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The Impact of the Organizational Culture of Testbeds on the Action Research Case Study Process: Some Preliminary Findings from TEAM Canada

Titolo in lingua italiana

L'impatto della cultura organizzativa negli studi dei casi di InterPARES basati sulla "Action Research": alcuni risultati preliminari del team canadese

Riassunto

La "Action Research" include un insieme di metodologie rigorose che interessano, contemporaneamente, azione e ricerca, attraverso l'uso di dialogo collaborativo, di processi decisionali partecipati, interattivi e fattivi, che comprendono una riflessione democratica e la massima partecipazione e rappresentatività di tutte le parti coinvolte. La "A. R." fa ampio l'uso della metodologia dei casi di studio e della comunicazione diretta e dell'interazione con gli oggetti di studio ("testbeds"), che, nell'attività di ricerca, sono allo stesso tempo soggetto e oggetto della ricerca. Così, nella "A. R.", le organizzazioni oggetto di studio sono partecipanti attivi e parti interessate nel processo di indagine piuttosto che passivi oggetti di ricerca. L'obiettivo di questo approccio altamente interattivo e coinvolgente di ricerca è quello di trasformare nel modo più facile e immediato la ricerca in pratica, in modo da prospettare soluzioni pragmatiche dei problemi del "mondo reale". Di conseguenza, in maniera naturale, la "A. R." crea collaborazione tra i membri della comunità analizzata e i ricercatori in un programma di azione e riflessione mirante al rapido e fattivo cambiamento in positivo di una situazione percepita problematica. Come in ogni impresa collettiva, anche in questo caso, inevitabilmente, ci sono sfide da superare e compromessi da accettare in relazione agli obiettivi individuali e le aspettative di ciascuno dei co-partecipanti.

L'articolo tratta questioni relative all'impatto che le culture organizzative delle entità analizzate dal team canadese di InterPARES 3 hanno avuto sull'abilità dei team di ricerca di sviluppare e implementare piani di conservazione e di offrire consigli alle organizzazioni, agli ambienti accademici e ai settori governativi, sottolineando i tipi di compromessi che le parti coinvolte devono accettare per ottenere risultati soddisfacenti.

Le autrici, che nella fase 3 del progetto InterPARES stanno verificando l'applicabilità dei principi e delle metodologie elaborate nelle fasi 1 e 2, applicano alla sperimentazione sul campo teorie sociologiche e organizzative, che si sono occupate dell'interazione fra struttura e funzione e dell'impatto delle tecnologie sulle organizzazioni. In particolare si rifanno alla teoria sulla strutturazione di Giddens e alla "Adaptive Structuration Theory" (AST), secondo la quale i tre elementi rispettivamente relativi a struttura (organizzazione), funzioni (che possono includere tra l'altro, i processi, i metodi e gli strumenti di gestione dei documenti), e attori (ad esempio, gli utenti di un sistema di archiviazione) si influen-

ziano vicendevolmente. Altri elementi della ricerca fanno riferimento al concetto di “dualità della tecnologia” di Yates e Orlikowski, derivante dalla “dualità della struttura” di Giddens, e alla definizione di cultura organizzativa di Hofstede. I ricercatori di InterPARES 3 sono stati inseriti all’interno delle organizzazioni oggetto di studio per poter condurre le loro osservazioni e approntare le descrizioni necessarie (“Analisi contestuale”, “Analisi diplomatica” e “Modello di attività”), a partire da tre serie di domande: sulle politiche esistenti, sui sistemi di archiviazione e sui documenti. Le descrizioni sono state condotte con il supporto di diagrammi di flusso che documentano ogni passaggio eseguito in modo comparabile con altri casi di studio.

L’articolo illustra i contenuti dell’analisi ed espone i risultati di un triplice caso di studio che ha interessato strutture universitarie tra loro omogenee (identica tipologia giuridica: università; identico campo di attività: settore umanistico; analoghe risorse umane: presenza di archivisti; analoghi, seppur differenziati, problemi archivistici). La sperimentazione ha riguardato la classificazione e conservazione delle e-mail e ha evidenziato l’esigenza di una politica universitaria decisa che non lasci spazio alle iniziative improvvisate ed inesperte dei singoli.

Un altro caso di studio ha coinvolto tre grandi città nella stessa area geografica con archivisti tutti in possesso di lauree in materie archivistiche, ma con differenti politiche di creazione, uso e conservazione dei documenti digitali.

A conclusione delle due analisi, dettagliatamente descritte e commentate, le autrici traggono alcune interessanti conclusioni sull’interazione fra tipologie di documenti, gestione dell’archivio e struttura amministrativa. In questo scenario, l’azione dell’archivista deve puntare al coinvolgimento di tutti gli appartenenti alla struttura nell’uso appropriato delle metodologie di gestione dell’archivio. Auspicano infine che gli interventi formativi siano volti a illustrare non solo le funzionalità dei sistemi di gestione documentarie, ma soprattutto la filosofia generale o “spirito” del funzionamento di tali sistemi di gestione.

Parole chiave

Action reseach; metodologia per gli studi di casi; interazione fra organizzazioni e ricercatori; cultura organizzativa

Abstract

Action research encompasses a set of disciplined methodologies that pursue action and research at the same time through the use of collaborative dialogue, participatory and iterative decision making, inclusive democratic deliberation, and the maximal participation and representation of all relevant parties. Action research makes extensive use of case study methodology and of direct communication and interaction with the subjects of the research (“test-beds”), who are at the same time participants and contributors in the research activity. Thus, under action research, test-bed organizations are active co-participants and stakeholders in the process of inquiry, rather than passive research subjects. The goal of this highly interactive and inclusive research approach is to more readily and immediately transform the research into practical, reflective, pragmatic action directed

toward solving 'real-world' problems. Accordingly, as a matter of course, action research forges collaborations between community members and researchers in a program of action and reflection toward quick and responsive positive change. As with any collaborative venture, there inevitably are challenges to overcome and compromises to be made in relation to the individual goals and expectations of each of the co-participants. This paper will discuss these issues in relation to the impact that the specific organizational cultures of the TEAM Canada test-beds have had on the ability of the case study action research teams to develop and implement preservation plan recommendations in organizations in the academic, and governmental sectors, while highlighting the types of compromises that the co-participants found it necessary to make to achieve worthwhile results.

Keywords

Action research; case study methodology; interaction between community members and researchers; organizational culture

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Background

The InterPARES 3 TEAM selected its primary research methodology, action research, on the basis of the assumption that the type of organizational setting and culture of the organization or unit it would work with to implement InterPARES 1 and 2 findings would have an impact on what can be implemented and how. In other words, whether the test-bed has a hierarchical or flat structure; is writing-based or meeting-based; works following standardized workflows, routine processes and procedures or according to creative processes and unstructured or semi-structured procedures; or is service-oriented or knowledge-oriented matters a great deal to its willingness and ability to make certain choices regarding the management and preservation of its records. This assumption was supported by several sociological and organizational theories that have examined the nature of organizational cultures, the behaviour of people in social contexts, the interaction of structure and function, the impact of technology on organization, etc.

We identified as relevant to our implementation purposes in a variety of organizations Giddens' theory of structuration, and adaptive structuration theory (AST). The former is relevant because of its idea of the mutual interaction between structures (i.e., the organization), functions (which may include, *inter alia*, records management processes, methods and tools) and actors (e.g., the users of a records

system), each factor changing in response to the others¹; and the latter because it draws on the concepts of structuration theory to study the interplay existing between social structures, human action and advanced information technologies (e.g., an electronic records management system: ERMS). Particularly relevant is Orlikowski's concept of "duality of technology", derived from Giddens' "duality of structure", which allows us to see technology (including "records and archival technology") as created and changed by human action (i.e., an outcome) and, at the same time, as a structure that both facilitates and constrains human action (i.e., a medium)². Also useful to InterPARES 3 purposes is Hofstede's definition of organizational culture, the dimensions of national culture he identified and, above all, his categorization of organizational typologies³. We used this understanding to develop the specific action research methodology that guides our case studies.

Action research encompasses a set of disciplined methodologies that pursue action (for example, the preservation of authentic digital records) and research (for example, the impact of technology on the concept of record) at the same time through the use of collaborative dialogue, participatory and iterative decision making, inclusive democratic deliberation, and the maximal participation and representation of all relevant parties. Test-bed organizations are *active* co-participants and stakeholders in the process of inquiry, rather than *passive* research subjects. The goal of this highly interactive and inclusive research approach is to readily and immediately transform the research into

¹ ANTHONY GIDDENS, *The Constitution of Society. Outline of the Theory of Structuration* (Berkeley: University of California Press, 1984).

² WANDA J. ORLIKOWSKI (1992), "The Duality of Technology: Rethinking the Concept of Technology in Organizations," *Organization Science* 3(3): 398-427; JOANNE YATES and WANDA J. ORLIKOWSKI (1992), "Genres of Organizational Communication: A Structural Approach to Studying Communication and Media," *Academy of Management Review* 17: 299-326.

³ GEERT HOFSTEDÉ, *Culture's Consequences. Comparing Values, Behaviors, Institutions, and Organizations across Nations* (Thousand Oaks: Sage Publications, 2001). See the analysis of Hofstede's ideas in GILLIAN OLIVER (2004), "Investigating Information Culture: A Comparative Case Study Research Design and Methods," *Archival Science* 4: 287-314.

practical, reflective, pragmatic action directed toward solving ‘real-world’ problems.

The specific methodology selected to conduct action research is ethnographic in nature. Creators of records, their users, records managers and archivists form a community of practice – **the archival environment** – for which social interaction creates meaning and defines values. The InterPARES researchers place themselves within an archival environment that has identified digital records preservation objectives or issues to **gain the cultural perspective** of those responsible for the records. **Observation** of the environment results in detailed description of the test-bed, its administrative and managerial framework, and the digital entity/ies under study, supported by extensive **interviewing and analysing** of the test-bed’s documents. The descriptions are formalized in a “Contextual Analysis,” a “Diplomatic Analysis,” and an “Activity Model,” while the interviewing results in the answers that the researchers provide to three sets of questions: on the existing policy/ies, record system(s), and records. The analysis of this material by all researchers of the regional, national or multinational TEAM responsible for the case study in question produces action items that are implemented, the outcome of which is reported back to the TEAM. The process continues in an iterative way until the archival environment and all TEAM researchers are satisfied with the solutions found for the identified objective or issue and the case study is completed. The entire process is guided by a case study flowchart, which ensures that all steps are followed in the correct order, and is concluded by a final report. Each document produced in the course of the case study is structured as to form and content on the basis of a template used for all case studies of InterPARES 3, so that the findings can be compared. However, this highly controlled methodology is yielding results that are far from controlled or, as it turns out, controllable, well beyond the expectation of high variability of outcomes that constituted its fundamental tenet.

The already mentioned concept of “duality of technology”⁴ had prepared us to see technology as created and changed by human action (outcome) and, at the same time, as a structure that both facili-

⁴ YATES, ORLIKOWSKI, “The Duality of Technology,” 406.

tates and constraints human action (medium). We also knew that the creation of digital records takes place in a less systematic fashion than that of traditional records, being in most organizations a decentralized process that is often in the hands of people who did not receive a proper administrative education. If it was not for the rules built in the computer technologies that people use for creating their records (e.g., templates that prompt uniformity in records' form, or work flows embedded in records systems), today's 'bad records' would lead to badly performed functions – which may still be the case when those developing information technology tools have no understanding of administrative or archival requirements. This is the reason why our researchers studied the mutual relationships existing among the three components of a structural model: 1) technology (i.e., archival tools and methods); 2) human agents (e.g., archivists and records managers, developers of IT-based recordkeeping systems, users); and 3) institutional properties of organizations, including organizational culture and ideology, control mechanisms, management strategies, as well as external stakeholders' interests, socio-economic conditions, and the legislative and regulatory environment. This study helped us to cope with the unexpected, but did not entirely prepare us for what we found.

We will now discuss a few findings from Canadian case studies without revealing the names of the archival environments.

Case study findings

Three universities wish to develop a general policy for e-mail management that applies across all academic, operational and governance units, excluding at the outset the acquisition of ERMS or other complex and expensive technologies. The universities are public and are located in the same geographical area (thus, they have the same juridical-administrative context) and share fundamental characteristics: they are all research universities in the humanities, social sciences, and applied and pure sciences; they all have a university archives employing more than one archivist and charged with the responsibility for overseeing its respective university's overall records management; and they archivists responsible for records management are all professionals who each holds a graduate degree in arc-

hival science. These characteristics supported the hypothesis that the “archival environment” across the three universities is similar to the point that the same policy might apply to all three universities. In one university, the records creator selected by the archives as a test-bed was a governance unit (hereinafter creator 1); in another, it was the director of a large academic department (hereinafter creator 2); and in the third, it was an operational office (hereinafter creator 3).

Creator 1 had an unstructured e-mail directory with ad hoc-created folders. The researchers undertook the task of applying to it the university’s functional classification linked to a retention and disposition schedule. The cross-walk between the original directory structure and the new system was smooth and the process was fairly quick. Although the number of folders was reduced by about two thirds, the records creator and the other intended users seemed to find easy the use of the new system, also with respect to the records disposition component. As to recordkeeping, the practice of the office is to print all e-mails and save them as paper records, but there is some interest in the idea of converting folders or individual e-mails to text files or to PDF. The TEAM decided that the researchers should develop a model e-mail management policy that recommends the adoption of the same directory of records, allowing each university unit to customize it – according to specific rules – for its particular environment. It was suggested that the policy contain two separate guidelines, one for individuals and one for the business unit, the latter taking more of a business form so that users can easily zero in on the information they need.

Creator 2 does not place his messages into a predetermined folder structure; instead, he relies on keyword searching to retrieve e-mails that he needs to examine or reference. Although he has encountered no problems with keyword searching, one consequence of relying on this strategy is that he rarely deletes any messages other than spam or junk mail. Although he said that he is open to the idea of classifying e-mails and placing them into a folder structure to ensure easier access and better long-term management, he lacks the time to accomplish this feat.

When we suggested that his office staff have more control of his e-mail and how it is managed, he did not oppose the notion but

made it clear that his staff would not be e-mail gatekeepers. In other words, he prefers to maintain a “hands on” approach for responding to and dealing with administrative e-mails, but he would be willing to give the responsibilities for managing “appropriate” messages to his staff. As a possible solution, it was proposed that he forward his messages to a designated member of his office staff, who would appropriately file and manage them. To some extent, this process already occurs, as he forwards or CCs messages to his staff that he deems important enough to be retained. However, this is not a viable option because of the concerns that forwarded messages pose with respect to their authenticity and preservation.

It was decided to prepare e-mail guidelines that do not focus solely on this individual’s own management of his messages but that also are usable by his office staff. Thus, we made the different categories of messages (i.e., executive, routine and ephemeral/personal) as explicit as possible, providing detailed information about their retention periods. If followed, these guidelines should improve the efficiency of e-mail management within the office by increasing the consistency of how e-mails are composed and sorted. To ensure that Creator 2 and his staff understand the different types of e-mails and their related retention periods, a short “cheat sheet” (i.e., *pro memoria*) was developed. After receiving the guidelines, Creator 2 and his staff became unavailable for feedback or follow-up meetings. To revive their interest we developed a “what if” scenario document regarding the management of e-mail. The purpose of this document is to explain the consequences of poor e-mail management and convince any organization or specific departments reading it that the acts of creating, storing and preserving e-mails cannot and should not be overlooked or taken lightly. To date we have received no reaction. The university archives is exploring the possibility of using another academic department as a test-bed, but we have not received expressions of interest as yet. Clearly, academic freedom is extending well beyond the classroom and scholarly environment, regardless of the fact that the records created by academics, especially those who occupy administrative positions, are defined as university records in Canada.

Creator 3 actively participated in the research during the data collection period, but afterwards began to have problems in scheduling

research meetings. The test-bed researchers stopped being collaborative or reliable and, after a while, we learned that they had purchased a non-DoD-compliant shared directory document management application⁵ because it would be user-friendly and “was cheap”. When we offered to help them with configuration and implementation using all of the data we had collected, they responded that they were interested, but we were unsuccessful in making an appointment during the ensuing few months and, consequently, decided that this test-bed is a dead end. Thus, the university archives is currently arranging to work with another operational unit. It appears that, like academic units, operational units are quite independent, believe that they have unique needs that cannot be properly taken care of by a university-wide e-mail policy or guideline, and are suspicious of any offer to help in implementing solutions that they think they have already figured out.

The conclusion of this threefold case study seems to be that a university-wide e-mail policy would be welcomed only by governance offices. However, given the kind of choices that, if let alone, academic and operational departments are willing to make, it is quite urgent that universities develop such a policy and make of it a strict requirement to follow it, not without, however, a reasonable period of training, as will be discussed in the conclusion.

In another example, three cities administrations are trying to get a firm control on their digital records. They also share several key characteristics: they are large cities in the same geographical area (thus, they have the same juridical-administrative context); they have established archives; and the records managers/archivists are all graduates of archival programs. However, the degree of development of these city administrations, with respect to the creation, use and keeping of digital records, is quite different and so is the archival environment, because of the relationship between creators, users and archives.

In one test-bed there is a strong integration between records management and archival functions and the professionals in charge of

⁵ DoD 5015.02 STD (“Desing Criteria Standard for Electronic Records Management Software Applications”) is the ERMS standard issued by the U.S. Department of Defense and approved by the U.S. National Archives and Records Administration (NARA). Its latest version has been published on April 25, 2007 and is available online at <<http://www.dtic.mil/whs/directives/corres/pdf/501502std.pdf>>.

both share the same educational background and tend to work together. As a consequence, they also tend to involve in their work IT personnel and administrators and expert consultants, so the archival environment is broader than we envisioned at the outset. This test-bed is at the same time eager to work with us and be involved at the highest level in the research development, providing more input and critical analysis of proposed solutions than the other two test-beds. This is also a test-bed that, having already developed an ERMS (still in the prototyping phase), thinks in terms of its integration with a records preservation system capable of ingesting not only the city records but also the private archives of individuals and organizations that are acquired by the city. Its archival environment has a holistic approach to the relationship among structure, human agents and technology and is open to modifications in all three areas; thus, the research group is going to do a walk-through of the city procedures with the InterPARES 2 Chain of Preservation model.

In the second test-bed, although the city administration has a relationship of trust with the archives, it is neither ready yet for an ERMS, nor for a city-wide policy for born digital records. The responsibility for records maintenance is divided between the departments and their staff, which take care of the paper records, and the Information Technology department, which maintains the servers on which the digital records reside. Employees do not rely on or use any formal maintenance strategies to maintain their records. As such, the records are kept in various locations and, although the original documents are typically created electronically, employees print nearly all their records. When the digital document is no longer being amended, the digital copy of the document is placed in a folder on the city's local area network (LAN). This digital "copy" is considered by most staff primarily as a "backup" and thus not subject to the retention and disposal rules that are applied to paper records. Digital documents are generally kept for an indefinite period of time and are only rarely deleted or cleaned up.

The city does not have a corporate records management policy that applies to all departments. To preserve the active or semi-active records, the IT Division has implemented Symantec Enterprise Vault (SEV). The archivist hopes to start an action plan aimed at the development of a city-wide electronic records policy from the bottom up;

that is, by using as test-bed the large amount of legacy files that has accumulated over the years outside the LAN but whose relationship to paper records has as yet to be explored. As the archives “provides services to ensure proper management and control of all civic records”, it is expected that the archivist will have the authority and the capacity to ensure proper creation, use and maintenance of active and semi-active digital records; thus, at this time, he very much represents the entire archival environment of the city in our research. Clearly, there is a disjunction here among administrative structure, records/archives agents and technology and the research group must aim to build up relationships and foster some form of integration.

In the third test-bed the archives has, for all intents and purposes, no interaction with the city. It receives city records if and when they are sent by the city. The city records manager believes that all city records are permanently active, although records that are not continually used are sent to a records center. The city has acquired an Enterprise Content Management System and wishes to migrate the records it holds in its many servers to the new system. However, it needs procedures for the identification and appraisal of the records and for their migration. The archival environment is constituted of the records manager, the IT professional and the city business analyst. The academic researchers’ proposal to involve the archivist in the development of the procedures, especially as it regards appraisal, has been received less than enthusiastically, but the city managers and the archival environment are very eager to participate in the research and trust our guidance implicitly. This means that there is a less than equal relationship between the academic researchers and the professional researchers and this situation needs to be corrected. Also, it is important to foster the development of a relationship of trust and ongoing interaction between the archival environment and the archivist and ensure that the technology will be implemented in such a way that the administrative structure will support collaboration.

Clearly these three test-beds not only need different policies, but must select different routes to achieve their purposes, not only in terms of implementation, but also in terms of research methodology and of the way in which all members of the research group work together and develop both structure and technology.

Discussion and Conclusion

When developing or using digital technologies, archival environments are conditioned not only by the institutional properties of their organizations, but also by the structural properties of records and archives management, the purpose for which the technologies are used. Through their development and use of technologies, these environments act upon both types of properties, either reinforcing or transforming them.

By focusing on human agents and on the consequences of their ‘appropriation’ actions (i.e, the ways in which technologies adopted and adapted by their users), we confirm the great importance of archival knowledge. To make it possible that the principles of archival science are reaffirmed and, by being produced and reproduced over time in the same way in any use and/or instantiation of digital records technology, become part of the institutional properties of an organization, it is crucial for archivists, creators and users to be “knowledgeable and reflexive”⁶.

