. We shall miss him greatly.

The important contributions of our Executive Secretary, Charles Kecskeméti, are also worthy of special thanks. He has performed ably in a busy and sensitive position. He has brought vitality and ability to his work. He has an appreciation of the varying needs of archives in different parts of the world and he exercises with a special skill the requisite diplomacy of his position.

I also would like to pay tribute to two great men of our profession, the late Charles Braibant, who was eloquently eulogized earlier at this Congress, and Ernst Posner, dean of archival scholarship, who was unable to be with us because of advancing age.

I have been looking backward in these brief remarks thus far. Let me now take a few minutes to look ahead. If I were a politician, I might call it my “platform” – although platforms are something that American politicians, at least, are supposed to reveal before, not after, election.

First let me say that I am delighted that this Congress has taken action to place ICA on a sounder financial basis. The dues increase was absolutely necessary for ICA if it is to perform its functions properly at the current level, in a period when inflation has been rampant. It is now up to us all to pay our dues. That constitutes the underpinnings of my platform.

Secondly, I think that we must intensify our efforts to bring even more members into the fold so that no area of the world is without representation. We must seek more members in all categories. In that respect, I have been scrutinizing the lists and see no representative from the continent of Antarctica. Mr. Kecskeméti, you shall have to get busy! Seriously, I think that we must all be emissaries of ICA and promote the broadest possible membership.

Another plank in the “platform” which I think must have a great deal of emphasis in the years immediately ahead involves continuing attention to our Third World archival development program. We must attract all the funds which we can support this vital endeavor.

The future of our publications program is also of great interest to me. I think that we should stress the “how to do it” technical type of publication, which might return only modest revenues to the organization but will help disseminate important archival information throughout the world.

Accessibility to records must also be of great concern to us now and in the years ahead. The proliferation of records has excited rising expectations, as I noted earlier, and we must do all that we can to satisfy the needs of historians and other researchers. In this Bicentennial year of American independence let me quote our George Washington who commented as the Revolution was drawing to a close:

“It appears to me impracticable for the best historiographer living to write a full and correct history of the present revolution who has not free access to the archives of Congress, those of individual states, the papers of the Commander-in-chief, and commanding officers of separate departments.”

George Washington had great archival instincts. And so did Thomas Jefferson whose home in Monticello some of you visited last week.

Shortly after that same war, Jefferson wrote that:

"Time and accident are committing daily havoc on the originals deposited in our public offices: the late war has done the work of centuries in this business: the loss cannot be recovered; but let us save what remains; not by vaults and locks, which fence them from the public eye and use in consigning them to the waste of time, but by such a multiplication of copies as shall place them beyond the reach of accident. . . ."

The important point made by both of these patriots of the American Revolution was that records should not only be preserved, they should be preserved for wide use. They should be accessible. I believe that we archivists should do what we can to promote a liberal, "open door" policy for records in our custody, not only in relation to our own national but to all researchers.

Technology has imposed other demands upon us. As archivists we must learn how to deal more effectively with the burgeoning records of technology, the archives of the physical sciences. Similarly, we must ponder the problems posed to archivists by the ever-increasing use of machine readable records. . . and find solutions which we all can employ.

As a further point in this platform for the next four years, I think we must do everything in our power to develop a closer relationship with UNESCO at all levels so that these two world organizations can work in harness and in harmony. We have a mutual interest in the enhancement of the archives of the world and we must pull in the same direction.

Let me close with heartfelt thanks to all of you for coming to Washington during our Bicentennial Year for the 8th. International Congress on Archives. The number of registrants has been most gratifying. We have exchanged information vital to our profession, discussed varying interpretations, and have even argued now and again. We have worked together and we have socialized together. We have renewed old friendships and have made new friends.

I am glad that you have come. Please visit us again.

RECOMMENDATIONS OF THE 8th INTERNATIONAL CONGRESS ON ARCHIVES

Confirmation of Resolutions and Recommendations made by Previous Congresses

1. The Congress appreciates the follow-up given to the various resolutions and recommendations made by previous Congresses, (namely that of Madrid 1968 and Moscow 1972), and solemnly renews any which may not have been fully implemented.

Archival Research

2. The Congress recommends that national authorities responsible for archives should develop research, teaching and publications relative to archival science and in particular, to scientific management of archives, by means of the appropriate organs and in liaison with universities and scholarly and professional training institutes.

3. Considering the importance of research in the specific terminology of contemporary archivology and bearing in mind the work already carried out in several languages, the Congress recommends the establishment of an International Ad-hoc Committee for the compilation of glossaries.