As AST researchers have proven, developing, learning and teaching how to use the structural features of an application or a system is important, but even more important is learning the ‘spirit’ behind those features. Users who are not acquainted with archival principles and methodologies may – intentionally or unintentionally – appropriate, for example, a function-based classification system “unfaithfully” (e.g., by naming files according to subjects) more easily than records professionals. The “members’ degree of knowledge and experience with the structures embedded in the technology”⁷ is actually one of the factors influencing how a group appropriates a given technology. Nevertheless, traditional tools are usually quite ‘structured’ and this should be enough to ensure that, to a certain extent, groups use, adapt and reproduce the system consistently and ‘faithfully.’ On the contrary, with digital tools, like e-mail applications and ERMSs, which are mostly developed by IT experts outside the organizations that will use them and often without consulting archival profession-

⁶ YATES, ORLIKOWSKI, *ibidem*.

⁷ GERARDINE DESANCTIS and MARSHALL S. POOLE (1994), “Capturing the Complexity in Advanced Technology Use: Adaptive Structuration Theory,” *Organization Science* 5(2): 130.

als, ‘unfaithful’ appropriations are likely to happen more frequently. In cases where the features and spirit of an e-mail directory and retention schedule or of an ERMS do not reflect correctly archival theory and methodology, users that are “knowledgeable and reflexive” may try to adapt the system features to their understanding of records/archives.

The degree of “interpretive flexibility”⁸ of any technology is another variable that should be considered when evaluating how groups appropriate available structures. Should the structural features of the system be inflexible or should users perceive the system as a ‘black box,’ then rigid and routinized views of, and interactions with, such technology will develop. However, if the system additionally is unsatisfactory, an extreme possibility may occur: its rejection. An “avoidance behaviour” or “sabotage”⁹ is expected particularly when users are records professionals.

With reference to the spirit of a technology, it often happens that the training for users of applications and systems “emphasizes details of use rather than general philosophy”¹⁰. Consequently, even an application or system that correctly embeds some of the structural properties of archival science may easily be appropriated unfaithfully. One of the findings of AST research is that the moment of the launch of a new system is very critical for its success, as in the beginning the interpretive flexibility of the system is higher and its spirit more vulnerable. The time factor is therefore another variable to be taken into consideration when studying how technology is appropriated as well as how organizational change occurs, and we must be very careful in respecting these variables in our case studies.

In addition, we realized that we must pay more attention to knowledge management literature. The truly new insight offered by such literature is that the organizational knowledge that constitutes “core competency” is more than *know-what* (i.e., explicit knowledge that may be shared by several users). A core competency requires the

⁸ ORLIKOWSKI, “The Duality of Technology,” 408.

⁹ *Ibidem*.

¹⁰ ALAN R. DENNIS and MONICA J. GARFIELD (2003), “The Adoption and Use of GSS in Project Teams: Toward More Participative Processes and Outcomes,” *MIS Quarterly* 27(2): 304.

more elusive *know-how*, which is “the particular ability to put know-what into practice”¹¹. Fostering this more complex form of organizational capital should be the focus of our case studies. However, decision makers in at least two of the mentioned test-beds may favour the explicit knowledge that is incorporated in organizational artifacts like processes, structures, documents and technologies, at the expense of contradictory tacit knowledge, for the reason that the former is viewed as more legitimized by virtue of being recorded. Such a position is actually often taken, despite the fact that the institutionalization of knowledge may result in a rigidity and inflexibility that would hinder, rather than improve, an organization’s performance.

Partially as a consequence of this kind of managerial decision, it has been common to design systems primarily focused on the codified, explicit organizational knowledge. Management reporting systems, decision support systems and ERMSs, are all focused on the identification, collection and dissemination of this knowledge type. It has become evident through the action research conducted so far that the outcome of our efforts will be successful only if we are able, on the one hand, to make the creators and users understand the spirit of what we recommend and, on the other hand, if the research group is able to incorporate into it the outlook and way of working of those whom it intends to serve.

Luciana Duranti* – Fiorella Foscarini**

¹¹ JOHN SEELY BROWN and PAUL DUGUID (1998), “Organizing Knowledge,” *California Management Review* 40(3): 91.

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An Alliance for Appraisal: Recordkeepers and Archivists in the U.K. Grigg System

Titolo in lingua italiana

Un'alleanza per la valutazione: gestori di documenti e archivisti nel sistema britannico Grigg

Riassunto

Il processo di valutazione consente all'organizzazione produttrice di analizzare i documenti, il loro periodo di conservazione e la loro destinazione finale. La valutazione è condotta generalmente dai produttori, ma anche da archivisti che abbiano ricevuto in custodia documenti archivistici non adeguatamente valutati dai produttori. L'ottica dei produttori è di natura legale; quella degli archivisti invece tiene conto delle istanze sociali di conservazione della memoria. L'a. cita le soluzioni statunitense e canadese e si sofferma sul sistema britannico, nel quale la creazione del PRO (Public Record Office) nel 1838, dopo molti anni di discussioni, ha costituito una soluzione per la corretta conservazione a lungo termine dei documenti prodotti dal Ministero delle finanze e dalla Cancelleria da parte di un'istituzione archivistica. In seguito il PRO ha svolto questa funzione per altri ministeri e ha dovuto affrontare il problema della distruzione dei documenti considerati superflui, sul quale gli archivisti hanno a lungo dibattuto. In particolare sir Hilary Jenkinson, preoccupato che qualsiasi distruzione di documenti potesse comprometterne il mantenimento di autenticità e imparzialità, richiamava la necessità di una rigorosa valutazione per non compromettere, con la distruzione di alcuni documenti, il valore dei restanti. Metteva quindi in guardia contro le distruzioni operate dai produttori con ottica esclusivamente giuridica. Luciana Duranti ha evidenziato come i produttori sostituiscano bozze, appunti e documenti preparatori con documenti riassuntivi. I dubbi, espressi circa trent'anni fa da Felix Hull circa la capacità dei produttori di eliminare oculatamente i documenti, possono essere giustificati, se si pensa alla massa documentaria prodotta in epoca contemporanea e alla caduta di cultura amministrativa e di sensibilità storica nei produttori. Ci si è quindi chiesti a chi spettasse il compito di effettuare la valutazione in modo non soggettivo: ai produttori o agli archivisti? La risposta britannica al dilemma è stata un compromesso: il Public Record Act del 1958, frutto delle conclusioni del Grigg Report del 1954, attua un sistema in cui sia il produttore sia l'archivista sono implicati nella valutazione e le decisioni sono prese su

considerazioni sia amministrative sia storiche. Il sistema prevede una prima valutazione dei documenti, condotta con ottica amministrativa, 5 anni dopo la conclusione del procedimento da parte del produttore, con la consulenza dell'archivista (i documenti ritenuti superflui vengono distrutti), e una seconda valutazione 25 anni dopo, effettuata dall'archivista con ottica storica (i documenti ritenuti meritevoli di conservazione vengono trasferiti negli archivi; i restanti distrutti). L'imparzialità e l'oggettività sono i criteri ispiratori del sistema Grigg, tuttora vigente e analizzato da Michael Cook, James Collett-White e Kevin Ward, che si sono occupati questi ultimi di scarto di cartelle cliniche di malati mentali. Il sistema Grigg ha affrontato alcuni momenti di crisi (ad esempio, nel 1977 quando il PRO fu accusato di aver scartato troppo materiale, ma in seguito un'inchiesta riconobbe la correttezza del suo intervento) e alcune critiche; ma si rivela tuttora valido perché fondato su solide basi teoriche. Nel 2000 un provvedimento governativo ha affermato un principio significativo, anche per gli archivi digitali: l'archivio storico di conservazione permanente può essere solo parte del tutto, nel senso che molti dei documenti correnti non meritano di essere conservati dopo la conclusione del procedimento amministrativo. Nel 2004 il sistema Grigg è stato revisionato e si è rivelato adatto anche per i documenti digitali e per gli archivi ibridi. Sono state emanate linee-guida, aggiornate nel 2007, con la previsione di ulteriore aggiornamento nel 2012. Sally McInnes, a proposito della natura dei documenti elettronici, sottolinea l'esigenza di coinvolgere l'archivista nel processo di produzione dei documenti e anche nella fase di progettazione del sistema. Tutto questo può avvenire nel contesto del sistema Grigg, come ha sottolineato nel 2008 Natalie Ceeney, purché si prenda coscienza delle caratteristiche dei documenti digitali e si comprendano correttamente le prescrizioni del sistema Grigg, che l'a. dell'articolo ritiene esportabile anche nella realtà canadese.

Parole chiave

Selezione; gestione di documenti archivistici

Abstract

Appraisal is the process of analysing records and determining their retention period and final destination. The public archives tradition in Britain began with the creation of the Public Record Office (PRO) which was legislated by the Public Record Office Act of 1838. Once the PRO was established, other departments transferred their older records to it, and this process was formalized in 1852 when the Master of the Rolls was given charge of the PRO. Departments transferred, or did not transfer,

records to the PRO at their own initiative. The archives simply accepted whichever records came to it as it had no authority to seek out or appraise them. In the early 1900s Sir Hilary Jenkinson questioned this situation because he believed that such unplanned destruction and preservation would diminish the archival nature of the remaining records. Creators are faced with the problem of storing (both physically and digitally) legacy records which they may or may not need. Archives, instead of receiving the carefully condensed records envisioned by Jenkinson, are facing thousands of transfers which may or may not involve records worth retaining; Hull agreed that record creators are perfectly capable of weeding out day to day documents of little value, but questioned how qualified they are to make decisions regarding long term value. Indeed, there is little reason for a busy administration to concern itself with such questions. The British answer to the dilemma had been a compromise: the 1958 Public Record Act implemented a system whereby both creator and archivist are involved in appraisal and decisions are made based upon both administrative and historical value. The Public Record Act of 1958 resolved any ambiguities regarding public records, and the process of their disposition. The Grigg Report, although heavily influenced by Jenkinson's ideas, acknowledged that leaving the responsibility of appraisal with the creators was not feasible because they had little concern for future historical use. The Act legislated that public records must be dealt with within thirty years of their closure and introduced a two-tiered review process for their selection. A first review of the records is conducted within five years after the closure of the records and by an agent of the creator in consultation with an archivist. This review is to be based upon administrative value. Any records the creator no longer needs are to be destroyed. However, the archivist may intervene if s/he judges that any of these records are worthy of further historical consideration. A second review on the remaining records is conducted twenty-five years later by an archivist in consultation with an agent of the creator. This appraisal is to be based upon a judgement of the historical value of the records. Those that are judged to be valuable for historical use are transferred to the archives and the rest are destroyed. The important principle of this process is that both creator and archivist must be involved in selection so that the appraisal will not become solely based on either administrative or historical interests but both. In this way, the impartiality of the records will be respected. The Grigg system has weathered some criticism however. In 1977, the PRO was accused of wanton destruction of public records of historical significance; however, in 1981 the committee concluded in the Wilson Report that the Grigg system was "based on thor-

oughly pragmatic concepts” and that the problems were due to bureaucratic lethargy rather than any underlying theoretical issues. This lethargy included a lack of understanding of the importance of record keeping and a lack of authority on the part of the PRO. The Grigg system is successful because it can adapt to change: this is because, at its core, the system is founded upon theoretically sound principles based upon the nature of records. In 2004, the National Archives conducted a review of the Grigg system to determine its efficacy to date but also to evaluate it in consideration of electronic records. The review was timely because the Modernising Government initiative was to be in place by 2005. One of the concerns is that records which should be preserved need to be identified as early as possible or there is risk that they will not survive long enough to be appraised. The archive sector has already changed profoundly in response to the digital age. Natalie Ceeney asks: should archivists try to fix what is not working within the system or start again with a different approach? She believes a possible solution can be found with the Records Continuum ideas of Frank Upward and the importance of deciding a records long term value at the point of creation. There seems to be a fundamental misunderstanding of the Grigg Report implicit in assumptions about its relevance to electronic records. For instance, the time line of the first review process is not fixed. It is the Jenkinsonian understanding of the record and the strength of the Grigg system that give British appraisal its cohesiveness. Electronic records are different from paper records but the fundamental nature of the record as identified by Jenkinson still holds. There is no doubt that electronic records are challenging appraisal methods but the two tiered system of the Grigg Report, involving both creator and archivist should be up to the challenge.

Keywords

Appraisal; Recordkeeping system

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Appraisal is the process of analysing records and determining their retention period and final destination. Appraisal is carried out by the records creator in the course of their management by scheduling timelines for retention and disposition. It is also done by archivists when records are offered to and received by an archives. Re-appraisal may occur when archivists re-assess records which are al-

ready part of the holdings of their archives; however this should not be an issue if appraisal is done correctly in the first place.

Appraisal through scheduling is relatively straightforward as an organization must only concern itself with selecting those records needed to fulfill its administrative requirements and legal responsibilities. However, retention and disposition schedules do not necessarily consider long term preservation. Appraisal conducted by an archives, instead, is a thorny issue, as the basis for the decision is no longer what records are required for carrying out the creators' activities but rather what the mandate or mission of the archives is. This can range from documenting the history of the parent organization to representing society and keeping governments accountable. Theories and methods supporting the making of this evaluation have been proposed since the late nineteenth century. In the twentieth century, appraisal was complicated by the explosion of documents created by large bureaucracies using increasingly sophisticated technologies. Solutions have ranged from general approaches (e.g., macro-appraisal in Canada) to the specific (e.g., the Minnesota Method in the United States). Britain has wrestled with the same appraisal issues, but with a fraction of the tempestuousness of North America and the rest of the western world. As noted by Jane Turner, «[T]raditions of appraisal in England ... are remarkably cohesive»¹.

The public archives tradition in Britain began with the creation of the Public Record Office (PRO) which was legislated by the Public Record Office Act of 1838. The Act was the result of several years of committee's work and attempts to come up with a solution for the proper storage of, and convenient access to, the records of the Exchequer and Chancery. Turner states that the 1838 PRO Act «was passed to provide unified control and better public access to the legal records of the government»². Once the PRO was established, other departments transferred their older records to it, and this process was formalized in 1852 when the Master of the Rolls was given charge of the PRO. Departments transferred, or did not transfer, records to the PRO at their own initiative. The archives simply accepted whichever

¹ JANE TURNER, "A Study of the Theory of Appraisal for Selection" (M.A.S. diss., University of British Columbia, 1992), 57.

² TURNER, "A Study of the Theory of Appraisal for Selection", 59.

records came to it as it had no authority to seek out or appraise them³. An early draft of the Act had a section which allowed for the destruction of documents which were deemed worthless⁴. However, this was not in the final version of the Act and it was a problem because archivists had no control over what came to the archives. There were repeated but unsuccessful calls for archivists to destroy “useless” records held in the archives⁵. As noted by Jane Turner «they considered the records in their holdings as a valuable national resource, which, because of the value of records to a democratic society, required legal authority before destruction could be accomplished»⁶. Turner observes that there was no appraisal angst at this time as «the process of identifying value was a self-evident and straightforward exercise»⁷. In the early 1900s Sir Hilary Jenkinson questioned this situation because he believed that such unplanned destruction and preservation would diminish the archival nature of the remaining records⁸.

Sir Hilary Jenkinson was one of the foremost thinkers in archival theory. His ideas are the backbone of the British tradition and are still influential throughout the archival world. He grounded his appraisal theory on a complex understanding of what a record is and what makes archives different from artificial collections. As Reto Tschan observed:

«The task that Jenkinson set for himself, was to study the nature and characteristics of archival documents in order to come to some fundamental understanding of archival principles that could, in turn, guide the creation of the archives of the present and the future. In his definition of archives, Jenkinson stressed their custodial history, their organic structure, and their accumulation through natural processes»⁹.

³ JOHN CANTWELL. “The 1838 Public Record Office Act and its Aftermath: A New Perspective.” *Journal of the Society of Archivists* 7, no. 5 (1984): 285.

⁴ CANTWELL. “The 1838 Public Record Office Act and its Aftermath: A New Perspective,” 279-280. JANE TURNER, “A Study of the Theory of Appraisal for Selection”, 60.

⁵ TURNER, “A Study of the Theory of Appraisal for Selection”, 62.

⁶ *Ibidem*, 62.

⁷ *Ibidem*, 63.

⁸ *Ibidem*, 63.

⁹ RETO TSCHAN. “A Comparison of Jenkinson and Schellenberg on Appraisal”. *The American Archivist* 65 (2002), 177-178.

A record is produced and used in the course of everyday activity and is set aside for the future reference of the creator. Jenkinson believed that an important aspect of the impartiality of a record was the fact that it was not «drawn up in the interest of or for the information of Posterity»¹⁰. Even though the record is intended to be useful in the future, this use is purely for the activities of the creator. As impartiality and authenticity are created within administrative structure, Jenkinson believed «that the administrator's need of accurate information guarantees the custody and safekeeping of authentic documents»¹¹.

Jenkinson believed that it is these qualities which give archives their value and «... any alteration or destruction of records resulted in both a diminution of their integrity and of their value as impartial evidence of the past»¹². It was this concept of archives «that consistently led him to deny the archivist an active role in the selection of archives or to sanction the destruction of archives after their receipt into archival custody»¹³. Instead, Jenkinson believed that the creator should produce records which are worthy of archival retention. Luciana Duranti describes the process as «selection embedded in routine and procedure, by which summary documents gradually superseded the detailed ones, and complete documents superseded notes and sketches. No evaluation was involved, and therefore no appraisal»¹⁴. Jenkinson maintained that any decisions by the creator to destroy records it no longer needed were made for practical reasons and, while historical hindsight may regret the loss of these records, the reason behind the action could not be faulted. However, decisions to destroy based on some subjective valuation can be faulted¹⁵.

Unfortunately, the onslaught of records created in the twentieth century, combined with the general decline of record creating skills,

¹⁰ HILARY JENKINSON. *A Manual of Archive Administration*. (London: Percy Lund, Humphries & Co., 1965), 11.

¹¹ TURNER, "A Study of the Theory of Appraisal for Selection", 66.

¹² TSCHAN. "A Comparison of Jenkinson and Schellenberg on Appraisal", 178.

¹³ *Ibidem*, 179.

¹⁴ LUCIANA DURANTI, "The Concept of Appraisal and Archival Theory". *American Archivist* 57 (1994), 332.

¹⁵ JENKINSON. *A Manual of Archive Administration*, 149.

means that there are more documents of questionable worth being created than ever before. With organizational downsizing there has been a loss of record keeping culture as jobs relating to record keeping have disappeared and employees have become solely responsible for their own records. Creators are faced with the problem of storing (both physically and digitally) legacy records which they may or may not need. Archives, instead of receiving the carefully condensed records envisioned by Jenkinson, are facing thousands of transfers which may or may not involve records worth retaining. Almost thirty years ago, Felix Hull already stated:

«Rightly or wrongly we have come to see that the sheer bulk of contemporary and near-contemporary documentation is greater than can be retained either for the purposes of government or for the use of research. It follows, therefore, that at some future time the destruction of a proportion of these papers will be agreed and that by the very term appraisal we imply destruction»¹⁶.

Clearly, something needed to be done and the questions that needed to be answered were first, how to do appraisal and second, who was to make the decision. Was the onus to be placed upon the creator as Jenkinson believed? Or should archivists take on the responsibility as they had been wanting to since the PRO was established? The difficulty, as outlined by Hull, was in making a decision that is not solely based on «subjective judgements or special personal pressures». He agreed that record creators are perfectly capable of weeding out day to day documents of little value, but questioned how qualified they are to make decisions regarding long term value¹⁷. Indeed, there is little reason for a busy administration to concern itself with such questions. The British answer to the dilemma had been a compromise. The 1958 Public Record Act implemented a system whereby both creator and archivist are involved in appraisal and decisions are made based upon both administrative and historical value.

In 1956, the American archivist T.R. Schellenberg had published his book *Modern Archives: Principles and Techniques*, in which he outlined an appraisal policy which was meant to address the problems of mass

¹⁶ FELIX HULL, “The Appraisal of Documents: Problems and Pitfalls”. *Journal of the Society of Archivists* 6 (1980), 287.

¹⁷ *Ibidem*, 288-289.

record production. Unlike Jenkinson, he saw no problem with selecting records for their historical value and he believed that archivists were uniquely qualified to do it¹⁸. Hull endorsed this opinion, «[T]he archivist stands in a central position between the administration and the scholar. It is his duty to be familiar with the needs of each and to determine the future of records under his care in consultation with each»¹⁹. W. Kaye Lamb in Canada agreed, stating that «only the archivist and his staff and advisers can judge the long-term value of many items. To exercise that judgement intelligently, reasonably, and with common sense, will tax anyone's time, knowledge and patience to the limit. But the importance of doing one's best is vital, for the quality of the archives collection of the future will depend in part upon it»²⁰. According to British archivists Michael Roper and Helen Mercer, when the 1958 Act was legislated, Schellenberg's ideas were adapted to help British archivists make appraisal decisions²¹.

The Public Record Act of 1958 resolved any ambiguities regarding public records, and the process of their disposition. It was based upon the 1954 *Report of the Committee on Departmental Records*, known as the Grigg Report, and the system developed by the Act is known as the Grigg system. The Grigg Report, although heavily influenced by Jenkinson's ideas²², acknowledged that leaving the responsibility of appraisal with the creators was not feasible because they had little concern for future historical use. Before the Act, appraisal was piecemeal, either too much material was sent to the archives, too little or none at all. In addition, some of the records that were sent to

¹⁸ THEODORE R. SCHELLENBERG, *Modern Archives: Principles and Techniques*. (Chicago: University of Chicago Press, 1956), 46. RETO TSCHAN. "A Comparison of Jenkinson and Schellenberg on Appraisal", 186.

¹⁹ HULL, "The Appraisal of Documents: Problems and Pitfalls", 291.

²⁰ WILLIAM KAYE LAMB, "The Fine Art of Destruction." In A.E.J. Hollaender, ed. *Essays in Memory of Sir Hilary Jenkinson*. (Chichester, Sussex, Moore and Tillyer, 1962), 56.

²¹ HELEN MERCER, "Background Paper – The 'Grigg system' and Beyond". <http://www.nationalarchives.gov.uk/documents/background_appraisal.pdf> March 2004 [accessed April 1, 2009], 2. MICHAEL ROPER, "Archival Standards: constraint or catalyst." *Journal of the Society of Archivists* 13, no. 2 (1992), 109.

²² Great Britain. Parliament. *Report of the Committee on Departmental Records*. Cmnd. 9163. (London: HMSO, 1954), 7.

the archives were not worthy for long term preservation²³. The Act legislated that public records must be dealt with within thirty years of their closure and introduced a two-tiered review process for their selection.

This two-tiered process calls for the involvement of both the record's creators and archivists. A first review of the records is conducted within five years after the closure of the records and by an agent of the creator in consultation with an archivist. This review is to be based upon administrative value. Any records the creator no longer needs are to be destroyed. However, the archivist may intervene if s/he judges that any of these records are worthy of further historical consideration. A second review on the remaining records is conducted twenty-five years later by an archivist in consultation with an agent of the creator. This appraisal is to be based upon a judgement of the historical value of the records. Those that are judged to be valuable for historical use are transferred to the archives and the rest are destroyed²⁴. The important principle of this process is that both creator and archivist must be involved in selection so that the appraisal will not become solely based on either administrative or historical interests but both. In this way, the impartiality of the records will be respected. As Duranti observed:

«This point of high principle, that selection should be impartial, constituted the foundation of the entire system set up by the Grigg Committee and ultimately by the English public records acts. The English appraisal methodology, in perfect harmony with archival theory, relied on the assumption that there is a close relationship between continuing administrative relevance and continuing research significance. And therefore there is affinity between the purposes of creators (or their legitimate successors) and of archivists»²⁵.

The second review is a further check for useful records and the bulk reduced during the first review makes this endeavour manage-

²³ TURNER, "A Study of the Theory of Appraisal for Selection", 79.

²⁴ MICHAEL COOK. *Archives Administration*. (London: Headley Brothers Ltd., 1977), 64-65. Great Britain. Parliament. *Report of the Committee on Departmental Records*, 80. HELEN MERCER, "Background Paper – The 'Grigg system' and Beyond" <http://www.nationalarchives.gov.uk/documents/background_appraisal.pdf> , 2.

²⁵ DURANTI, "The Concept of Appraisal and Archival Theory", 337.

able²⁶. This process of two reviews is still in force. As noted by Turner, British archivists associate historical value with a broad spectrum of research interests. For the second review, the now National Archives (formerly the PRO) has developed guidelines which stress that the archivist needs to understand the context of a record's creation and use as well as its actual or potential research value as this is grounded upon that context²⁷. Michael Cook notes that, while the final decision is made by the archivists, the appraisal is not done in isolation. An appraising archivist must be aware of how appraisal is done in similar situations and if necessary, an expert in the creator's field must be consulted²⁸. Archivists and creators work together to preserve the documentary heritage of the government.

This philosophy can be seen in practice in the article written by James Collett-White and Kevin Ward about the Bedfordshire Record Office which had to deal with a backlog of mental hospital patient case files. This is an example of how an office outside of the jurisdiction of the Public Records Act used the Grigg system to solve a backlog problem and set in place ongoing records management. The backlogged records were appraised by a committee composed of a PRO liaison officer, administrators from the hospital and experts from the field. As described by Collett-White and Ward, the «mechanics of the operation were straightforward and typical of any procedure for devising appraisal criteria. Other work on the subject was identified and the opinions of experts working in the field were canvassed»²⁹. The working group «... examined the relative bulk, format and content of the case files over time to identify trends and representative files for detailed analysis. A series of files was selected to represent the changing trends in the developing series and subjected to detailed scrutiny by all members of the group. The potential historical value of the material was analysed and a policy document was

²⁶ TURNER, "A Study of the Theory of Appraisal for Selection", 84.

²⁷ COOK. *Archives Administration*, 76.

Helen Mercer, "Background Paper – The 'Grigg system' and Beyond". <http://www.nationalarchives.gov.uk/documents/background_appraisal.pdf>, 3.

²⁸ COOK. *Archives Administration*, 61.

²⁹ JAMES COLLETT-WHITE and KEVIN WARD, "Appraisal of Mental Hospital Patient Case Files: the Bedfordshire Record Office Experience." *Journal of the Society of Archivists* 15 no. 2 (1994), 182.

subsequently drafted»³⁰. It was decided that, due to the backlog and the age of the records, administrative value would not be considered for this project, but it was to be built into the policy for future records management³¹. This is an interesting example of the application of the Grigg system.

The Grigg system has weathered some criticism however. In 1977, the PRO was accused of wanton destruction of public records of historical significance. The story caught the attention of the public and there was a general outcry such that the Wilson Committee was formed to look into the accusation³². In 1981 the committee concluded in the Wilson Report that the Grigg system was «based on thoroughly pragmatic concepts» and that the problems were due to bureaucratic lethargy rather than any underlying theoretical issues. This lethargy included a lack of understanding of the importance of record keeping and a lack of authority on the part of the PRO³³. Also part of the problem was departmental shuffling and amalgamation. As the head of the committee, Duncan Wilson, noted, «[P]roblems of overlap and uniformity in record-keeping were likely at best to be very great and at worst to cause total chaos for quite a time»³⁴. The report found nothing wrong with the foundation of the Grigg system; however, due to «administrative erosion over more than twenty years», as well as the new issues brought about by computers, the system could use «re-jigging to ensure more effective execution»³⁵. The committee found that, while there had been regrettable losses, such as the records which caused the uproar, the system itself was sound. This report can be seen as a confirmation of Jenkinson's contention that appraisal based on administrative value may lead to loss of some historically valuable records but that the reasoning behind the decision could not be criticized.³⁶ The Wilson Report found that the Grigg system worked despite the pressures of the increased bulk of

³⁰ *Ibidem*, 182.

³¹ *Ibidem*, 183.

³² DUNCAN WILSON. "Public Records: the Wilson Report and the White Paper". *The Historical Journal* 25, no. 4 (1982), 985.

³³ *Ibidem*, 986.

³⁴ *Ibidem*, 987.

³⁵ *Ibidem*, 987.

³⁶ JENKINSON. *A Manual of Archive Administration*, 149.

documents being produced and the new issue of machine-readable records³⁷.

A governmental policy on archives was published in the *Journal of the Society of Archivists* in 2000 because of the pending creation of the Museums, Libraries and Archives Council in April of that year. The policy is an expression of how the government envisioned the the new National Archives serving both government and citizens within this new framework. The government was also implementing its Modernising Government initiative, which aimed to have all new governmental records created and stored digitally³⁸. The policy reiterates traditional archival practice as per the Grigg system and states this practice is adapting to the digital world. It also highlights the opportunities for “cross-sectoral” collaboration³⁹. With regards to appraisal the policy states:

The permanent historical archive can only be – should only be – part of the whole: many current records do not merit preservation once their business purpose has passed. The selection of the permanent record is a demanding task which should be conducted according to clear policies which, wherever possible, should be publicly available. Selection activities should be integrated with current records management to ensure that action is taken sufficiently early to ensure that the appropriate records are identified for permanent preservation⁴⁰.

The Grigg system has been criticized but is successful because it can adapt to change. As noted by the Wilson Report, this is because, at its core, the system is founded upon theoretically sound principles based upon the nature of records. In 2004, the National Archives conducted a review of the Grigg system to determine its efficacy to date but also to evaluate it in consideration of electronic records⁴¹. The review was timely because the Modernising Government initiative was to be in place by 2005. Helen Mercer wrote a paper on the

³⁷ TURNER, “A Study of the Theory of Appraisal for Selection”, 86.

³⁸ “Electronic Records Management – The National Archives.” <<http://www.nationalarchives.gov.uk/electronicrecords/>> [accessed March 26, 2009].

³⁹ United Kingdom Government “Government Policy on Archives.” *Journal of the Society of Archivists* 21, no. 1 (2000), 11-12.

⁴⁰ *Ibidem*, 20.

⁴¹ MERCER, “Background Paper – The ‘Grigg system’ and Beyond”, 4.

background of the system and the results of the review. She wrote that the review found that the Grigg system «has been outstandingly effective» and the National Archives «is manageable, records can be readily located and their context is well-explained in the catalogue»⁴². In anticipation of the initiative, and its implications for appraisal, storage, and public access, the National Archives developed extensive guidelines, online toolkits and policies. The archives first specific Acquisition and Disposition Policy was created in 1999 and it outlined categories of records to be transferred to the archives. It also identified those records which were worthy of preservation but were not to be transferred and suggested other collecting institutions as alternatives to destruction. The latest update to the policy was in 2007 and it is due for review in 2012⁴³.

The concern of whether the Grigg review system needed to change to account for electronic records was touched upon in the quote from the 2000 policy above in the context of the integration of records management and appraisal. Electronic records present issues different from paper records due to technological obsolescence as well as to the non-linear and multipurpose nature of electronic records in general, and of datasets in particular. Mercer notes that «the difference between active, semi-active and inactive stages of records becomes difficult to determine and makes provenance and hence appraisal decisions very difficult to determine». Another issue are hybrid records and series that are partially textual and partially electronic⁴⁴. The report identified the potential usefulness of functional appraisal in considerations of hybrid records. By quickly identifying important record areas which should be dealt with before the contextual relationship between paper and electronic records is lost, records of importance can be amalgamated entirely into an electronic format⁴⁵. Mercer concluded that it was possible to adapt new appraisal

⁴² *Ibidem*, 1.

⁴³ *Ibidem*, 2.

“Acquisition and Disposition strategy – The National Archives.” <<http://www.nationalarchives.gov.uk/recordsmanagement/selection/acquisition.htm>> [accessed April 1, 2009].

⁴⁴ MERCER, “Background Paper – The ‘Grigg system’ and Beyond”, 4-5.

⁴⁵ *Ibidem*, 6.

theories such as functional appraisal to the new electronic reality of records and their creation and yet «not abandon proven systems»⁴⁶. In other words, this adoption can be done from within the Grigg system framework.

There have been other calls in the United Kingdom for new methodologies to deal with electronic records. Their transitory nature calls for strategic management, and British archivists have been looking at the theories of appraisal being debated over and implemented in North America and Australia. One of the concerns is that records which should be preserved need to be identified as early as possible or there is risk that they will not survive long enough to be appraised⁴⁷. Rather than the relatively stable lifespan of paper, Sally McInnes notes that an electronic records' «life span may be determined by factors such as technological obsolescence and storage media longevity»⁴⁸.

McInnes advocates the adoption of documentation strategies for electronic records:

«The emphasis upon organisational function, rather than structure, as a basis for appraisal decisions is appropriate for electronic records which do not exist as a physical entity in one place at one time ... Since it is impractical to examine the records themselves for the information they provide, the functions, activities and transactions of their creating body are appraised. This macro-appraisal of records is based upon the examination of the context of the record with regard to the functions, processes and transactions of the organisation in which it exists»⁴⁹.

The archivist needs to be involved in record creation from the beginning, or even earlier. She believes that, by being involved early in the lifecycle of the records, archivists can not only earmark records for preservation but also provide context to the records through the use of metadata. This being the case, it seems like the archivist would be back to dealing with the records themselves and not with overarching functions. At any rate, there is no reason why this process of

⁴⁶ *Ibidem*, 9.

⁴⁷ SALLY MCINNES, «Electronic Records: the new archival frontier?» *Journal of the Society of Archivists* 19, no. 2 (1998), 211.

⁴⁸ *Ibidem*, 212.

⁴⁹ *Ibidem*, 214.

working with records from the beginning cannot happen within the context of the Grigg system. In fact, it can and does happen within this context. All that is needed is further integration of appraisal into the record creating process.

Despite the 2004 review findings which validated the Grigg system, there may yet be a rethinking of archival practice in Britain in the coming years as the Grigg system has come under review again. In a 2008 article, Natalie Ceeney, chief executive of the National Archives since 2005, questions the relevance of appraisal conducted following the Grigg system in a digital world. She notes «[T]he archive sector has already changed profoundly in response to the digital age»⁵⁰. A successful example of this is how the National Archives is using the internet to facilitate public access to its holdings. By contrast, Ceeney believes that archival efforts in records management have been unsuccessful⁵¹. She asks «[T]o what degree is the challenge about reasserting traditional arguments in a new context, or do we need to throw away existing paradigms and start again?»⁵². In other words, should archivists try to fix what is not working within the system or start again with a different approach? She observes that, despite how radically different record creation and use is now compared to ten years ago, “record management practice...has changed little in the last few decades and little since the Grigg Report»⁵³.

Ceeney makes the interesting point that the records being accepted into the archives now are thirty years old and argues that they are giving a false sense of security as to the effectiveness of the system. These records were made in a significantly different era with much more coherent record keeping practices and she wonders what the records of today will look like thirty years from now⁵⁴. She believes appraisal is out of touch with the current reality because those doing the appraisal «discuss appraising, disposing of and cataloguing

⁵⁰ NATALIE CEENEY “The Role of a 21st-century National Archive – The Relevance of the Jenkinsonian Tradition, and a Redefinition for the Information Society.” *Journal of the Society of Archivists* 29, no. 1 (2008), 58.

⁵¹ *Ibidem*, 58.

⁵² *Ibidem*, 58.

⁵³ *Ibidem*, 62.

⁵⁴ *Ibidem*, 62-63.

records as if the record itself were self-evident»⁵⁵. She thinks that appraisers can no longer rely on the business process to produce records because records do not have a linear path from creation to closure anymore and have lost their «context and evidential value»⁵⁶.

In addition to these issues, there is the problem of digital obsolescence, which is not just an archival problem, and Ceeney gives examples where active government records can no longer be accessed even though the information they hold is current and needed. It is not feasible to wait five years after the closure of records to appraise them. She believes a possible solution can be found with the Records Continuum ideas of Frank Upward and the importance of deciding a records long term value at the point of creation⁵⁷.

Ceeney outlines the problems but has no solutions, other than changing the time of appraisal. The question becomes: can the Grigg system be adapted or must it be abandoned, and if so, for what? The Wilson Report found that the foundation of the Grigg system was solid enough that all that was needed was a bit of re-jigging. Even then the complications that new technologies bring to appraisal were being felt but have they wrought so much change that the foundations cannot hold?

There seems to be a fundamental misunderstanding of the Grigg Report implicit in assumptions about its relevance to electronic records. For instance, the time line of the first review process is not fixed. The recommendation of the Report states that «[D]epartments should first review their records not later than five years after they have passed out of active use»⁵⁸. This does not mean that departments must wait five years to the day to appraise their records but rather that appraisal can be done at any point as long as it is within five years. Perhaps the re-jigging could be to change this to include appraisal considerations before a record even exists and that it is only the final appraisal decision that must be made within five years.

⁵⁵ *Ibidem*, 62.

⁵⁶ *Ibidem*, 63.

⁵⁷ *Ibidem*, 65.

⁵⁸ Great Britain. Parliament. *Report of the Committee on Departmental Records*, 80.

The Grigg Report recommendations also call for «a Departmental Record Officer to be responsible under the Director of Establishments for the care of its papers from the time when they are created or first received in the Department»⁵⁹. This is the type of appraisal at the time of creation that McInnes and Ceeney are advocating. The National Archives is developing the Seamless Flow Programme, which aims to ensure timely transfer of electronic records «by automating as many of the processes as possible and ensuring that others (selection, exemption identification, redaction) take place when the records are created in the government departments, or as soon as possible after creation»⁶⁰.

Perhaps the problems with the system consist of some type of the bureaucratic lethargy identified by the Wilson Report. For instance, if the Departmental Record Officer is overburdened with other duties, monitoring of the records may well be a low priority. It is interesting that the Canadian Government, in co-operation with Library and Archives Canada, is making records management a priority within the creating offices by tying it into the pay structure and bonus schemes of those ultimately responsible: the department executives⁶¹. Canada is taking the Grigg system a step further than its existing legislation and placing the onus not on records managers but on the record creators directly by making management accountable for good record creation, management and preservation. Perhaps this is the direction that also the United Kingdom should take.

It is the Jenkinsonian understanding of the record and the strength of the Grigg system that give British appraisal its cohesiveness. Electronic records are different from paper records but the fundamental nature of the record as identified by Jenkinson still holds. There is no doubt that electronic records are challenging appraisal methods but the two tiered system of the Grigg Report, in-

⁵⁹ *Ibidem*, 81.

⁶⁰ Services for professionals – Seamless Flow <http://www.nationalarchives.gov.uk/electronicrecords/seamless_flow/default.htm> [accessed June 22, 2009].

⁶¹ JEAN-STEPHÉN PICHE and GENEVIEVE ALLARD “The Recordkeeping Regime: Overcoming RK Challenges in the Public Service.” <<http://www.slais.ubc.ca/PEOPLE/students/student-groups/aca/symposium.php>> [accessed April 2, 2009].

volving both creator and archivist should be up to the challenge. Professional co-operation between records managers and archivists is crucial for the successful long-term preservation of electronic records. A record manager's job becomes infinitely easier when management buys in. The Grigg system is a proven and relevant example to ensure such buy-in and the new Canadian policy gives this idea an additional incentive by linking compliance to wages.

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Macro-appraisal Replaced: The Canadian Federal Government's New Record-Keeping Regime

Titolo in lingua italiana

Il superamento della macro-valutazione: il nuovo regime di gestione documentale del governo federale canadese

Riassunto

L'articolo esamina le scelte innovative del governo canadese per quanto riguarda il settore della gestione documentale.

Un tempo il governo federale canadese aveva adottato, ma non per molto, la macro valutazione, rivelatasi fallimentare e ora in via di sostituzione con un nuovo regime di gestione documentale. L'a. si occupa di questa sostituzione ed esamina le ragioni del fallimento della macro-valutazione, ricostruendo quanto accaduto negli ultimi dieci anni in Canada e confrontandolo con la situazione britannica e degli Stati Uniti d'America, dove – a partire dalla seconda guerra mondiale ci si è sforzati di gestire l'enorme quantità di documenti prodotti dai governi. In particolare in Gran Bretagna, nel 1952 si costituì il Comitato dei documenti dipartimentali, sotto la presidenza di Sir James Grigg, con l'obiettivo di esaminare le pratiche per la conservazione dei documenti dei dipartimenti governativi. Il rapporto che presentarono nel 1954 divenne famoso come Rapporto Grigg ed è tutt'oggi in vigore, ma adeguatamente rivisto, in quanto è aumentata la massa di documenti prodotti. Il Rapporto Grigg coinvolge i produttori di documenti nel processo di selezione, sfruttando la competenza maturata nell'esercizio delle loro funzioni. L'uso quotidiano dei documenti è il maggiore indicatore di che cosa selezionare per la conservazione a lungo termine: il Rapporto Grigg ha deciso che dopo cinque anni i documenti che non sono più necessari per un dipartimento vanno distrutti. I documenti custoditi nell'archivio di deposito sono nuovamente esaminati dopo venticinque anni e il loro volume viene ridotto ulteriormente attraverso la distruzione di quelli con scarsa importanza storica o amministrativa. Tutto questo è in linea anche con quello che Jenkinson delineava nel suo *A Manual of Archive Administration*. In direzione completamente opposta, la Macro-valutazione – come ha spiegato Terry Cook – anziché sull'esperienza maturata dal produttore di documenti, si basa sulla conoscenza acquisita dell'archivista che determina i documenti da conservare permanentemente. In sostanza, la Macro-valutazione sposta il punto focale primario della valutazione dal documento al contesto funzionale in

cui il documento è stato creato. Valutare i documenti usando la Macrovalutazione prevede la disamina delle funzioni delle istituzioni governative, estraendo quelle più importanti, determinando per ogni funzione del governo quale debba essere l'ufficio di interesse primario e, infine, decidendo se quell'ufficio sia il più adatto a documentare la funzione o l'attività. Tutte queste fasi richiedono che l'archivista ricerchi il contesto generale in cui i documenti sono stati prodotti, da quale funzione istituzionale e da quali strutture organizzative e con quali tecnologie. La Macrovalutazione in Canada mira a documentare le interazioni fra Stato e il modo di funzionare del governo con l'intenzione manifesta di rendere evidente la democrazia. Uno dei più grandi difetti della Macrovalutazione era che i documenti che si ritenevano degni di conservazione a lungo termine non erano stati prodotti. I documenti teorizzati come rappresentanti l'iterazione governo-cittadino semplicemente non esistevano. Il personale dell'Archivio Nazionale del Canada (ora Biblioteca e Archivio Canada o LAC dall'aprile 2004), pur con tutte le sue ricerche e studi, non è stato in grado di colloquiare con i produttori dei documenti e di esaminare quelli che si stavano valutando. Sheila Fraser, nel 2003, avviò un'indagine per evidenziare e analizzare la crisi del sistema di gestione dei documenti. Per condurre l'indagine, sono stati intervistati più di 80 manager e quando è stato domandato loro circa come funzionava il software per la gestione finanziaria, costato al governo 600 milioni di dollari, tutti sono stati concordi nell'affermare che non era facile da usare. La grande maggioranza di questi manager non accedeva direttamente alle informazioni finanziarie che acquisiva dagli assistenti finanziari nel formato richiesto per la revisione. Dall'indagine è poi emerso che non avevano sufficiente controllo sul movimento e il trasferimento del personale entro l'organizzazione. Soprattutto, il rapporto generale dell'indagine ha riscontrato che la necessità di informazione dei manager non era tenuta in debita considerazione e che viceversa la formazione degli impiegati per quanto riguarda la gestione delle informazioni era prioritaria. Il LAC, insieme ad altre istituzioni di vertice del governo canadese, ha collaborato per creare gli strumenti necessari e adeguati per superare la situazione critica nel settore della gestione dell'informazione. La nuova policy di gestione dei documenti è stata definita per raggiungere questo obiettivo. Susan Hart, archivista e analista della politica dell'informazione per il governo del British Columbia, nel corso di una recente conferenza ha detto che il governo provinciale ha acquisito una cultura adeguata e ha realizzato un sistema di gestione dei documenti che consente agli archivisti di lavorare tranquillamente e con buoni risultati. Recenti innovazioni negli uffici gover-

nativi sottolineano l'importanza della gestione documentale e richiedono che ciascuno rispetti la politica di gestione documentale, assumendosi la responsabilità della produzione, gestione e conservazione dei documenti di sua pertinenza. Un aspetto non molto pubblicizzato, ma fondamentale, del nuovo Regime di gestione documentale è l'idea secondo la quale è importante gestire i documenti fin dal momento della loro produzione. Quando la Macro-valutazione era il sistema di gestione documentale adottato, i documenti venivano gestiti a partire dalla loro distruzione. Il fatto invece di prestare attenzione ai documenti lungo tutto il loro ciclo vitale permette di gestirli in modo semplice e costante. Una gestione adeguata dei documenti digitali a livello federale in Canada è lontana da divenire una realtà. Il miglior modo di imparare qualcosa riguardo ai documenti che un sistema governativo genera è guardare i documenti stessi e sfruttare la conoscenza del produttore dei documenti. Parte dello sfruttamento di questa conoscenza include il fatto di offrire ai produttori di documenti la conoscenza e gli strumenti necessari per fare bene il proprio lavoro. Se viene diffusa una cultura di buona conservazione dei documenti attraverso il governo federale del Canada, è probabile che ci sia una speranza di "catturare" e conservare a lungo termine i documenti considerati meritori di conservazione.