4. The Congress recommends that the ICA Executive Committee, with the support of the Automation Committee and in cooperation with the greatest possible number of national archive authorities, bring about the study of the development of automated retrieval systems for archival scientific and technical documentation (including research and development reports) both modern and old. This study should also encompass the problems of interconnection and compatibility of computerized archival systems with other operational automated information systems in libraries and documentation centres, including UNISIST.

Personnel Training

5. Recalling that the training of qualified archivists constitutes a fundamental condition for any development of archival service;

taking into account the action undertaken by and under the auspices of UNESCO towards the creation of regional professional centres –

The Congress recommends that the ICA Executive Committee commission responsible ICA organs to promote educational publications adapted to the needs of the various regions.

6. Bearing in mind the great importance of Reprographic Demonstration Centres, particularly for the developing regions,

The Congress recommends that an increased effort be devoted to their establishment, in association with the various regional training centres for archivists.

Coordination among Services for Appraisal and Disposal of Archives

7. Bearing in mind that it is essential that archival administrations be empowered to take or be associated in the making of various basic decisions regarding appraisal and disposal of public records of all kinds, including machine readable records;

RECOMMANDATIONS DU 8^e CONGRÈS INTERNATIONAL DES ARCHIVES

Confirmation des résolutions et recommandations des congrès précédents

1. Le Congrès se réjouit des suites données aux diverses résolutions et recommandations prises lors des précédents congrès, et principalement lors des congrès de Madrid (1968) et de Moscou (1972). Pour autant que chacune de ces résolutions ou recommandations n'ait pas reçu entière satisfaction, il en renouvelle solennellement l'expression.

Recherches archivistiques

2. Le Congrès recommande aux autorités nationales responsables des archives de développer, grâce à des organismes appropriés et en relation avec les universités et les instituts de formation scientifique et professionnelle, la recherche, l'enseignement et les publications relatifs à la science archivistique et en particulier à la gestion scientifique des archives.

3. Considérant l'importance des recherches sur la terminologie spécifique de l'archivistique contemporaine et compte tenu des travaux déjà menés à bien en plusieurs langues, le Congrès recommande la constitution d'un comité international ad hoc, en vue de l'élaboration de glossaires.

4. Le Congrès recommande au Comité exécutif du CIA de mettre à l'étude, en relation avec le Comité d'Informatique et en coopération avec le plus grand nombre possible d'administrations d'archives, le développement des systèmes de repérage automatique pour la documentation scientifique et technique (notamment les rapports de recherche et développement), aussi bien ancienne que récente.

Cette étude devrait aussi s'étendre au problème de l'interconnection et de la compatibilité des systèmes d'archivage automatique avec les autres systèmes opérationnels d'information automatique en usage dans les bibliothèques et les centres de documentation, y compris l'UNISIST.

Formation des personnels

5. Rappelant que la formation d'archivistes qualifiés constitue la condition fondamentale de tout développement des services d'archives, tenant compte de l'action menée par et sous l'égide de l'UNESCO pour la mise en place de centres régionaux de formation professionnelle, le Congrès recommande au Comité exécutif de charger les organismes compétents du CIA de favoriser les publications pédagogiques adaptées aux besoins des différentes régions.

6. Considérant la grande importance des centres de démonstration de reprographie, en particulier pour les régions en voie de développement, le Congrès recommande qu'un effort accru soit consacré à leur mise en place, en association avec les différents centres régionaux de formation des archivistes.

Coordination des services pour le triage et l'élimination des archives

7. Considérant qu'il est particulièrement important que les administrations d'archives soient habilitées à prendre les décisions de principe, ou associées à ces décisions, quant au

considering the administrative and financial advantages of setting-up intermediate record storage systems,
The Congress recommends that archival administrations pay particular attention to the practices of records production and management within the public services.

Private Archives

8. The Congress recommends that ICA integrate the questions of census, conservation and use of private archives into its study program.

Legal Value of Microforms

9. The Congress recommends that, in order to overcome legal obstacles to the further development of archival reprography, a draft international standard recognizing the legal validity of microforms in place of original documents should be prepared by governmental authorities, taking into consideration the analysis and recommendation of the recent UNESCO/ICA study on this subject (COM/75/WS/30).

Oral Traditions

10. The Congress recommends that ICA encourage archival institutions to cooperate in the collection and preservation of oral traditions.