Parole chiave

gestione documentale; rapporto Grigg; conservazione a lungo termine dei documenti digitali

Abstract

Since World War II much effort has been expended in Europe and North America to try to get a handle on the vast amounts of records that governments produce. Many of these systems strove for practicality; the overwhelming number of records being produced made this task urgently felt. In 1952 in Great Britain, the Committee on Departmental Records was formed. Under the direction of the Right Honourable Sir James Grigg, the task of the committee was to examine current practices surrounding the preservation of the records of Government Departments. The report they submitted in 1954 became known as the Grigg Report and it is still upheld today. The inclusion of the records creators in the selection process was integral to the Grigg Report; it determined that the people who created records in the course of carrying out their duties are experts on those records and their expertise should not go to waste. Usefulness over time was a major indicator of what to select for long term preservation: the Grigg Report decided that after five years those records

that were no longer needed by a department should be destroyed. The records in storage should be reviewed again after twenty-five years and their volume further reduced by destroying those records “of no further administrative or historical importance.” This is also in line with what Jenkinson prescribes in his *A Manual of Archive Administration*. Tacking in the completely opposite direction, macro-appraisal relied on the expert knowledge of archivists, rather than the knowledge of records creators, to search out those records that should be set aside for long term preservation. Essentially, macro-appraisal shifted the primary focus of appraisal from the record - including any research characteristics or values it may contain - to the functional context in which the record is created. Appraising records using macro-appraisal involved discerning the functions of government institutions, picking out the important functions, determining where in the government the Office of Primary Interest would be for each function and finally deciding whether or not that Office of Primary Interest is the “location of the best archival record which documents the function or activity.” All of these steps required that archivists research the broad context in which records were created; from institutional functionality and organizational structures to work place culture and the technologies used. Macro-appraisal in Canada aims to document citizen-state interactions and the functioning of government which shows that the «ideals of democratic accountability are clearly present». One of the major failures of macro-appraisal was that the records appraised as having long-term archival value were not actually being created. The theorized records that best captured citizen-government interaction simply did not exist. The people at the National Archives of Canada (now Library and Archives Canada or LAC as of April 2004) with all their research and study, failed to have conversations with the creators of the records and failed to examine the records that they were appraising (or indeed, have anyone else look at them and make sure that a proper system for creating and managing records was in place). An audit of the National Archives procedures and their results by the Auditor General of Canada Sheila Fraser in 2003 is cited as the impetus for the recognition of the recordkeeping crisis. For the audit, over 80 managers were interviewed. When asked about the financial management software that the government had spent over \$600 million dollars to implement, the managers agreed that “none of the systems provides reporting that is easy to use.” The vast majority of these managers did not directly access the financial information that they approved; instead they relied on financial assistants to present them with information in the required format for their review.

Another common area, found by the audit, where departments failed to have sufficient controls was the movement and transfer of people within the organization. Overall, the Auditor General's Report found that the information needs of managers were simply not being met. A not very well advertised but fundamentally important aspect of the new Recordkeeping Regime is the strategy that upholds the idea that it is important to manage records at the point of their creation. The report concluded that employee education about information management must also be a priority. LAC, the Treasury Board, Deputy Ministers and others (known collectively as the Treasury Board Portfolio Advisory Committee or TBPAC) collaborated to create and implement the tools they thought necessary and adequate to deal with the information crisis. The new Recordkeeping Regime was designed to meet the assigned task. As an example: Susan Hart, Archivist and Information Policy Analyst with the government of British Columbia, in the course of a recent lecture, stated that the provincial government of British Columbia has a records management system and a recordkeeping culture in place that archivists can confidently work with and be proud of. In her observation, this culture is enhanced by an awareness of freedom of information legislation. A new initiative at the provincial level that Hart is excited about is an online tutorial that all government employees will be required to take; this tutorial will stress the importance of recordkeeping and require that each reads the province's recordkeeping policy and sign their name, binding each to be responsible for the records they create and maintain. When macro-appraisal was the recordkeeping business model in use, records were managed at the point of their destruction. Remaining attentive to the records throughout their lifecycle allows for constant and smooth management. It is well known that proper electronic records management at the federal level in Canada is far from being a reality. The best way to learn about the records that a government system generates is to look at records, and additionally harness the knowledge of the records creators. Part of harnessing this knowledge involves giving the creators the knowledge and tools they require to do their jobs well. Maybe if a culture of good recordkeeping is eventually spread throughout the federal government of Canada there is hope for capturing records of long-term value.

Keywords

Records-keeping system; Grigg Report; long term preservation of electronic records

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Records must be created, maintained and preserved in such a way that a contemporary democratic government can be held fully accountable to the public for its activities. (J. GRANT GLASSCO, Report of the Royal Commission on Government Organization, 1962)

Macro-appraisal was once embraced by the Canadian federal government. This is no longer the case. The grandly named Record-keeping Regime is being put in its place. Macro-appraisal is of interest now because it was unsuccessful. An outline of how and why macro-appraisal, as applied at the Canadian federal level, failed will serve to place the new system in context. The implementation and the implications of the recordkeeping regime of the Canadian federal government will be the subsequent focus. To this end, the methods the new regime aims to use to combat the areas of failure left by macro-appraisal will be examined. However, before delving into the upheavals in the Canadian federal recordkeeping system over the past ten years, a grounding in a much older government recordkeeping experience is appropriate. Gaining control over government records, especially after a long period of neglect such as that suffered under macro-appraisal, is no easy task; I shall begin with the Grigg Report.

Since World War II much effort has been expended in Europe and North America to try to get a handle on the vast amounts of records that governments produce. Many of these systems strove for practicality; the overwhelming number of records being produced made this task urgently felt. The Grigg Report was submitted to the British Government more than fifty years ago and it shares some similarities with the Recordkeeping Regime currently being touted in Canada. It may seem improbable, but more than half a century later the Grigg report is far from obsolete.

In 1952 in Great Britain, the Committee on Departmental Records was formed. Under the direction of the Right Honourable Sir James Grigg, the task of the committee was to examine current practices surrounding the preservation of the records of Government Departments. This review was deemed necessary because the rate at which departmental records were being accumulating was incredible. The committee was instructed «to make recommendations as to the

changes, if any, in law and practice which are required»¹. The report they submitted in 1954 became known as the Grigg Report and it is still upheld today. And this is so for good reason.

While compiling the report, the committee made every effort to ensure that their recommendations would not stray from keeping the following criteria:

- (a) Departmental records which are worthy of permanent preservation are transferred regularly to the Public Records Office and there made available for the public to see;
- (b) the Public Record Office is not swamped with valueless material; and
- (c) the method of selecting records for preservation is administratively practicable².

Not straying from this set of careful criteria the committee laid out a plan that was incredibly practical.

The conclusions drawn were sound and have stood the tests of time. Which is indeed the whole point: the main tenet of their findings was that the documents with the greatest long term usefulness to the department they were created by would be the documents selected for long term preservation. It was acknowledged that any selection process would be accompanied by a margin of error but it was concluded that «the papers which a historian of the future may wish to have preserved will in practice automatically be included among those which Departments find it necessary to keep for more than a short period for their own departmental purposes»³.

The inclusion of the records creators in the selection process was integral to the Grigg Report. The Grigg Report determined that the people who created records in the course of carrying out their duties are experts on those records and their expertise should not go to waste⁴.

As stated above, usefulness over time was a major indicator of what to select for long term preservation. The Grigg Report decided that after five years those records that were no longer needed by a department should be destroyed⁵. The records in storage should be

¹ Great Britain. Parliament, *Report of the Committee on Departmental Records*. Cmnd. 9163. London: HMSO, 1954. p. 5

² *Ibidem*, p. 80, paragraph 240.

³ *Ibidem*, p. 30, paragraph 60.

⁴ *Ibidem*, p. 30, paragraph 59.

⁵ *Ibidem*, p. 80, part V, section 241.

reviewed again after twenty-five years and their volume further reduced by destroying those records «of no further administrative or historical importance»⁶.

The way of thinking that is featured in the Grigg Report was in line with what Jenkinson prescribes in his *A Manual of Archive Administration*. In essence the winnowing should be left in the hands of the records creator. He correctly envisioned a future where the bulk of records would continue to increase and become a problem for archival work in itself. Entrusting the creator with the responsibility of weeding its own documents is turning to the past for guidance. Jenkinson's concern is that enough gets destroyed – balanced of course with the danger of too much destruction, «we must see that our Administrator does not revert too completely to primitive habits and destroy unreasonably»⁷. This balance sought out by Jenkinson began with a records creator who had knowledge of the office in which she worked and of the records he helped create. On top of this she should be a person who respected archive making, recordkeeping and the records themselves⁸. Jenkinson's golden rule for records creators is:

...so far as concerns his papers, must be to have them always in such a state of completeness and order that, supposing himself and the Administrator's staff to be by some accident obliterated, a successor totally ignorant of the work of the office would be able to take it up and carry it on with the least possible inconvenience and delay simply on the strength of a study of the Office Files⁹.

A competent staff of record creators is, therefore, at the fore of a current and smooth transfer of records from a working public office to the archives in a Jenkinsonian system.

Tacking in the completely opposite direction, macro-appraisal relied on the expert knowledge of archivists, rather than the knowledge of records creators, to search out those records that should be set

⁶ *Ibidem*, p. 80, part V, section 241.

⁷ HILARY JENKINSON, *A Manual of Archive Administration*, Oxford UK: Clarendon Press, 1922 <<http://www.archive.org/stream/manualofarchiver00jenk/>> (Accessed March 20, 2009), p. 130-131

⁸ *Ibidem*, p. 131

⁹ JENKINSON, *A Manual of Archive Administration*, p. 132.

aside for long term preservation. In 1990 «the records universe of the Government of Canada»¹⁰ became the laboratory of Terry Cook.

The National Archives of Canada, where Cook worked, explains macro-appraisal this way: «essentially, macro-appraisal shifts the primary focus of appraisal from the record – including any research characteristics or values it may contain – to the functional context in which the record is created»¹¹. This shift away from the record and over to the functional context in which it was created was seen as a logical way to manage and appraise the records of a complex entity such as the government that produced huge amounts of records that needed to be brought under control¹². Macro-appraisal removed the need to spend time sifting through tens of thousands of individual records series, and instead was able to immediately focus on archival value in predicted locations. Appraising records using macro-appraisal involved discerning the functions of government institutions, picking out the important functions, determining where in the government the Office of Primary Interest would be for each function and finally deciding whether or not that Office of Primary Interest is the «location of the best archival record which documents the function or activity».¹³ All of these steps required that archivists to research the broad context in which records were created; from institutional functionality and organizational structures to work-place culture and the technologies used¹⁴.

¹⁰ CANDACE LOEWEN, “The Evolution, Application, and Future of Macroappraisal,” Candace Loewen, ed. *Archival Science*, Volume 5, Nos. 2-4, Special Issue on Macroappraisal: Evolution and Application, December 2005. p. 94.

¹¹ National Archives of Canada. “Appraisal Methodology: Macro-Appraisal and Functional Analysis: Part A: Concepts and Theory, (Accessed 23 January 2009), <http://www.collectionscanada.gc.ca/government/disposition/007007-1035-e.html>

¹² *Ibidem*.

¹³ *Ibidem*. The only context in which records were to be preserved is with the office ultimately responsible for them. This office is labelled the Office of Primary Interest (OPI).

¹⁴ TERRY COOK, “Macroappraisal in Theory and Practice: Origins, Characteristics, and Implementation in Canada, 1950-2000,” Candace Lowen, ed. *Archival Science*, Volume 5, Nos. 2-4, Special Issue on Macroappraisal: Evolution and Application, December 2005. p. 103.

Macro-appraisal aimed to document citizen-state interactions and the functioning of government which shows that the «ideals of democratic accountability are clearly present»¹⁵. It was predicted that this research-heavy method would «identify records which provide illustration of *how government operates and affects* Canadian society»¹⁶. Cook labelled this reflection of Canadian society through its citizens' indirect interaction with government as "hot spots." Macro-appraisal searches out "hot spots" in order to predict where interesting records would be created and could therefore be identified and marked for long term preservation. These "hot spots" are located «where the citizen *consciously* interacts with the agency and programme *and* has significant room for intervention, discretion, and influence on the decisions made»¹⁷. As Cook defines them for use by macro-appraisal, "programme" and "agency" relate to administrative structures and corporate function¹⁸. According to macro-appraisal the records generated when citizens make an effort to have an impact on the government by interacting with a function of it are the records of archival value.

After more than ten years and only a few tweaks macro-appraisal was going strong and being merrily exported to other countries as a viable solution to deal with massive quantities of government records. It is amusing that a mere four years ago, when the special issue of *Archival Science* on macro-appraisal was issued, few threats to its future were predicted. The main threat pointed out by Loewen in her introductory essay "The Evolution, Application, and Future of Macroappraisal" in this special volume was off the mark. The uncertain future of macro-appraisal, as Loewen envisioned it, stemmed from a potential shift in societal values.

¹⁵ BARBARA CRAIG, *Archival Appraisal: Theory and Practice*, München Germany: K.G. Saur Verlag GmbH, 2004. p. 87.

¹⁶ National Archives of Canada. "Appraisal Methodology: Macro-Appraisal and Functional Analysis: Part A.

¹⁷ TERRY COOK, "Mind Over Matter: Towards a New Theory of Archival Appraisal," Barbara L. Craig, ed., *The Archival Imagination: Essays in Honour of Hugh A. Taylor*, ACA: Ottawa ON, 1992. p. 56-57

¹⁸ *Ibidem*, p. 55-56.

The values in contemporary society – Hans Booms's premise for appraisal choices back in 1972 – are shifting constantly and, more than in the 1980s and 1990s, the new millennium's values are tied to demands of more non-traditional users of archives who are technologically connected and possess an informed, panoramic intelligence¹⁹.

It was not in fact that contemporary values dramatically shifted to render the functions chosen by macro-appraisal no longer relevant. Its actual failings were far worse than a mere shifting of functional priorities. It was the fact that, by removing the appraisal decisions from the records themselves, back and up to the top levels of the organization, the decisions about what to keep were faulty and ill-informed. One of the major failures of macro-appraisal was that the records appraised as having long term archival value were not actually being created. The theorized records that best captured citizen-government interaction simply did not exist. The people at the National Archives of Canada (now Library and Archives Canada or LAC as of April 2004) with all their research and study, failed to have conversations with the creators of the records and failed to examine the records that they were appraising (or indeed, have anyone else look at them and make sure that a proper system for creating and managing records was in place)²⁰. When Cook wrote «This strategic focus on the functional context is why macro-appraisal asserts, therefore, that the last thing an archivist does in appraising records is to appraise records»²¹ he meant that, after all the research and study of departmental functions was over, it was finally time to take a look at the records and find the ones that were theorized to exist. These

¹⁹ LOEWEN, "The Evolution, Application, and Future of Macroappraisal", p. 98.

²⁰ Summary of presenters' responses to questions regarding the need for the new Recordkeeping Regime, following a presentation given Thursday, February 12, 2009 by LAC representatives. JEAN-STÉPHEN PICHÉ and GENEVIEVE ALLARD: "The Recordkeeping Regime: Overcoming RK Challenges in the Public Service." Symposium 2009: *Our Professional Identities in a World Gone Digital*. Vancouver BC: University of British Columbia.

²¹ TERRY COOK, "Macro-appraisal in Theory and Practice: Origins, Characteristics, and Implementation in Canada, 1950-2000," Candace Loewen, ed. *Archival Science*, Volume 5, Nos. 2-4, Special Issue on Macro-appraisal: Evolution and Application, December 2005. p. 132

theoretical records would contain condensed information and be of archival value. In practice, this final step never took place in any comprehensive way. It turns out that Cook was wrong; appraising records is what archivists need to do *first*.

An audit of the National Archives procedures and their results by the Auditor General of Canada Sheila Fraser in 2003 is cited as the impetus for the recognition of the recordkeeping crisis²². It was in fact the event that brought to light the true scope of the crisis. But Candace Loewen points out that

While the NA [National Archives] had fully cooperated with Fraser throughout her investigation and was putting the final touches on its own internal quality assurance review of RDA [Records Disposition Authorities] coverage during those months of her investigation, her report nonetheless made public the weaknesses of the program that NA managers were already well aware of²³.

The elephant in the room could no longer be ignored.

Governments are large and unwieldy beasts that do not move with speed or agility. In the Fall of 2005 the Deputy Head of LAC sent a letter to the Clerk of the Privy Council outlining the urgency of the situation. Conversations between LAC, the Clerk of the Privy Council and Deputy Ministers continued on in the form of a series of Roundtables on Information Management and Recordkeeping in 2006.²⁴ Also in 2006 a Taskforce on Recordkeeping chaired by the LAC Deputy Head was formed²⁵. It was agreed that the Taskforce on

²² Library and Archives Canada, *The Recordkeeping Regime: Overcoming Recordkeeping Challenges in the Public Service*, LAC (Access March 18, 2009) <http://www.collectionscanada.gc.ca/obj/007001/f2/007001-5012-e.pdf>, p.1

²³ CANDACE LOEWEN, "Accounting for Macroappraisal at Library and Archives Canada: From Disposition to Acquisition and Accessibility", Candace Loewen, ed. *Archival Science*, Volume 5, Nos. 2-4, Special Issue on Macroappraisal: Evolution and Application, December 2005. p. 249.

²⁴ Library and Archives Canada, *The Recordkeeping Regime: Overcoming Recordkeeping Challenges in the Public Service*, LAC (Access March 18, 2009). <http://www.collectionscanada.gc.ca/obj/007001/f2/007001-5012-e.pdf>. p.1

²⁵ JEAN-STEPHEN PICHE and GENEVIEVE ALLARD, "The Recordkeeping Regime: Overcoming RK Challenges in the Public Service," Government Records Branch Library and Archives Canada, talk given at symposium at the University of British Columbia: *Our Professional Identities in a World Gone Digital*, February 12, 2009. (Accessed March 19, 2009) <http://www.slais.ubc.ca/PEOPLE/students/student-groups/aca/symposium.php> slide 4

Recordkeeping would, «provide insight and guidance for recommendations that would emerge from a number Recordkeeping Working Groups composed of managers from LAC and departments and agencies studying related issues over a period of 6 months»²⁶. Eventually these recommendations would influence the design of the «overall recordkeeping program of change»²⁷.

LAC made an overall policy choice to focus on playing a key role in developing effective recordkeeping in the government of Canada²⁸. It emphasized the idea that a focus on recordkeeping would be a way to mitigate risk. Mitigating risk through good recordkeeping would also, most likely, be a continuing focus for government. It was also noted that «a clarified emphasis on recordkeeping will help to better define long term accommodation infrastructure needs, in keeping with the related commitment to financial sustainability»²⁹. In aid of the government's risk management effort LAC expertise has been exploited positively. Their aim is to remain flexible while striving to achieve their accessibility and accountability goals. «Projects that initially prove successful will often be expanded to a broader range of departments and agencies until we can identify transferable results applicable across the government»³⁰. The response is laudable in admitting the problems.

Back in 2003 the situation that needed to be overcome through this recordkeeping program of change was dire. It was estimated that 15 million linear feet of records were not under proper records management control³¹. The *Report of the Auditor General of Canada* pre-

²⁶ Library and Archives Canada, *The Recordkeeping Regime: Overcoming Recordkeeping Challenges in the Public Service*, LAC (Access March 18, 2009).

<http://www.collectionscanada.gc.ca/obj/007001/f2/007001-5012-e.pdf>. p.1

²⁷ *Ibidem*, p. 1.

²⁸ The Honourable Josee Verner, P.C., M.P., Minister of Canadian Heritage, Status of Women and Official Languages, *Library and Archives Canada 2008-2009 Report on Plans and Priorities*, (Accessed March 15, 2009) <http://www.tbs-sct.gc.ca/rpp/2008-2009/inst/bal/bal-eng.pdf>. p. 17.

²⁹ *Ibidem*, p. 21.

³⁰ *Ibidem*, p. 28.

³¹ Library and Archives Canada, *The Legacy Business Records Toolkit*, LAC March 29, 2006. (Access March 20, 2009) <http://www.collectionscanada.gc.ca/government/products-services/007002-2085-e.html>. section 1

sented in April of 2003 is full of examples of current government records management shortcomings. The six departments audited were: Canadian Heritage, Human Resources Development Canada, Indian and Northern Affairs Canada, Transport Canada, Treasury Board Secretariat and Veterans Affairs Canada. The quality assurance practices varied across departments and it was found that «none of the departments [the Office of the Auditor General] visited had a comprehensive financial data quality assurance plan in place»³². This led to a recommendation that quality assurance plans be developed and applied with the responsibility falling on managers to regularly sign off on the quality of the data³³.

For the audit, over 80 managers spread over 5 departments were interviewed. When asked about the financial management software that the government had spent over \$600 million dollars to implement,³⁴ the managers agreed that «none of the systems provides reporting that is easy to use»³⁵. The vast majority of these managers did not directly access the financial information that they approved, instead they relied on financial assistants to present them with information in the required format for their review³⁶. This fact was highly problematic because privileges to modify information in the organization's financial system, left over from the early days of development, were still in place³⁷. The report states what is obvious even to a layman:

A properly controlled financial system would not permit any ad hoc changes to data already entered in the system. Any changes to financial information should be properly logged, validated, and signed off using clear and established procedures. This is necessary to protect the organization and the individuals involved³⁸.

³² Auditor General of Canada, "Managing the Quality of Financial Information," *April 2003 Report of the Auditor General of Canada*, Office of the Auditor General of Canada. (Accessed March 15, 2009) http://www.oag-bvg.gc.ca/internet/English/parl_oag_200304_02_e_12908.html. section 2.40

³³ *Ibidem*, section 2.54.

³⁴ *Ibidem*, section 2.65.

³⁵ *Ibidem*, section 2.73.

³⁶ *Ibidem*, section 2.66.

³⁷ *Ibidem*, section 2.59.

³⁸ *Ibidem*, section 2.59.

This failure to place proper controls on this vital government information is clearly negligent.

Another common area, found by the audit, where departments failed to have sufficient controls was the movement and transfer of people within the organization. It was found in many cases that privileges affiliated with a specific job title and function were not relinquished upon changing jobs. Employees retained privileges without justification. This happened in part because the proper chain of communication was not followed, and financial officers who should have been informed of changes, were not. Obviously the report concluded that «This security loophole needs to be closed to protect the organization and the individuals. Controlling the number of people who are authorized to perform certain business transactions has a positive effect on the reliability and quality of data»³⁹. The common organizational culture of staff who have the impression that they “own” the records they create and work with as part of their job would be further exacerbated by this drastic failing to manage people and their proper authorities and responsibilities. This information management security failing also reinforces a culture that attributes low value to records; overlooking basic security measures sends the message that information management is a low priority.

Overall, the Auditor General's Report found that the information needs of managers were simply not being met⁴⁰. This fact was a stumbling block that had far reaching consequences. Without the necessary information, managers could not properly do their jobs, manage their staff or projects, or send accountable report to the treasury board. The conclusions that were drawn from the findings of the audit were going to be difficult to fix. It was rightly noted that in order to get high-quality information that would support good management, the government and departments working together would have “to create the right environment and infrastructure-one that encourages managers to demand appropriate, good-quality fi-

³⁹ Auditor General of Canada, “Managing the Quality of Financial Information,” *April 2003 Report of the Auditor General of Canada*, Office of the Auditor General of Canada. (Accessed March 15, 2009) http://www.oag-bvg.gc.ca/internet/English/parl_oag_200304_02_e_12908.html. section 2.60.

⁴⁰ *Ibidem*, section 2.82.

nancial information at the right time⁴¹. In order to ensure the «right environment and infrastructure» could thrive the report concluded that employee education about information management must also be a priority:

All employees must understand the purpose of data and take ownership to ensure data quality. While quality control practices applied at the end of the business process are useful, these detective practices are not as cost-effective as those that ensure proper entry of the data at source. Staff need to be educated so that they can apply quality control procedures when data are created and/or updated.⁴²

This admission, that one of the most important factors in recordkeeping is knowledgeable people, lead to the realization that what was needed were two groups of people working together toward a common goal. The first group, in the case of the Canadian Federal government, is constituted of the civil servants, administrative staff and their managers. The second group is constituted of the information professionals – archivists – people with the proper information management skills (and the people skills to teach and persuade, and elevate the status of information management). Since this wakeup call from the Auditor General, the information professionals from the Government Records Branch at LAC have taken a shift in focus to start sharing knowledge of record keeping basics with civil servants. This sharing creates knowledgeable staff and managers who, though not information experts themselves, are at least aware enough of the importance of good recordkeeping to realise what their responsibilities are and to turn to professionals when necessary. As the Auditor General observed in 2003 when addressing risk management: «Good information, good risk assessment tools, and people trained to use both; adequate performance measures; and management practices that integrate these elements into the decision-making process – these are the ingredients for managing risk well»⁴³.

The leap from recordkeeping to risk management comes easily to politicians. The failing to manage information was a failing to manage risks. Potential risks that accompany bad recordkeeping are

⁴¹ *Ibidem*, section 2.86.

⁴² *Ibidem*, section 2.87.

⁴³ *Ibidem*.

many. These risks can present themselves in various forms: from legal, health and safety and accountability issues to the ability to provide service and deliver programs, as well as loss of national history and collective memory⁴⁴. From a sociological point of view, life is constantly in a state of risk:

The recognition of risk management as a practical art rests on a simple cliché with the most profound consequences: when our world was created, nobody remembered to include certainty. We are never certain; we are always ignorant to some degree. Much of the information we have is either incorrect or incomplete⁴⁵.

Learning to manage that risk is the first step. And generally, “risk management” is the slogan being used by the federal government to sell the Recordkeeping Regime to departments, ministers and citizens. LAC, the Treasury Board, Deputy Ministers and others (known collectively as the Treasury Board Portfolio Advisory Committee or TBPAC) collaborated to create and implement the tools they thought necessary and adequate to deal with the information crisis.⁴⁶ LAC, reporting through TBPAC was asked

to lead the development of a program of change that would support government executives in their efforts to enable an effective national public administration partly by returning recordkeeping to the status of a core public service value⁴⁷.

The new Recordkeeping Regime was designed to meet the assigned task. TBPAC began with the following major desired outcomes

- a. Deputy Ministers and Deputy Heads are supported by a Recordkeeping Regime that enables effective national public administration.
- b. Recordkeeping is sustainable over time, and therefore;
- c. The Government of Canada is more responsive and more accountable to Canadians because proper recordkeeping is part of its culture and is a core value and competency of public servants.

⁴⁴ Library and Archives Canada, “Generic Plan and Resourcing Template,” *The Legacy Business Records Toolkit*, LAC March 29, 2006. (Access March 20, 2009) <http://www.collectionscanada.gc.ca/obj/007/f2/007-1020-e.pdf> . section 7

⁴⁵ PETER L. BERNSTEIN, *Against the Gods: The Remarkable Story of Risk*, New York NY: John Wiley & Sons, Inc., 1996. p. 206-207.

⁴⁶ Library and Archives Canada, *The Recordkeeping Regime: Overcoming Recordkeeping Challenges in the Public Service*, LAC (Access March 18, 2009).

<http://www.collectionscanada.gc.ca/obj/007001/f2/007001-5012-e.pdf>. p.1

⁴⁷ *Ibidem*, p. 1.

d. Canada is a recognized leader in the development and national implementation of international standards for recordkeeping.⁴⁸

These goals are supported by seven objectives. The seven supporting objectives included such practical measures as ensuring proper communication of goals to other departments, establishing funding and infrastructure and equipping departments with «standards, tools, infrastructure and capacity to support the management and disposition of paper and electronic records»⁴⁹. Very much in line with a practical solution to the problems that were observed in the 2003 Audit, the first of the seven intermediate objectives were to instill in the Canadian Government a «program of change to establish recordkeeping as a core value and competency of all public servants»⁵⁰.

A new Information Management Policy was also established as an early support for the four main goals. Taking effect in July of 2007 the Policy on Information Management is a part of the Financial Administration Act⁵¹. Attempting to foster a culture that values information, the objective of the policy is:

to achieve efficient and effective information management to support program and service delivery; foster informed decision making; facilitate accountability, transparency, and collaboration; and preserve and ensure access to information and records for the benefit of present and future generations⁵².

To this end Deputy Heads, with the implementation of this policy, are made responsible for ensuring that all aspects of the program are fully met and that information is handled in a way that conforms to the Policy on Information Management⁵³. And, a well defined reporting program to hold the Deputy Heads accountable has been set in place.

⁴⁸ Library and Archives Canada, *The Recordkeeping Regime: Overcoming Recordkeeping Challenges in the Public Service*, LAC (Access February 10, 2010).

⁴⁹ *Ibidem*, p. 2.

⁵⁰ *Ibidem*, p. 2.

⁵¹ Treasury Board of Canada Secretariat, *Policy on Information Management*, Government of Canada, (Accessed March 15, 2009) <http://www.tbs-sct.gc.ca/pol/doc-eng.aspx?section=text&id=12742>. sections 1, 2

⁵² *Ibidem*, section 5.1.

⁵³ *Ibidem*, section 6.1.

Library and Archives Canada has been given responsibilities beyond those in the LAC Act in the Policy on Information Management, and is now required to give direction and assistance in the area of government recordkeeping⁵⁴. To this end they are working to develop «a program of change that would support government executives in their efforts to enable an effective national public administration partly by returning recordkeeping to the status of a core public service value»⁵⁵. This program of change includes tools to make it easier to comply. Even though it is generally agreed that bureaucrats understand the value and necessity of records it is difficult to make recordkeeping a priority. The staff at LAC believes that a great leap forward in the status of recordkeeping was made when the bonuses of Deputy Minister were partially linked to how well the agencies they are responsible for manage information and progress under the recordkeeping regime.

Susan Hart, Archivist and Information Policy Analyst with the government of British Columbia, in the course of a recent lecture⁵⁶, stated that the provincial government of British Columbia has a records management system and a recordkeeping culture in place that archivists can confidently work with and be proud of. In her observation, this culture is enhanced by an awareness of freedom of information legislation. Another important reason that she has such confidence in their system is that the appraising archivists have good working relationships with Deputy Ministers and other government employees and enough authority that they feel they can properly do their jobs.⁵⁷ A new initiative at the provincial level that Hart is excited about is an online tutorial that all government employees will be required to take. This tutorial will stress the importance of recordkeeping and require that each reads the province's recordkeeping policy

⁵⁴ *Ibidem*, section 8.2.3.

⁵⁵ Library and Archives Canada, *The Recordkeeping Regime: Overcoming Recordkeeping Challenges in the Public Service*, LAC, p. 1.

⁵⁶ SUSAN HART, "Appraisal in the BC Government," lecture notes, ARST 520 University of British Columbia: Vancouver BC, March 2009.

⁵⁷ Although currently a political situation with the Royal BC Museum has put transfer of custody on hold and the Provincial Archives has not accepted a single box of government records since 2003.

and sign their name, binding each to be responsible for the records they create and maintain.

Similarly, one of the tools provided to federal government departments by LAC to aid in recordkeeping is *The Legacy Business Records Toolkit*. The toolkit is intentionally written for a layman or secretary. It is not flashy or fun but it does break into steps how an office should tackle piles of boxes that are taking up space – from putting together a proposal to evaluating results at the end. The idea is to improve the government's ability to retrieve records when requested and reduce costs.

A not very well advertised but fundamentally important aspect of the new Recordkeeping Regime is the strategy that upholds the idea that it is important to manage records at the point of their creation. Special attention should be paid to records with ongoing business value. When macro-appraisal was the recordkeeping business model in use, records were managed at the point of their destruction⁵⁸. Remaining attentive to the records throughout their lifecycle allows for constant and smooth management. Making choices about requirements for recordkeeping before records are created brings about the happy situation of the correct records being generated. Retention schedules are much easier to assess and implement at inception. Waiting until the end of the record's usefulness is poor planning and, as we have seen, leads to a crisis of recordkeeping. A crisis where not only are there millions upon millions of unmanaged linear metres of records, but the records that macro-appraisal envisioned should be there were in fact never created. Early intervention and continued attention are what make a good recordkeeping system.

The plan designed to tackle the goals of the Recordkeeping Regime is still in the process of being implemented. The plan as it stands has an end date of 2012.⁵⁹ At that time it is hoped that the following four objectives will have been met:

- Deputy Ministers and Deputy Heads are supported by a Recordkeeping Regime that enables effective national public administration.
- Recordkeeping is sustainable over time, and therefore;

⁵⁸ Library and Archives Canada, *The Recordkeeping Regime: Overcoming Recordkeeping Challenges in the Public Service*, p. 3.

⁵⁹ *Ibidem*, p. 4.

-The Government of Canada is more responsive and more accountable to Canadians because proper recordkeeping is part of its culture and is a core value and competency of public servants.

-Canada is a recognized leader in the development and national implementation of international standards for recordkeeping⁶⁰.

These objectives are rather lofty for a Government that was unaware of severe shortcomings not that long ago. Achieving the first two would naturally lead to the second two being met.

At this moment LAC and their partners are working to foster a culture within the government administration that understands and respects records. The tools and training currently provided to administrators are intimidating for the layman records creator who feels she has enough work already without new responsibilities. Getting management on board (by tying good recordkeeping to the bonus system) was a wise choice but may not be enough to stimulate the sort of drastic change that is needed. In comparison, the Australian federal government has been forward thinking when it comes to recordkeeping.

The National Archives of Australia website is very user-friendly and features useful step-by-step published guidance on recordkeeping as well as training modules that can be downloaded and presented, and course listings that staff can sign up for⁶¹. The attention recordkeeping receives in Australia may be directly related to the mindset firmly in place there; rather than a records lifecycle (with its distinct separate phases) Australian archivists envision a records continuum. A continuum has no borders or harsh breaks; it is a continuous series of elements that pass into each other. Frank Upward's Records Continuum Model is described as a conceptual framework for understanding recordkeeping that envisions records as existing in an interconnected context.⁶² The continuum model represents the multidimensional nature of the recordkeeping function by mapping «the evidential, recordkeeping and contextual features of the continuum

⁶⁰ *Ibidem*, p. 2.

⁶¹ National Archives of Australia, Australian Government. (Accessed March 31, 2009) <http://www.naa.gov.au/records-management/index.aspx>.

⁶² SUE MCKEMMISH, "Yesterday, Today and Tomorrow: A Continuum of Responsibility," Monash University, 1997-1998. (Access March 31, 2009) <http://www.infotech.monash.edu.au/research/groups/rcrg/publications/recordscontinuum-smckp2.html#fig1>

against the dimensions of the recordkeeping function». The conceptualized dimensions and what they encompass are not important in this context. I am proposing that an unbroken view of the existence of a record might be useful to encourage archivists of the importance of being attentive to recordkeeping always. This is in no way a new idea; I am in debt to Jay Atherton who wrote “From Life Cycle to Continuum: Some Thoughts on the Records Management-Archives Relationship” in 1985⁶³. This need for a relationship is made all the more pressing with electronic records.

It is well known that proper electronic records management at the federal level in Canada is far from being a reality. The federal government is woefully unprepared to deal with electronic records. No major steps have yet been taken to reverse this situation. City Archivist Ken Young reports that although the City of Richmond has had an electronic records and documents management system in place now for more than ten years, the reality is that the departmental and organizational culture has not yet integrated and accepted the EDRMS.⁶⁴ Some staff members use it, and others successfully avoid using it. Continual training is a reality that never disappears with an EDRMS. Any time new staff are hired they require training. The City of Richmond also found that refresher courses for all staff are very helpful for a more complete understanding of the system and serve to reverse bad habits.⁶⁵ Exacerbated by technology obsolescence, the situation requires that, when software is upgraded, the training must begin again for all staff. The City of Richmond is small in comparison to the federal government: the efforts of the city archivists have been huge and their successes laudable, but their to-do list is long. Although they have had twelve years of learning and implementation to build on, their task is ongoing. The archivists at the City of Richmond have a lengthy list that includes concerns about data migration, long term storage and en-

⁶³ ATHERTON, J.. From Life Cycle to Continuum: Some Thoughts on the Records Management-Archives Relationship. *Archivaria*, North America, 1, jan. 1985. Available at: <http://journals.sfu.ca/archivar/index.php/archivaria/article/view/11233/12172>. Date accessed: 10 Feb. 2010.

⁶⁴ KEN YOUNG and DOVELE BUIE, “City of Richmond’s Corporate Records Management Program”, Presentation to ARST 516, Richmond BC, March 2009.

⁶⁵ *Ibidem*.

sure that they are able to «create and maintain reliable and authentic electronic records using REDMS (Richmond Enterprise Document Management System)»⁶⁶. It would be a great success indeed to alter the current recordkeeping culture in the federal government in a mere five years. Better late than never, but TBPAC and the archivists in the Government Records Branch at LAC have set for themselves a huge task. Establishing a basic recordkeeping culture within the federal government will most likely take decades⁶⁷. At some point a solid initiative to start managing electronic records must be implemented as well – which involves more training, awareness and yet another shift in mind-set. At this point it is unclear how smooth the transition from macro-appraisal to the Recordkeeping Regime is.

Macro-appraisal turned out to be a great deal like alchemy. No matter which way you combine the ingredients, the fact that you are equipped with the wrong tools ensures that you have set yourself an impossible task doomed to failure no matter how hard one tries, or how sincere the attempt is. The reality is that physical and financial constraints make acquisition strategies a necessary evil. The best method currently available is to use the expertise of the records creators to winnow away the least important records, and then, over time, observe those records that have value and choose to preserve them. The best way to learn about the records that a government system generates is to look at records, and additionally harness the knowledge of the records creators. Part of harnessing this knowledge involves giving the creators the knowledge and tools they require to do their jobs well. The records deemed useful to their creators for the longest periods of time are *hopefully* also the records that contain the most condensed and interesting information to future users. The lofty goals of macro-appraisal forgot to consult the records creators and therefore made faulty decisions to keep records that were not there, because they had never been created. Let us *hope* that the new regime will manage to capture records useful for future users. Meeting the needs of future users may be ambitious. We can hope that the

⁶⁶ YOUNG and BUIE, “City of Richmond’s Corporate Records Management Program”, p. 18.

⁶⁷ A massive scandal is the only thing I can think of that might hurry this process along.

Recordkeeping Regime will improve accountability and access; on the surface it is starting with the correct ingredients.

I would go further, and posit that in time, if followed through, the process of acquisition by the national archives will improve. It seems common sense that a recordkeeping system, monitored and managed throughout the life of the records, would produce an environment easily accessible to archivists acquiring records for preservation at Library and Archives Canada. The federal level obsession with risk management can only mean good things for a national level acquisition strategy. Managing risks in government departments is tantamount to managing records. And maybe if a culture of good recordkeeping is eventually spread throughout the federal government of Canada there is hope for capturing records of long term value.

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Towards the Preservation of Web Records: a Case Study of the Capture, Arrangement and Description of a Professional Seminar eLearning Space

Titolo in lingua italiana

Verso la conservazione dei documenti Web: uno studio riguardante la cattura, la gestione e la descrizione di uno spazio di e-learning come seminario professionale.

Riassunto

Il seminario professionale è un corso di livello avanzato con varie aree di apprendimento che include spazi sia online che offline. Formulato sul modello della pedagogia costruttivista, è strutturato in attività che pongono al centro gli studenti stessi, con le loro riflessioni e i loro scambi di vedute, su di una piattaforma Web 2.0 composta da blog, forum e wiki (siti autogestiti). Riguardo a ciascun discorso formulato da rispettabili veterani o capitani d'industria, che si pronunciano in base ai rispettivi settori di appartenenza, gli studenti organizzano discussioni per categoria e fanno da moderatori su temi come la leadership, la comunicazione, l'etica e il pensiero critico. Tutto questo è seguito dall'interazione on line all'interno della piattaforma Web 2.0, che documenta la socializzazione, il dialogo e gli sforzi di comprensione da parte degli studenti. Questi documenti di interscambio sono fondamentali dal momento che vengono impiegati come raccolta di dati per la valutazione finale degli studenti, i quali possono così verificare i loro risultati di apprendimento. La sfida che il seminario professionale on line si pone per la gestione dei documenti archivistici è quella di fare in modo che gli interscambi effettuati nella piattaforma Web 2.0 possano essere mantenuti, gestiti e descritti così da raggiungere un livello di autenticità (ossia di identità e di integrità), di affidabilità e di facilità di utilizzo che duri nel tempo. Verrà descritto un prototipo di sistema che integri l'archiviazione dei dati e le funzioni di annotazione nel Web. Le immagini complessive delle pagine della piattaforma Web 2.0 vengono catturate come documenti e successivamente inserite in un sistema di gestione documentale, attraverso un processo di scansione. I documenti vengono poi raggruppati e classificati all'interno di una schema attraverso un processo di annotazione dei metadati da parte degli studenti. A questo punto possono essere creati dei metadati aggiuntivi in modo da aggregare queste annotazioni come una descrizione dello spazio di apprendimento acquisito nel Web. Molte delle sfide tecnologiche e delle soluzioni alternative verranno poste in essere nel corso della presentazione del prototipo di siste-

<p>ma. Verranno inoltre brevemente discussi gli ultimi sforzi della ricerca in modo da sottolineare il carattere distintivo della strategia proposta.</p>
<p>Parole chiave</p> <p>conservazione documenti Web; pedagogia costruttivista; annotazioni; metadati</p>
<p><i>Abstract</i></p> <p>Professional Seminar is a Master's level course with a blended learning environment that includes online and offline learning spaces. Modeled after constructivist pedagogy, it is organized around student-centered activities with their dialogic and reflective postings on a Web 2.0 platform consisting of blogs, forums and wikis. Upon each speech given by respected industrial veterans or captains in their respective fields of expertise, students organize and moderate break-out discussion on topics such as leadership, communication, ethics and critical thinking. This is followed by online interaction in the Web 2.0 platform that documents students' socializing, dialoging and sense-making efforts. These posting documents are essential as they serve as records required to account for a final reflective report by students to substantiate their learning results. The challenges for Professional Seminar's eLearning records management are how the postings on a Web 2.0 platform can be maintained, arranged and described so to achieve their reliability, authenticity (identity and integrity), accessibility and usability over time. A system prototype will be explained that integrates web "archiving" and web annotation functions. Complete snapshots of web pages of the Web 2.0 platform are captured as records and ingested into a recordkeeping system through a web crawling process. The records are then grouped according to a classification scheme, through a metadata annotation process, based on a sense-making theory that explains how students authenticate, rationalize, norm and position their thoughts for transformative learning. Additional metadata can then be created to aggregate these annotations as a description of the captured eLearning space. Many technological challenges and alternative solutions will be discussed along with the prototype system presentation. A brief state-of-the-art survey on similar efforts will also be discussed to highlight the distinctiveness of the proposed approach.</p>
<p><i>Keywords</i></p> <p>Preservation of Web Records; Constructivist Pedagogy; Annotations; Metadata</p>
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This paper describes a preliminary case study on eLearning records management in a blended learning environment. In InterPARES 2, the ideal record-making and record-keeping processes in the government, arts and science sectors are studied. Similarly, eLearning presents yet another domain where such study may be conducted. Furthermore, in the past few years, we have witnessed the wide adoption of internet digital technology, such as Web 2.0 and Virtual World, for educational purposes, similar to the cases in e-government, e-arts and e-science. In this paper we shall examine the concept of eLearning records based on a course called Professional Seminar, with the objective to formulate a framework for preserving eLearning records in general. The examination will proceed in two steps¹: first, the context in which eLearning documents are created will be examined. This is because the concept of record in the eLearning space is inevitably shaped by its underlying pedagogical theories, which confluences with the perspectives of the record authors, preservers, users, and creators in defining the records in such space. Second, the documentary form of the documents in this course mediated by the Web 2.0 technologies will be analyzed for their recordness and a method to keeping them will be demonstrated.