Access to Archives

11. The Congress confirms the recommendations made by the 6th International Congress on Archives, Madrid 1968, concerning liberalization of access to archives for scholarly purposes, notes with satisfaction, the progress made over the previous years, and recommends to the authorities responsible, that their efforts be continued in order to make the maximum number of archival documents accessible to research.

12. Bearing in mind that international concordance in the modes of access to archives is essential to promote liberalization of this access throughout the world, The Congress recommends that national archival administrations harmonize their access rules with those of other countries in order that scholars enjoying free access to documents related to a particular study in one country, may obtain the same facilities to continue research on the complementary documentation conserved in another country.

13. Bearing in mind the considerable historical interest attached to the archives of ecclesiastical and religious institutions.

The Congress urges these institutions to facilitate scholarly access to the archives they conserve and also to promote the drafting of inventories and catalogues in order to allow full use of these archives.

Special Motions

14. Bearing in mind the clauses of the final declaration of the Helsinki Conference on security and cooperation in Europe, the Congress recommends more active use of archival material within the limits of the rules in existence in the different countries with regard to archives, in order to reinforce peace, mutual understanding between peoples and spiritual enrichment of mankind.

15. The Congress extends its sincere thanks and appreciation to the Archivist of the United States and personnel of the U.S. National Archives; to the President and Members of the Society of American Archivists, to the Director of the Congress and to the Organizing Committee, for the warm welcome and excellent working conditions it has been able to enjoy.

trriage et à l'élimination des documents publics, quels qu'en soient les types, y compris pour les formes de documents lisibles par machine, considérant les avantages administratifs et financiers de la mise en place d'un système d'archivage préliminaire, le Congrès recommande aux administrations d'archives de porter spécialement leur attention sur les pratiques de production et de gestion des documents au sein des services publics.

Archives privées

8. Le Congrès recommande que le CIA intègre dans son programme l'étude des problèmes du recensement, de la conservation et de la mise en oeuvre des archives privées.

Valeur légale des microreproductions

9. Le Congrès, afin de surmonter les obstacles mis au développement ultérieur de la reprographie des archives, recommande l'élaboration par les instances gouvernementales – compte tenu des analyses et recommandations publiées dans la récente étude menée sur ce sujet par l'UNESCO et le CIA (doc. COM/75/WS/30) – d'un projet d'accord international sur la valeur juridique des microreproductions.

Traditions orales

10. Le Congrès recommande au CIA d'encourager les institutions d'archives à collaborer à la collecte et à la préservation des traditions orales.

Libéralisation de l'accès aux archives

11. Le Congrès confirme les recommandations faites par le 6^e Congrès international des Archives, tenu à Madrid en 1968, au sujet de la libéralisation de l'accès aux archives à des fins scientifiques, note avec satisfaction les progrès réalisés au cours des dernières années, et recommande aux autorités responsables de poursuivre leurs efforts afin de rendre utilisable pour la recherche le plus grand nombre possible de documents d'archives.

12. Considérant que l'harmonisation internationale des modes d'accès aux archives est essentielle pour promouvoir la libéralisation de cet accès aux archives à travers le monde, le Congrès recommande aux administrations nationales d'archives d'harmoniser leurs modes d'accès avec ceux des autres pays, afin qu'un chercheur ayant libre accès dans un pays aux documents d'archives relatifs à une recherche précise puisse obtenir les mêmes facilités pour accéder à la documentation complémentaire conservée en d'autres pays.

13. Considérant l'intérêt historique considérable des archives des institutions ecclésiastiques et culturelles, le Congrès recommande instamment à ces institutions de faciliter l'accès des chercheurs aux archives qu'elles conservent et de faciliter en outre l'élaboration des inventaires et répertoires qui en permettront la mise en oeuvre.

Motions spéciales

14. Prenant en considération les clauses de l'acte final de la Conférence d'Helsinki sur la sécurité et la coopération en Europe, le Congrès recommande une utilisation encore plus active des matériaux documentaires des archives, afin de renforcer la paix, la compréhension mutuelle entre les peuples et l'enrichissement spirituel de la personnalité humaine, cela dans les limites des règles en vigueur dans chaque pays pour l'utilisation des archives.

15. Le Congrès exprime au peuple et au gouvernement des Etats-Unis d'Amérique, à l'Archiviste des Etats-Unis et au personnel des Archives nationales, à la Présidente et aux membres de la Société des Archivistes Américains, au Directeur du Congrès et au Comité d'Organisation, sa profonde gratitude pour l'accueil chaleureux et les excellentes conditions de travail dont ils l'ont fait bénéficier.

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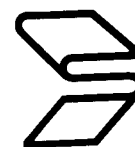
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