In the following, we should start by explaining the particular theory – Constructivist Pedagogy, after which the object of our case study – Professional Seminar – is modeled. After an exposition of Professional Seminar's structure that provides the context of our study, we then propose a framework of ideal record-making and record-keeping processes. As Professional Seminar platform leverages on Web 2.0 technology for its social learning capability, we then discussed the specific challenges towards preserving such Web records produced in blogs, forum and wiki's. A brief review of the current state-of-the-arts in preserving Web records is given, whose predominant methods rely on retaining snapshots of the web documents through a Web crawling process. Against this review, a framework is proposed based on the InterPARES 2 model of stored and mani-

¹ Particularly, we will be following the framework explained in the paper: LUCIANA DURANTII and KENNETH THIBODEAU (2006), The concept of record in interactive, experiential and dynamic environments: The view of InterPARES. *Archival Science*, Vol. 5, No. 2. p. 13-68.

fested documents where the mechanism for the records creating process of blogs, forum and wiki can be systematically analyzed for preservation approaches. A Web Annotation system under development will be demonstrated to show the ways these records may be classified and described upon metadata created from the annotation process.

Constructivist Pedagogy

In most current contexts, academic records typically consists of exam scripts, Grade Point Average (GPA), final year report, thesis (if required), and documents alike². However, pedagogical practice changes as new technologies advance. With the emergence of social media enabled by Web 2.0, “pedagogy through participation” rather than “pedagogy through instruction” has become the predominant paradigm of pedagogical theorizing under the “participatory revolution”³. Under such pedagogical thinking, students are “freed” from teachers’ deterministic instructional design while at the same time, “burdened” with the need to construct their own understanding based on their backgrounds through socializing with other students. Teachers’ responsibility shifted from a molder to a facilitator that nurture a collaborative learning space where “learning to be” rather than “learning about” becomes the main activities enacted in the learning process. These emerging pedagogical practices inevitably change the ways records are defined in a learning space. More than summative assessment such as GPA and thesis, the emphasis should be put on formative assessments and narrative accounts of the learn-

² For instance, a sample records retention schedule for student files is available at <http://www.lib.iastate.edu/spcl/arch/Schedule/Retention=Student%20Files.pdf>

³ The social learning principle advocated by Web2.0 (1) adjusts the focus from the content of the subject to *the learning activities* and *human interactions* around which the content is situated, in line with the gap identified by Light cited above. It also (2) redefines the concept of ‘mastering’ a subject as “*learning to be a full participant*” in the subject area which involves “acquiring the practices and norms of established practitioners in the field or acculturating into a community of practice”- “*learning to be*”-rather than “*learning about*” the subject matter. Reference: Brown, J. S., & Adler, R. P. (2008). Minds on Fire: Open Education, the Long Tail, and Learning 2.0. *EDUCAUSE Review*. 43 (1), 16-20, 22, 24, 26, 28, 30, 32.

ing process – a learning portfolio, for instance; the latter should be regarded as the main evidence of students' learning achievements.

The above peer-to-peer learning process describes the so-called Constructivist Pedagogy. Constructivist Pedagogy, by itself, is not a new concept; as advocated by Vygotsky⁴, it is very much focused on the relationship between the individuals and their social surrounding; the most compelling theoretical rationale for cooperative learning comes from Vygotsky, who claimed that human mental functions and accomplishments have their origins in social relationships. Mental functioning is the internalized and transformed version of the accomplishment of a group. The theory therefore assigns value to a group's common perspectives and solutions to problems as they are arrived at, through debate, argument, negotiation, discussion, compromise and dialectic.

Evidence-Based Practice: Record-making and Record-keeping in Constructivist Pedagogy

Drawing the insights of InterPARES 2 obtained from the arts sector, the methodology of teaching after Constructivist Pedagogy can be likened to that of an arts performance, particularly as performance of a piece of Jazz's music. Jazz is known for its ingenuity and improvisation. In Constructivist Pedagogy, the instructor's role can be likened to that of an artist who authored the music scores and the lead musician, who adhere to a pre-agreed guideline (the scores), ensuring sustained "performance", including conversation, dialogue and consensus building among the students, and removing impasses or conflicts through dynamic and in-situ interventions only when required. Like learning Jazz, we recognize the better way to learn soft skills is in the sustained practice of them (learning to be), rather than the knowledge about them (learning about).

To account for the pedagogical functions in such educational paradigm, the questions for the stakeholders (including teachers and students) and record-keepers alike are: how are the learning process

⁴ Vygotsky believed that the "*relation between education and life, and between the school and the social order must serve as a starting point for pedagogics*" which in turn became one of the basic tenets of constructivism. Cf. LEV VYGOTSKY (1926). *Educational Psychology*. St. Lucie Press. Florida, 1992.

to be accounted for? Following the InterPARES 2 framework⁵, this question can be readily formulated as: where are the potential **prospective** records – liken the score of a piece of music – and **retrospective** records – liken the recordings of music performance? The purpose of these records is to afford reflection and assessment between iteration of action so that the “performance” can be fine-tuned. Indeed, this process is well-known in educational research as **Action Research**⁶. Thus, in the mode of Action Research, our working hypothesis became that the successful practice of these soft skills by the students in the Professional Seminar manifest itself in the formation of a vibrant collaborative learning community where students engage each other in serious sense-making processes. Certainly, these records need to be determined to be of a fixed form and of stable content, which will be dealt with in detail in the last section on capturing Web 2.0 records. We are now ready to examine a particular case of Constructivist Pedagogy – Professional Seminar – by identifying the prospective and retrospective records in the case, and how these records can account for Action Research using a particular iteration as an example.

⁵ «Interactions between humans and computer systems, experiences enabled or mediated by experiential systems, and processes which are composed and carried out with at least some degree of spontaneity by dynamic systems are not the residues of action. They are not means of remembering either what was done or what is to be done. In short, they are not records. But, they can be **captured in documentary form** and some of these documents could be treated and used as records of interactions, experiences, or dynamic processes, that is, they may become **records of those activities**. In addition, interactions, experiences and processes are enabled by documents within such systems and these documents can serve as **prospective records**»: DURANTI, THIBODEAU (2006), p 59.

⁶ Action research is defined by Halsey (1972) as a «small scale intervention in the functioning of the real world . . . and the close examination of the effects of such interventions». See ALBERT HENRY HALSEY (1972). Educational Priority Volume 1: educational priority area problems and policies (London, HMSO). See Also, Newman, Judith M. (2000, January). Action research: A brief overview. Forum Qualitative Sozialforschung / Forum: Qualitative Social Research, 1(1). Available at: <http://qualitative-research.net/fqs> 2007

Professional Seminar – A Case of Constructivist Pedagogy

Since 2005, Division of Information Studies of the Wee Kim Wee School of Communication and Information at Nanyang Technological University has been offering Professional Seminar as a core course for its incoming batch of Master of Science students, with majors in Information Studies, Information Systems, and Knowledge Management. In 2008 we saw the number of students in the program reach 230. The students came from very diverse backgrounds in several aspects including age, culture, language and specialty. They also aimed at achieving different goals through the program, ranging from interest of new career in information, career advancement in existing work, exposing themselves in international learning environment, to self-enrichment and life-long learning. To take advantage of this complexity, rather than to be handicapped by it, one of the essential tasks to be achieved, then, is to orient and guide the students in forming a coherent and vibrant learning community. Such a community will then be conducive for students to forge collaboration and share knowledge by cross-fertilizing their diversity that naturally complements each others'. However, to engage this complex mix of students in one course is not as straightforward. In the past, foundational courses, such as Information and Society, had been offered with limited success, as content-specific courses will tend to suit one group but disfranchise another. Thus, we adapted by setting the goal of this core course to be cultivating students' soft skills, such as leadership, communication, critical/creative thinking, and entrepreneurship, which shall be relevant across the complex mix of motives and backgrounds.

Overall Course Structure of Professional Seminar

The seminars were spaced out so that there was one scheduled each month from 9.00 am to 5.00 pm on a selected Saturday.

Seminar 2 :	Date: September 27th 2008 (Saturday)	
	Venue: Lecture Theatre 1, North Spine, Nanyang Technology University	
Time	Agenda	Speaker/Moderator
0900 – 1000	Topic: Leadership	Mr. Heng Chiang Gnee
1000 – 1030	Panel Discussion	Mr. Heng and Dr. Wu
1030 – 1100	Tea Break	
1100 – 1230	Morning Break-out Session	Moderating Subgroups & Groups
1230 – 1330		Lunch Break
1330 – 1430	Topic: Ethics	Prof Cheong Hee Kiat
1430 – 1500	Panel Discussion	Prof Cheong and Dr. Wu
1500 – 1530	Tea Break	
1530 – 1700	Afternoon Break-Out Session	Moderating Subgroups & Groups

Figure 1: Sample One Day Seminar, including Speeches and Break-out Sessions

As shown in the Figure 1, each seminar session was identical, one each in the morning and afternoon session, each of which was followed by panel discussion. With breaks in between, the seminar was followed by student moderated break-out discussion sessions where the students in their groups moved to separate rooms to discuss the key take-aways of the seminar. During any one session, five sub groups were assigned moderation duty. The groups on moderation duty were required to facilitate and moderate the discussions of the other groups as well as consolidate the points that were brought up during the discussions in a 300 word summary report.

Mandatory participation in all three seminars was required of all the students enrolled in the unit. Absentees were required to submit official reasons for being absent as well as prepare summary reports on the affected seminar presentations. The interaction carries on beyond the seminar conducted in the physical (offline) space. As shown in Figure 2, in between the seminars, the students were required to extend these discussions using *blogs*, *forums* and eventually consolidate their view points under the *wikis* on the e-learning

platform designed to support these activities on the edveNTure. The participation on edveNTure was strongly encouraged but not mandated.

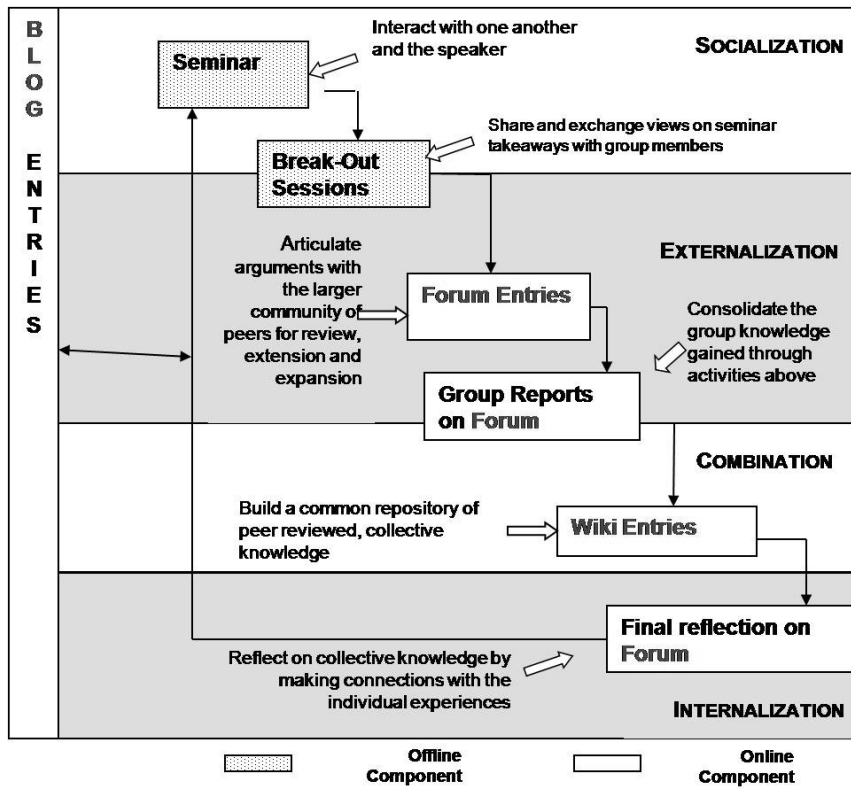


Figure 2: Online and Offline Spaces & SECI Knowledge Sharing Spiral on Web 2.0

Prospective records – design parameters and scaffolding

Dear Students,

Welcome to a new chapter in your life where you decide to take on the task of graduate study. Presented with many challenging courses and interesting topics to choose from, I know you are excited about the opportunities to understand, analyze, write reports, and perform well in exams and I congratulate you for having such enthusiasm, since an old Chinese saying teaches that “a good start is the beginning of success”.

Hopefully, success will begin with this mandatory course for all students in the three MSc programs called “Professional Seminar.” This course will be held over three weekends and will allow you to grab some free food while you network and learn. Which gurus can magically transform us into professionals in a couple of sittings you ask? Well, much thought and hard work has gone into the planning of this seminar. Special speakers were selected both from academia and industry to share their experience and knowledge with us. Food and venue were also prepared in advance to ensure that you have a great time while you learn. Two teaching assistants have also been assigned to help you along the way. All these were done with the hope that you would have a fun time enjoying the intellectual discourse while you socialize with each other over food and drinks. To pass this course, what you need to do is just attend all three sessions and turn in a 500 word report reflecting your experience. Simple isn't it?

Yet, you are expected to put in your best effort and share your thoughts and reflections openly with your classmates on your experience of the seminars, the topics and the speakers. Most importantly, you are expected to take charge and facilitate the discussion sessions, so that the sharing among yourselves can be facilitated. In other words, you are encouraged to learn to serve one another during the course of your studies.

Being at the forefront of technology, we have also taken advantage of the opportunity to allow you to extend your learning online. We are fortunate to have one of the most advanced eLearning platforms here in NTU called edveNTUre (edventure.ntu.edu.sg), equipped with Web 2.0 technologies like discussion forums, blogs and wiki. You will have the chance to experience this social media revolution by plugging yourself into cyberspace and continue your learning there. Expect an exciting ride with our “participatory community of eLearning.”

Attached is a write up on the course objectives and further details to help you understand more about the course. Please read it carefully, after which you should start contacting your course mates to brainstorm, organise yourselves and get ready to run with the seminar! If you have any queries please contact the following teaching assistants: Mr. *TA 1* – ****@ntu.edu.sg and Mr. *TA 2* – *****@ntu.edu.sg

Sincerely,

Course Co-ordinator of Professional Seminar

Figure 3: Instructor's Initiation Letter

Beyond the course structure, design parameters and scaffolding⁷ can be seen as prospective records that constitute a framework for forming successful learning community. Among them, one important design parameter of professional seminar is that there are minimal requirements

for students to pass the course: they are only required to attend all three seminars and submit a 500 word long final report. The intended objective of this is to free them of any burdens so that they concentrate solely on interacting with speakers and with one another. In invoking the Golden Rule, the lecturer explains to the students the extent of the efforts and resources required in organizing the professional seminar in an open letter to the students as a way to initiate them for the course (see Fig. 3). The letter also markets the quality of the invited speakers, the ambience combining fun and bite, and the facilitation and logistic work done by the TAs and division officers.

Similarly, rewards and gifts are put in place, on a case-by-case manner, to encourage participants who demonstrate initiative in participation as the seminar progresses (see Fig. 4, for certificates of Best Team in Collaborative Team Challenge). There are other scaffolding steps taken depending on the circumstances such as advice in organizing the group in the blog and initiating discussion in the forum.

By sensitizing students' sense of reciprocity, which is to counter what the course offers as well as the efforts put in by their fellow students, most of them will be initiated to demonstrate their share of the participation.

⁷ Vygotsky's notion of ZPD leads to the concept of scaffolding which Bruner views as assistance in the zone of proximal development. The term itself is a metaphor for a support system that compresses lengthy explanation of the term into a meaningful image that gives a glimpse of what lies beneath it. The term was initially used by Wood, Bruner, and Ross (1976) in an educational sense when they described scaffolding as a "process that enables a child or novice to solve a problem, carry out a task or achieve a goal which would be beyond his unassisted efforts". A research on Scaffolding for Professional Seminar will be published in Ravindran, T., Wu, H-J, Chia, Y. B., Nourbakhsh, A. "Scaffolding for Knowledge Creation in a Constructivist learning Environment – The case of Professional Seminar."

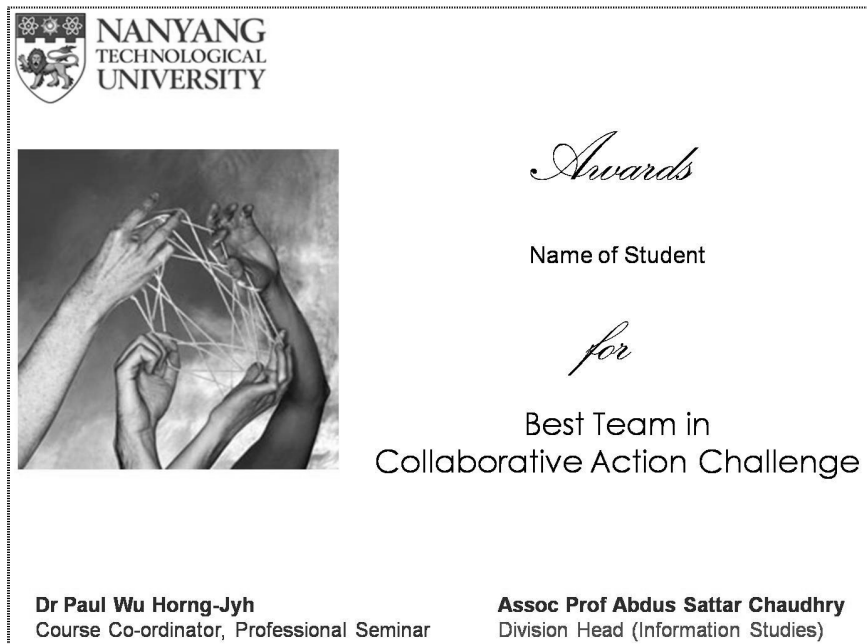


Figure 4: Certificate of Best Team Recognition

For students stronger in certain soft skills, the course provides an opportunity for them to exercise skills that benefits their fellow students. For those weaker in certain soft skills, they may learn from the stronger ones or they may experience the need to invest effort in learning such skills. Most critically, students may deploy their stronger skills to complement one another's; for example, we have witnessed how students who are good at critical thinking are bridged by their fellow students in communicating their thoughts to the rest (see Fig. 9 below for a sample reflective report on knowledge sharing).

Nonetheless, risks exist when students are not sufficiently skilled to start the above process of reciprocity and team work. In such cases, most of them will experience a certain dilemma: either they failed to moderate a discussion, or they are unable to be engaged in some circumstances. Nonetheless, they are encouraged to reflect on such experiences in their reports and blog postings, and engage each other

in discussing and problem-solving the dilemma in forums. In such cases, lecturers may take a more active role of intervention, which, however, does not entail imparting them with explicit advice, but making recommendations and helping the students in seeking a *minimal common ground* so that they can function together as a group. The objective is to help students find the most appropriate ways out for themselves, and by bootstrapping, they grow more complex skills through recursively leveraging upon more basic ones. Ultimately, in reaching praxis in the students' journey of learning, they need to go beyond the practice of soft skills, and be entrusted with the responsibilities of constructing their own practices based on self-reflection. Now, in the mode of Action Research, how do we become informed so to allow us to enact change that helps the students? It's time to examine the issue of the retrospective records as how well the students have been responding to the constructivist pedagogy as configured in Professional Seminar.

Retrospective Records and its Classification - SECI spiral & knowledge sharing functions

As shown in Fig 2, students' participation is extended in cyberspace in a cascade of Web 2.0 technologies: blogs, forums and wikis, which allows students to find an appropriate space for Socialization, Externalization, Combination and Internalization – the so called SECI knowledge sharing functions⁸. As shown in Fig 5.a, the functions of SECI is to guide students through a process of authenticating self-understanding, rationalizing and articulating thoughts, and norming and connecting on consensus, and then positioning and embodying their actionable knowledge through critical reflection, achieving a spiral of truly internalized knowledge.

Along these processes, blog, forum and wiki online spaces are being populated with entries and reports which can then be classified according to the above SECI process (see Fig. 5.b).

In the following, we shall discuss sample retrospective records according to their classification assigned by SECI functions per-

⁸ Nonaka, I., Toyama, R., and Konno, N. (2000). Seci, ba and leadership: a unified model of dynamic knowledge creation. *Long Range Planning*, 33(1):5-34.

formed by students in their learning process. By identifying these records, they form the basis for the formative assessment of the students' learning process, an emphasis over the conventional summative assessments. Observation is also made as which space these records may be identified. Before the discussion, the following Figs 6 to 9 show the postings captured from blogs, forums and wikis.

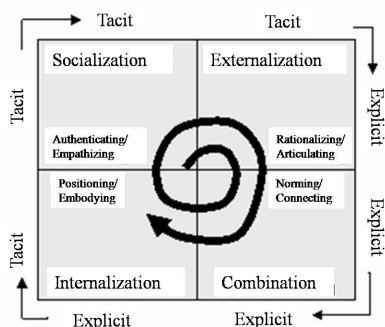


Figure 5.a: SECI spiral and knowledge sharing functions

Blog entries – Socialization

- Interact with one another and the speaker
- Share and exchange views on seminar takeaways with group members

Forum entries – Externalization

- Articulate arguments with the larger community of peers for review, extension and expansion
- Consolidate the group knowledge gained through activities above

Forum & wiki entries – Combination

- Build a common repository of peer reviewed, collective knowledge

Final report & forum – Internalization

- Reflect on collective knowledge by making connections with the individual experiences

Figure 5.b: Web 2.0 record creating spaces

Socialization

This process focuses on mutual transmission of tacit knowledge. Tacit knowledge goes across the private space through self-disclosure (see Fig. 6 for an example) thus enables personal knowledge to be exchanged during the process of interactions, observing, discussing,

analyzing, spending time together or living in the same environment. Socialization also functions to create new knowledge through shared experiences. The manner of production is more like in traditional environments where, for example, a novice learn the technique of wood craft from his master by working with him, rather than from reading from books or manuals.

Socialization in Professional Seminar may occur any time and any place: participating in the lectures, interacting with the speaker, introduce yourself and know each other in the group, chatting with others during the tea break, and so on. All these activities foster a kind of social network. Also, Professional Seminar enables students to keep in contact with one another through an online space; they gain new knowledge outside of their confine of physical environment, for example, by participating in online discussion, and browsing others' blogs, or viewing the wiki entries produced by other students.

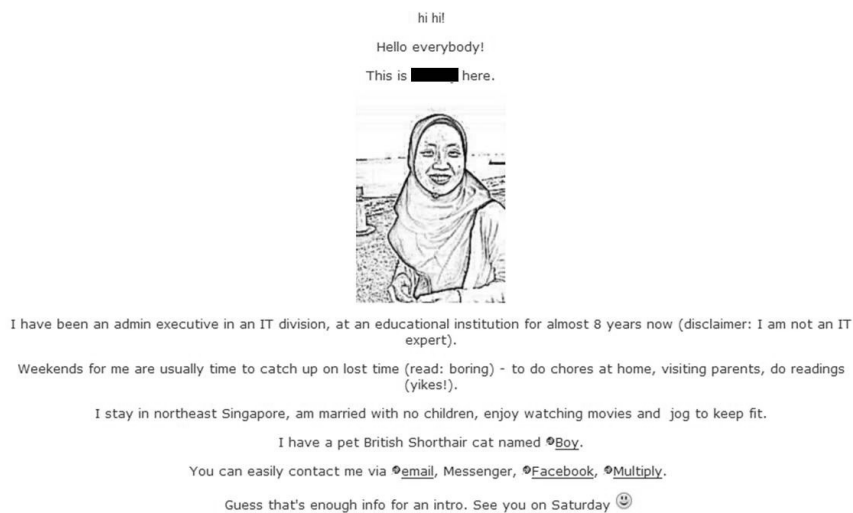


Figure 6: A sample blog post

Externalization

Thread: Career growth Vs Professional ethics and values		
Total posts: 13 Unread posts: 0		
<input type="checkbox"/>	Career growth Vs Professional ethics and values	.PARAMESHWARI D/O S KUNJU 9/28/08 6:57 PM
<input type="checkbox"/>	RE: Career growth Vs Professional ethics and values	.LEONG MUN MENG VINCENT 9/28/08 8:10 PM
<input type="checkbox"/>	RE: Career growth Vs Professional ethics and values	.YE THURA THET 9/29/08 12:10 AM
<input type="checkbox"/>	RE: Career growth Vs Professional ethics and values	.LEONG MUN MENG VINCENT 9/29/08 10:04 AM
<input type="checkbox"/>	RE: Career growth Vs Professional ethics and values	.YE THURA THET 9/30/08 10:17 AM
<input type="checkbox"/>	RE: Career growth Vs Professional ethics and values	.LIANG PEISHAN 9/30/08 11:39 AM
<input type="checkbox"/>	RE: Career growth Vs Professional ethics and values	.LIM LEE PING 9/30/08 3:34 PM
<input type="checkbox"/>	RE: Career growth Vs Professional ethics and values	.EDAWANTY BINTE ABDUL RAZAK 10/3/08 3:26 AM
<input type="checkbox"/>	RE: Career growth Vs Professional ethics and values	.ALVIN YEO CHENG HOCK 10/6/08 12:33 AM
<input type="checkbox"/>	RE: Career growth Vs Professional ethics and values	.GAN HWEE CHIN 10/15/08 11:44 PM
<input type="checkbox"/>	RE: Career growth Vs Professional ethics and values	.SHANMUGAM KUMARAN 10/21/08 11:32 AM
<input type="checkbox"/>	RE: Career growth Vs Professional ethics and values	.MOK CHEE HONG 10/27/08 10:08 PM
<input type="checkbox"/>	RE: Career growth Vs Professional ethics and values	.SIDDHARTH SUNDAR RAJAN 11/7/08 7:44 PM

Figure 7: A sample forum thread

This process focuses on the transmission of tacit to explicit knowledge. It helps to create new knowledge as tacit knowledge comes out of its boundary and became explicit knowledge. Externalization is often driven by metaphor, analogy and models, and during the process knowledge gets crystallized. It's like the way that an engineer taught his apprentices how to operate the machine. In the process, he articulated his knowledge and experience in a methodical manner so to be understood more readily.

In Professional Seminar, externalization mainly takes place in the offline break-out discussion first, and then, carries onto the online discussing forum. As students speak or write down their opinions, they present what they think, something that may have already embedded in their minds or been inspired by the speeches and by other students' statements. But if there is no platform like forum for them to externalize the views, it's possible that all these thoughts are merely "thoughts," and in no way, they would be able to be distilled into conceptual knowledge through a dialogical process. When someone wants to convince others, he/she should firstly be able to put the views in a reasonable frame, so images, symbols and language are used to make a clear statement. In the process of argumentation in the forum, students usually obtain a deeper level of understanding of their and others' opinions.

Combination

Combination is a process in which knowledge transforms from explicit to more systematic knowledge. Combine the existing explicit knowledge of different sources by collecting, understanding and modification can be a way of generating new knowledge. It's a process of packing knowledge and making them easily accessible by members. An example is that of a finance department that collects all financial reports from each department and produces a consolidated annual financial performance report. Creative use of database to make business report, sorting, adding, categorizing are also examples of combination process.

<u>Group 4.1</u>	<u>Group 4.3</u>	<u>Group 4.4</u>
<p>1)Reflection on the Issues</p> <ul style="list-style-type: none"> • Loyalty to co./friend? • Conflict of interest • Unfair advantage <p>2)What are the values?</p> <ul style="list-style-type: none"> • Serve e.co. to the best of my ability • Impartiality (fairness) • Friendship <p>3)Impact of the action</p> <ul style="list-style-type: none"> • May not really be the best candidate deprive my suitable candidate • Friendship affected <p>4)Is it ethical?</p> <ul style="list-style-type: none"> • No 	<p>1)Reflection on the Issues</p> <ul style="list-style-type: none"> • Whether people who are alerted to the loop hole report to the management • Should Kathi report the problem to her supervisor? • Whether Andre use the loop holes to be benefit himself <p>2)What are the values? Andre</p> <ul style="list-style-type: none"> • Integrity <p>Kathi</p> <ul style="list-style-type: none"> • Trust <p>Richard</p> <ul style="list-style-type: none"> • Trust • Loyalty <p>3)Impact of the action Not Report</p> <ul style="list-style-type: none"> • Financial loss to the company • Well being of Andre's mother • Conflict of interest <p>Report</p> <ul style="list-style-type: none"> • Disciplinary actions against Andre • Review the employee benefit program • Richard is betraying the trust of the Andre • Andre losses confident in Richard <p>4)Is it ethical?</p> <ul style="list-style-type: none"> • Yes – From company's point of view • No – From employees' relationship 	<p>1)Reflection on the Issues</p> <ul style="list-style-type: none"> • Using office copier for personal use <p>2)What are the values?</p> <ul style="list-style-type: none"> • Integrity • Honesty • Fairness • Responsibility • Loyalty <p>3)Impact of the action</p> <ul style="list-style-type: none"> • Using up limited resources • Indiscriminate misuse • Setting bad examples • Reduce productivity • Create unhappiness • Betraying company's trust <p>4)Is it ethical?</p> <ul style="list-style-type: none"> • No • Possible solution <p>Pay for usage of copier, after seeking permission</p>

Figure 8: Sample wiki entry with consolidated summary reports

The process of combination is represented by the wiki (see Fig. 8 for an example) and forum in Professional Seminar. Groups in charge of the moderation will collect other group's point of view, and by discussing and editing in group blog, the group members then sum up the opinions and work out the final report, and post it on wiki. During the combination work, students can examine the rationalities of knowledge sources and arrive at a common ground which may satisfy all parties' interests.

Internalization

By internalization explicit knowledge is transformed into tacit knowledge and is shared across the organization. It's also regarded as "learning by doing". Like in the case in externalization, remembering the academic steps to run a machine doesn't ensure the apprentices have mastered the skills. They have to practice by themselves, and thus internalization occurs.

Internalization in Professional Seminar is designed by reflective reports, in which they document what PS is meant for them and what they have learnt from this course. Through the experience of all sections in Professional Seminar, students absorb the explicit knowledge and generate their own views, which may be represented in actions and future practice (see Fig. 9 for an example).

It's true that knowledge sharing is power. No matter the cultural, lingual or ethical difference between groups of people knowledge sharing still fosters growth and so things are done faster and effectively than when knowledge is hoard. I guess that's why we are prospective knowledge Managers which is what we preach and are expected to practice in future.

After the professional seminar that day, I and my group decided we were going to find answers to the quiz given. We shared the work between us in the group in such a way that division of labor will be ensued. *Studente A* decided to collate the story while *Studente B* and others decided to find answers to the puzzles via the internet and books so to say.

Before researches became an option, we thought of using a very funny technique as we decided to act the drama posed in the questions given. We decided to tie *Studente C*'s, *Studente D* and *Studente E*'s face and from there we coined out something related to the answer. Likewise we got coins and started placing our coins but this time it wasn't really a round table that we got (lets called a spherical one where we sat for the brief minutes before we all left for home). Although we were unable to fill up the table when someone said she got the logic to the question and decided to conduct a detailed finding about it:

After the drama, we all left for our houses worn out and tired but with deep sense of anticipation that we can get the answers to the questions with our eyes gazed on the certificates promised. *Studente F* came up with the answer to one of the question but unfortunately, it came in Mandarin and it was sent to my email; I requested for the translation and thereafter *Studente B* translated it.

As for the Second question about the red caps, it likewise did come in Mandarin and *Studente B* did me lots of favour to translate it into English and after meeting on the Monday thereafter we were all able to get what it meant. It was such an interesting.

This is just that story of how things worked out; The answer is not here..... lol

Figure 9: Sample final report that reflects on the importance of sharing and complementing

At the end, the students' personal views may become consistent with the mainstream as the norm being agreed upon; on the other hand, they may diverge from it despite a certain degree of change. Hopefully this dissonance will become the starting point of a new round of engagement and SECI spiral, and the learning process continues.

In sum, Professional Seminar provides students a way to learn new knowledge and share what they know through interaction, thus helps them to internalize the valuable knowledge. As such, the dual goals of soft skills practice and community formation are optimally integrated and to be achieved simultaneously.

Preliminary assessment of retrospective records for action research

Several studies are underway to triangulate with the retrospective records produced by the students in assessing the effectiveness of Professional Seminar. One quantitative study uses questionnaire to survey students' perception of the senses of community and efficacy in the learning process, and its effect on that of the quality of knowledge shared. The initial finding of this study shows that the factors of Trust and Shared Vision have influenced students' assessment of the quality of knowledge shared. A second study uses qualitative interviews to investigate how students experienced the seminar in response to Constructivist pedagogy. Most students interviewed have related that they have gained much practical knowledge in communicating with fellow students. Meanwhile, based on the initial assessment retrospective records preserved, a complete SECI cycle is rarely achieved by students. Nonetheless students' reflection shows most have actively engaged with one another and been impacted to re-examine their life and resolve to commit to put into practice lessons learnt from the seminar. At the point of this paper, however, we are yet able to present a systemic analysis, which shall be covered in a future paper.

Capturing Web 2.0 Records

We now turn to the discussion on the record-keeping process and the technological context in Professional Seminar. We do this by

first examining the change from Web 1.0 to Web 2.0: most Web 1.0 websites contain static web pages. By taking snapshots of these web pages it will be sufficient to fix the form and content of these documents that are potential records. Even if the web pages are not static but are generated by retrieving content from querying database, they can become fixed in the form and content by themselves being taken snapshots of. Snapshot taking can be performed by typical web crawling methods. Most current web archiving efforts adopt this method for web capturing. As it assumes static HTML web pages, it does not, thus, distinguish between static documents, on the one hand, and interactive, experiential or dynamic web documents, on the other. This assumption proved to be too simplistic and several challenges have been faced when preserving Web 2.0 documents.

Record-ness of blog, forum and wiki documents in professional seminar

For Professional Seminar, blog, forum and wiki are the critical social media as it activates the interactivity via the documents. A closer inspection – as explained below revealed that they are basically stored dynamic documents, as they have a fixed form – certain variety of posting-comment structures and version tracking, and they stored input from users in generating the next manifested documents. The inputs are actually recorded experiences or responses resulting from the users being triggered in the engagement with other users. As such, Web 2.0 has also become an experiential system, as the users are responding and interacting with each other by expressing their thoughts and experiences on other people's thoughts. These documents are indeed records of Professional Seminar. This is because (1) they have fixed form and content (refer to the next section on capturing dynamic records in blog, forum and wiki)⁹; (2) they have

⁹ Here we cite an excerpt as support for blog, forum, and wiki postings as records from Durani L. & Thibodeau K., (2006) p 62. "A stored dynamic document, such as one which stores user inputs and uses them in subsequent manifestations or one which processes and presents, but does not store, data from users or from other external sources, might be said to be always in the process of creating, but never completing a manifested record. The manifested document might be a record if the processes which cause it to be forever in progress were terminated or if it were re-

explicit linkages to other records – for instance, comments are to a post in blog and replies are to a thread in a forum discussion, within or outside of the digital system, through a classification code associated with SECI sense-making process: Socialization, Externalization, Combination, and Internalization. (3) The documents are kept in a eLearning platform with clear administrative context (4) Each posting in blog, forum, wiki has a unambiguous writer and addressee, while the author is the instructor who prescribed the SECI learning spaces (5) The action associated with these records are retrospective records of a collective “performance” that are designed according to a Constructivist Pedagogy and “conducted” by the instructor of the course. After establishing the record-ness of blog, forum and wiki entries, it is time to examine how exactly these dynamic records can be captured to have stable content.

Capturing Dynamic Records in Blog, Forum and Wiki

Compare Fig. 10 with Fig. 11, we noted two main differences. First, there is no input feedback to the application server in Web 1.0, where there is in Web 2.0. Hence, there is no interactivity in Web 1.0 documents, although there exists one-time system processing to “integrate” various types of data and present the manifested document – that is, the web page as seen in the browser application. Second, there is no distinction between stored and external data in Web 1.0, while there is in Web 2.0. This is because Web 2.0 documents are dynamic and accommodate multiple sources of data that are updated in real-time, while Web 1.0 has a single source of content data. Furthermore, with the adoption of JavaScript and AJAX (that is, Asynchronous JavaScript + XML) programming paradigm, the server re-

moved from the dynamic environment and kept in some frozen form. However, the final state of a document somehow isolated from or rendered immune to dynamic processes would be static. But producing a static document in either way would amount to creating a different document. It might serve as a record of the dynamic process or its state at the moment it was frozen, but it would not be able to serve the dynamic purpose of producing variable output in response to a variety of different inputs or stimuli. In some cases, the stored dynamic document might be kept as a record, but that would not be possible in the case of documents covered by class 2.2.4 of Table I.”

sources, such as content data and rules, may be transmitted and cached in the browser application to have interactivity either directly through browser application, or remotely through server application, as shown in Fig. 11.

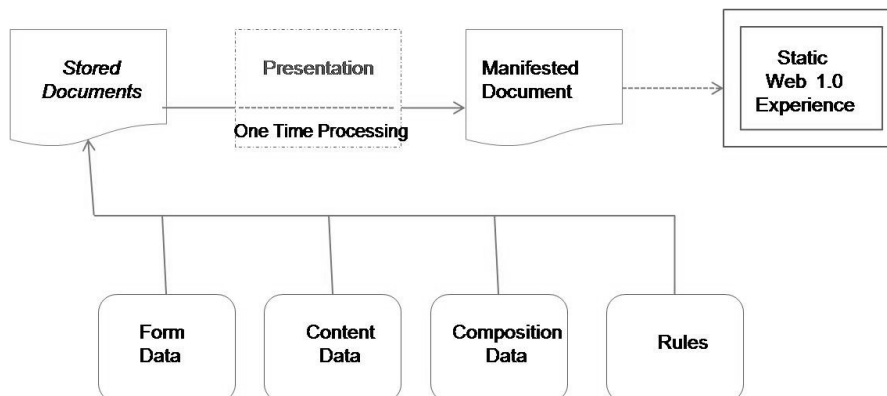


Figure 10: Generic Web 1.0 Model of Stored and Manifested Documents Adapted from InterPARES 2

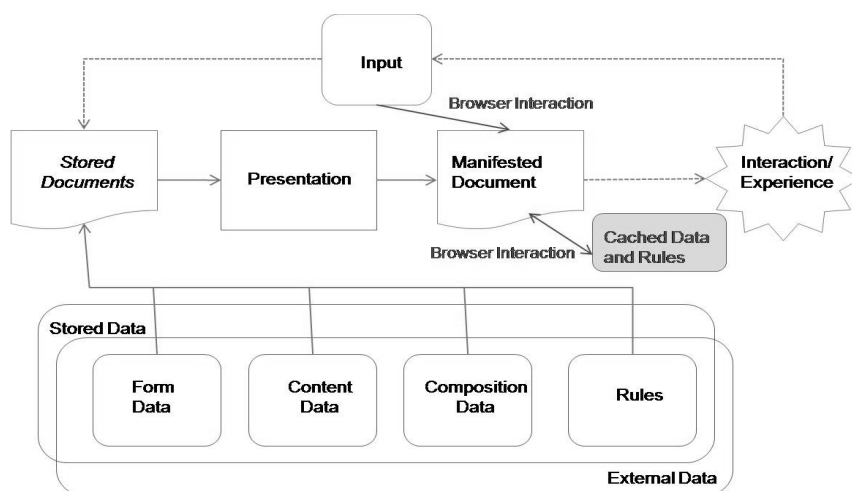


Figure 11: Generic Web 2.0 Model of Stored and Manifested Documents Adapted from InterPARES 2

With the models technically distinguished, we are able to examine the current Web preservation technological framework. As mentioned, most of the current methods of Web preservation are based

on snapshot taking. This is equivalent to say that Web preservation system can be seen as a transformation of Web 2.0 modeled system into a Web 1.0 modeled system¹⁰, as the prevailing aims are at *encapsulating* the records, as well as its manifested results, instead of *emulating* the software applications¹¹. However, this state-of-the-art approach to web documents capturing has three potential weaknesses. First, during the crawling processes, the Web 2.0 modeled system is captured when the URL's of a website is being recursively enumerated. The captured resources – content, form, composition data and rules – of the manifested web pages are stored away as static HTML files. When these static HTML files are accessed through the Web preservation servers, the interactivity is lost as the input is no longer able to direct messages to the “correct” application server. This will result in broken links or the browser receiving data from live, instead of the preservation – the correct source, Web servers. Second, the crawler (or Robot) has a pre-determined mechanistic ways of enumerating the URL's of a website. Many of the inputs that can be enacted by AJAX in Web 2.0 environment are outside of such scope, as the inputs were designed for personalized choices and random in nature; thus, the resulting manifested documents are not enumerated and captured, which should have been captured as an intrinsic part of the user experience interacting with the Web system. Third, as reflected by the “External Data” in Fig. 5.b, content may be added, deleted, or updated by parties simultaneously when the current session of interaction the crawler is simulating – for example, a comment is being added to a blog. However, these changes are not captured by the crawler as the update is not “pushed” to the browser simultaneously; as a result, such changes will only be captured in the next cycle of crawling process, while they could have been part of the user experience if so desired; here lies a subtle distinction between the 2D and 3D Web environments, which we now turn our discussion to.

¹⁰ For example, the International Internet Preservation Consortium (IIPC) employs Heritrix developed by Internet Archive.

¹¹ In general, there are four digital preservation strategies: encapsulation, migration, emulation, and universal virtual machine. Among many similar efforts, see National Library of Australia's (NLA's) Preserving Access to Digital Information (PADI) at <http://www.nla.gov.au/padi/topics/18.html>

From the overall perspectives of the Web, the above describes Web 2.0 as a ***Synchronous Experiential*** environment supported by interactive and dynamic documents, which is quite the same to a 3D Web environment supported by Virtual World or Computer Game, where “continuous” experience of interaction is essential. However, a closer examination of most Web 2.0 systems reveals that they are more ***Asynchronous*** than Synchronous ***Experiential*** environment where the real-time continuous experiences are not that critical – except perhaps for Twitter or Facebook type of social networking sites where degree of real-time-ness is one of important attractions. On the other hand, blog, forum and wiki systems do not require real-time, continuous interaction to be an essential part of the experience to be captured; rather, it is more about the logical flow of the information exchange where only the chronological order is important to be kept intact. If real-time interactivity is not critical, it’s possible to adopt an alternative mechanism to preserve Web pages by the creators to “push” their content and structure through syndication format such as ATOM. This provides an alternative to the prevailing crawling method, which shall be discussed in a later paper.

Developing Web annotation system to describe and arrange captured records

In this section, we briefly describe the Web Annotation for Web Intelligence (WAWI) system¹²; two technical design principles are recognized to achieve the objectives of preserving the context in cataloguing and arranging web archives:

- Relate Web content to the semantic content in the metadata
- Relate metadata to ontology in relational metadata.

¹² The content in this section is largely adapted from a published article: Wu, J., P. H., Heok, H., A. K., Tamsir, and P., I. (2007). Annotating web archives - structure, provenance, and context through archival cataloguing. *New Review in Hypermedia and Multimedia*, 13(1):55-75.

The WAWI annotation system is integrated with the web archiving platform developed by International Internet Preservation Consortium (IIPC)¹³, which comprises web harvesting and access components¹⁴: Heritrix, Nutchwax, and Wera.

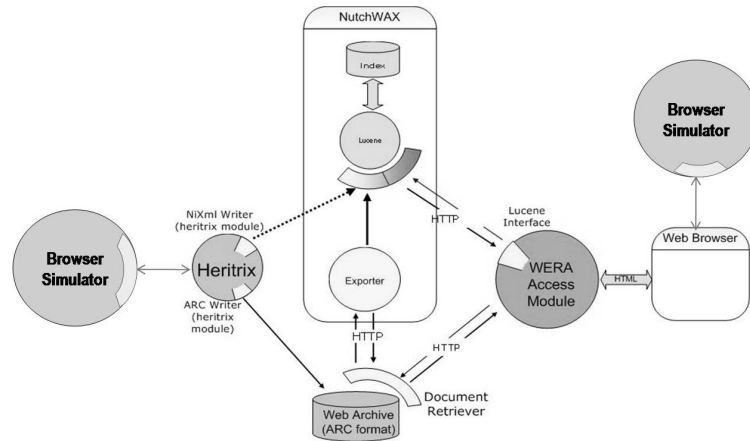


Figure 12.a: WAWI annotation and cataloguing system integrated with IIPC Web Archive platform

As shown in Fig. 12.a, the IIPC platform of Web crawling and access components is integrated with an annotation component. The annotation component is to retrieve captured web pages and allow users to annotate directly on the captured web pages. As to overcome limitations explained above to account for AJAX programming, server-side and client-side browser simulators need to be incorporated to enact the interactivity during both the capturing as well as the accessing time.

¹³ URL: <http://www.netpreserve.org/about/index.php>

¹⁴ Heritrix URL: <http://crawler.archive.org/>; NutchWax URL: <http://archive-access.sourceforge.net/projects/nutch/>; Wera URL: <http://archive-access.sourceforge.net/projects/wera/>

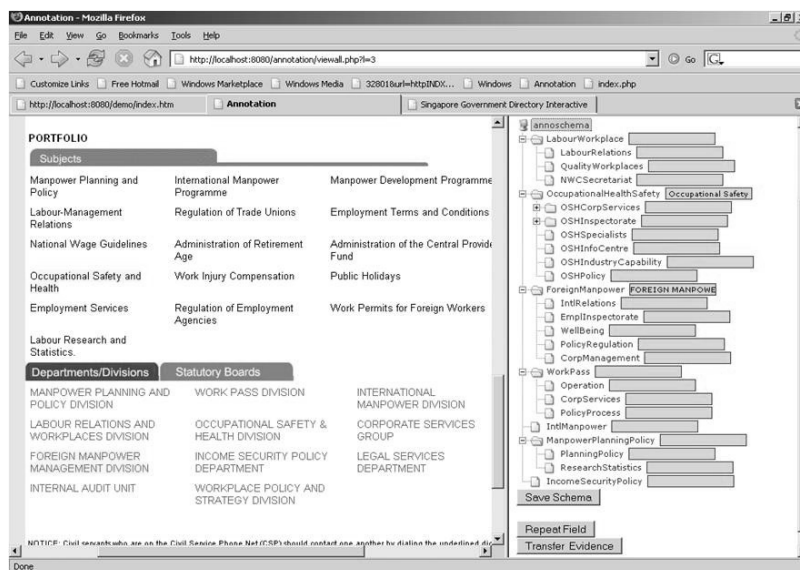


Figure 12.b: Annotation Schema, an ontology reflecting an organization chart in Singapore Government Directory interactive Website

In Fig. 12.b, it is demonstrated using a preserved Singapore government website as an example, where the right-hand panel shows the semantic model of the organizational chart, which is linked with the content on the left-hand-side, which is the captured web page published to the public about the government organization. We are not able to demonstrate using Professional Seminar captured web records as we are still overcoming the difficulty faced in crawling the blogs, forums and wikis. Ultimately, for Professional Seminar, the SECI knowledge sharing schema will be used as schema to annotate the captured web pages; that is, blog, forum, and wiki posting will be classified as Socialization, Externalization, Combination, and Internalization. These records will be arranged as a SECI spiral according to each Internalization records, mostly expressed in the final reflection report. These aggregated records, pertaining to SECI spirals achieved by individuals or groups, can be seen as “mini-series” that represent the process-bound information on the learning experience – retros-

pective records – of the students’ performance according to Constructivist Pedagogy. Encoded Archival Description (EAD) can be applied to further organize these mini-series, in which case, an ontology corresponding to EAD shall be configured to “link” metadata of mini-series. These metadata is stored in a XML-database and thus, can be searched through specifying various search parameters. For readers who are interested in the further detail of WAWI, please refer to the reference in Footnote 12, entitled “Annotating web archives - structure, provenance, and context through archival cataloguing.”

In an e-learning environment, it’s possible to capture the records in parallel to its creation. The timely capture of records certainly helps establish the reliability of these records at the first place. By capturing all the necessary digital components, and fix their forms, contents and structures, the integrity of the records will also be established. By describing these captured documents using annotation metadata and classification code upon crawling, the authenticity and reliability of the records can be further enhanced. In WAWI system, the metadata, including the ontology, are stored as instances of XML-documents and are indexed accordingly. The accessibility to these captured documents is ensured. In sum, we believe the Web annotation system, together with improved Web capturing systems, will be an essential tool to ensure the high quality of Web records preservation.

Concluding Remarks

In this paper, we considered the issues involved in identifying the records in Constructivist Pedagogy. Using Professional Seminar as a case, we explained how it can be seen as an experiential learning environment supported by Web 2.0 technologies; by likening Professional Seminar to a Jazz performance, we identified the potential prospective and retrospective records of Professional Seminar. We argued how SECI knowledge sharing process can be used to classify documents captured in blog, forum and wiki, as the essence of their performances. Research, with other triangulation measures, is underway to examine these records for assessing the students’ learning achievement in the current iteration of ac-

tion research. Initial finding suggests that although there are few complete SECI knowledge sharing cycles achieved by students, they have gained much practical knowledge in communicating with one another and in forming an active learning community. In the second half of the paper, we turned our attention to the development of Web preservation efforts, and highlighted several limits of the current approach to capturing dynamic records. Based on the framework established in InterPARES 2, we are able to isolate the problems and suggest solutions to overcome such limits. Lastly, we briefly showed a Web annotation system – WAWI – which is under development to classify and describe captured Professional Seminar e-Learning records. We argued Web annotation system like WAWI is an essential tool in a Web preservation system as they are able to maintain the quality of preserved records. Our immediate task is to complete the development of WAWI and conduct a full pilot study on a Professional Seminar course. Besides resolving the technical issue, one important success factor is the collaboration needed from the technical support unit – Center of Educational Development (CED), which like typical technical organizations, may not readily appreciate the complexity of digital preservation and need to help them overcome the initial hesitation before involving them.

Two potential future works may extend the current project. First, it may be timely to consider how records and their classification can be defined for e-Learning systems in general, even though they may not endorse Constructivist Pedagogy. We do suspect Constructivist Pedagogy marked the boundary for such consideration as it's the most further away from the traditional norms, which already have well-established record-keeping practices. Second, although the prevailing Web records capturing tool is based on the crawling method. However, it is noted for Web 2.0 environment, there may exist an alternative to the traditional method. Given that Web 2.0 is essentially asynchronously experiential, the content syndication framework such as ATOM may well be appropriate for preserving Web 2.0 systems as well. However, besides blog syndication, little has been attempted for forum and wiki along the line of standardized content packaging. Nonethe-

less, most industrial players do recognize “migration” (from one server to another server) is critical to Web 2.0 systems, and promoted ATOM and its equivalents for such purposes. In a similar way, we shall argue: for digital preservation ATOM can be promoted as a standard content format not only.

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Recensioni e segnalazioni

JOSÉ ANDRÉS GONZÁLEZ PEDRAZA, *Los archivos de empresas. Qué son y cómo se tratan*, Somonte-Cenero, Ediciones Trea, 2009 (Archivos siglo XXI, 13), p. 141

González Pedraza, archivista de la Sociedad Anónima Hullera Vasco-Leonesa en la Fundación Hullera Vasco-Leonesa, autore di studi sugli archivi minerari, ha realizzato il primo manuale di archivistica d'impresa spagnolo, che consente di allargare gli orizzonti degli archivisti in chiave comparativa. L'agile volumetto, che si propone – come gli altri della collana editoriale entro cui è inserito – di offrire un quadro sintetico e di facile approccio di un tema specifico, è articolato in quattro sezioni.

Nella prima (*Introducción*, p. 11-16) l'autore chiarisce i caratteri distintivi di un archivio d'impresa rispetto agli altri archivi e sottolinea gli elementi, soprattutto metodologici comuni. Presenta le principali problematiche connesse alla tipologia del produttore e derivanti dal fatto che le imprese sono prevalentemente private e dimostrano scarsa propensione alla conservazione; ma insiste sulla necessità di considerare gli archivi d'impresa come fonti privilegiate per la ricerca storica di un'età, come quella contemporanea, caratterizzata dalla pervasività del fenomeno industriale.

Segue la seconda sezione (*Los archivos de empresas: ¿qué son?*, p. 17-26), nella quale viene data la definizione di archivio d'impresa connessa alla tipologia del soggetto produttore, di cui si richiama la vocazione al perseguimento di un utile, alla difesa dei propri interessi e alla costruzione di un'immagine, che si concretizza in un marchio. Si passano in rassegna le differenti modalità di conservazione di un archivio d'impresa e i rischi connessi alla fisionomia dell'impresa, ma anche le potenzialità d'uso proficuo dell'archivio per l'imprenditore.

Nella terza sezione (*Los archivos de empresas: ¿quiénes son?*, p. 27-57) l'autore, dopo aver ricordato le tappe principali e le cause dello sviluppo dell'attenzione degli storici, dei governi e degli imprenditori per gli archivi d'impresa, passa in rassegna le differenti posizioni, realizzazioni e criticità delle scelte gestionali operate negli Stati europei (Germania, Regno Unito, Francia, Italia [pur con una piccola imprecisione circa l'Archivio Datini di Prato], Belgio) e conclude, dopo un accenno alle iniziative degli organismi internazionali, con un'analisi della situazione spagnola, si cui esamina lo sviluppo della storiografia d'impresa, le normative nazionali e regionali in materia di tutela del patrimonio archivistico, le tipologie di imprese che hanno

prodotto archivi, le modalità con cui si è realizzata la conservazione nei centri, pubblici o privati, proprietari a vario titolo di archivi imprenditoriali.

Nell'ultima sezione (*Los archivos de empresas: ¿cómo se tratan?*, p. 59-129) sono affrontate alcune questioni pratiche che hanno una ricaduta sulle scelte di trattamento archivistico, anche nella fase di formazione dell'archivio, in quanto spesso determinate da disposizioni normative generali o settoriali. Dopo aver precisato la fisionomia del produttore, esaminata alla luce del diritto mercantile e del contesto in cui si sviluppa, l'autore illustra i vari tipi di impresa (industriale, commerciale, di servizio), si sofferma sulla organizzazione interna e il funzionamento degli uffici, ribadendo la necessità che le imprese si avvalgano di professionalità archivistiche per organizzare il proprio archivio corrente, tema peraltro sviluppato dai colleghi spagnoli nell'ottica dell'archivio come strumento sia organizzativo sia informativo all'interno degli enti produttori. L'autore insiste molto sulle metodologie di gestione dell'archivio corrente dell'impresa, per le quali fa riferimento a normative, standard e direttive internazionali, e propone un percorso per determinare un quadro di classificazione riferito alle funzioni proprie dell'impresa (direttiva, amministrativa, commerciale, tecnica) e alle attività e attento alla gestione dei flussi di lavoro e documentali. Il riferimento alle significative esperienze dell'Associazione degli Archivisti Francesi è costante e dichiarato. L'autore analizza poi le tipologie documentali prodotte dalle imprese, per ognuna delle quali fornisce la descrizione, i riferimenti normativi, le modalità di trattamento archivistico: tra quelle esaminate (documenti costitutivi, atti degli organi direttivi, conti annuali, atti dei revisori dei conti, atti dell'attività ispettiva del governo, registrazioni azionarie, contratti, scritture notarili, registri contabili, fatture, assicurazioni e atti previdenziali, assunzioni del personale, fascicoli dei dipendenti, atti degli organi di rappresentanza dei lavoratori) non compaiono i documenti riconducibili alle funzioni commerciali e tecnica peraltro citate in precedenza come attività che producono documentazione. Concludono la sezione alcuni paragrafi dedicati alle attività archivistiche da svolgere all'interno di un archivio d'impresa: la descrizione con appositi strumenti, la ricerca, la divulgazione e il marketing, la gestione dell'accesso nel rispetto della riservatezza, il trattamento dei documenti digitali nativi.

Correda il volume la *Bibliografia* (p. 131-141).

Giorgetta Bonfiglio-Dosio

“*Scrissi queste memorie ad esempio de’ miei trapassati*”. *L’archivio Bortolamedi di Roncogno nell’Archivio storico del Comune di Pergine Valsugana*, a cura di Katia Marckel, Pergine, Archivio storico comunale, 2009 (Acta Peruginensia, 2), p. 422

Il pregevole e accurato inventario di questo articolato archivio familiare (1501-1869), formato da 490 unità fra pergamene, registri, quaderni, fascicoli e documenti sciolti, all’interno del quale sono stati identificati nuclei documentari di altri soggetti pubblici e privati, è debitamente introdotto da un ampio ragionamento sugli archivi familiari, di cui la curatrice illustra genesi, caratteristiche e contesto normativo, dall’illustrazione dell’archivio Bortolamedi di Roncogno e dei criteri di redazione del lavoro. La descrizione è molto analitica, in quanto presenta i regesti dei documenti sciolti e la ricostruzione delle serie e della struttura, in modo convincente. Sono presenti gli alberi genealogici della famiglia principale e di altre famiglie (Fontanari Costasavina, Sartori). A corredo del lavoro l’indice dei nomi di persone e l’indice dei nomi di luogo.

Giorgetta Bonfiglio-Dosio

AMELIA VIANELLO, *Gli archivi del Consiglio dei dieci. Memoria e istanze di riforma nel secondo Settecento veneziano*, Padova, Il Poligrafo, 2009, p. 247, ill. (Ricerche. Collana della Facoltà di lettere e filosofia dell’Università di Venezia, 55)

L’archivio che svela se stesso e, nel contempo, i percorsi di selezione e riordino dei documenti giudiziari ai fini amministrativi ma anche per finalità storiografiche volte ad alimentare il mito di Venezia: questo l’interessante approccio con il quale l’autrice ha trovato e usato le testimonianze archivistiche per ricostruire un periodo delicato e strategico della storia lagunare. La ricerca, che merita una lettura attenta e riflessioni approfondite sul tema della *traditio* archivistica, gestita in modi sempre nuovi dal produttore stesso delle carte, si può sintetizzare con alcune osservazioni dell’autrice: «In tale fase di svolta, nel XVIII secolo, in cui matura il nuovo valore dei documenti e che porta a una “rivoluzione” dei luoghi atti a custodirli, gli archivi assumono una nuova fisionomia e una reale importanza istituzionale, civile e culturale. Francesco Dona’, ultimo storiografo pubblico, rivendicherà la possibilità di entrarvi, per estrapolare le copie di quegli atti che, soli, possono dare alla Repubblica la sua “vera” storiografia, il suo vero volto, ora oscurato e deturpato dalle *Storie* dei molti stranieri, non basate sul materiale archivistico, ma su pregiudizi e

supposizioni, anche immaginifiche, dettate spesso dalle suggestioni del mito e dell'antimito, che nel Settecento fa della Dominante una Città dove ci può essere "tutto" e il contrario di "tutto"; una vera chimera, uno specchio: un *luogo del desiderio*» (p. 127). L'analisi delle opere di ristrutturazione edilizia e di riordino delle carte, che ha portato alla luce documenti e progetti, è incentrata sull'archivio del Consiglio dei dieci, magistratura cardine dell'ordinamento veneziano, oggetto di costruzioni storiografiche antitetiche giocate sull'alone di segretezza che circondava l'opera di tale Consiglio, ma allude ed accenna anche ad altri interventi archivistici intrapresi dalla Repubblica negli ultimi decenni di vita. La lettura è proficua perché interpreta con incalzante lucidità, padronanza della materia e suggestione episodi di storia della gestione archivistica e politiche della memoria alla luce di avvenimenti istituzionali e tempre culturali rilevanti per le vicende lagunari.

Giorgetta Bonfiglio-Dosio

La casa di Dio, la fabbrica degli uomini: gli archivi delle fabbricerie. Atti del convegno di Ravenna (26 settembre 2008), a cura di Gilberto Zacchè, Modena, Mucchi editore, 2009, p. 160, ill.

Il curatore stesso presenta (p. 5-8) in modo riassuntivo il contenuto del volume, dedicato agli archivi delle fabbricerie, particolare istituto formato sostanzialmente da laici per l'amministrazione dei beni ecclesiastici e per assicurare i mezzi necessari al culto, istituzione di durata secolare, complessa, soggetta a trasformazioni ricorrenti e adattamenti al contesto in cui è di volta in volta collocata, come ben emerge dai differenti contributi. Euride Fregni presenta l'inventario della Fabbriceria di San Petronio, curato da Mario Fanti (p. 11-13) del quale tratta più ampiamente Lucio Riccetti (*Mario Fanti e l'Archivio della Fabbrica di San Petronio*, p. 15-28). *L'archivio dell'Opera del Duomo di Orvieto e i suoi archivi aggregati: organizzazione e gestione* sono illustrati da Laura Andreani e Carlo Rossetti (p. 29-48); mentre Assunta Di Sante tratta di *L'Archivio storico generale della Fabbrica di San Pietro in Vaticano e i suoi strumenti di corredo* (p. 49-60). Francesca Cavazzana Romanelli e Irene Favaretto illustrano *Gli archivi delle fabbricerie veneziane: dalle chiese parrocchiali a San Marco* (p. 61-71). Ampia e particolarmente accurata è la ricostruzione delle modalità di organizzazione archivistica della veneranda Fabbrica del Duomo di Milano effettuata da Annalisa Albuizi (p. 73-120). All'Opera del Duomo di Pisa sono dedicati due interventi (Gabriella Garzella, *I marmi e le carte: l'Archivio dell'Opera del Duomo di Pisa. Una fonte preziosa per la storia della Chiesa e della città*, p. 121-124 e Cecilia Poggetti, *I marmi e le carte: l'Archivio dell'Opera del*

Duomo di Pisa. Il trattamento della documentazione: criticità, aspetti metodologici, potenzialità informative, p. 125-127). Infine due casi fiorentini (Lorenzo Fabbri, *L'Archivio dell'Opera di S. Maria del Fiore di Firenze*, p. 129-139, e Claudia Timossi, *L'Archivio dell'Opera di Santa Croce di Firenze*, p. 141-148) e uno di Reggio Emilia (Giuseppe Adriano Rossi, *L'archivio del Tempio della Beata Vergine della Ghiara in Reggio Emilia*, p. 149-158). Il volume è particolarmente utile, oltre che per mettere a fuoco le caratteristiche di un'istituzione multiforme, per conoscere le differenti esperienze di ricognizione, studio, inventariazione e utilizzo storiografico di tale tipologia di archivi.

Giorgetta Bonfiglio-Dosio

E viene il tempo della piet . Sentimento e poesia nei testamenti. Catalogo della mostra (5 novembre 2009-26 febbraio 2010), Milano, Archivio di Stato, 2009, p. LXXV-187, tav. f.t. 14

Interessante iniziativa dell'Archivio di Stato di Milano e degli allievi della Scuola di Archivistica, la mostra ha prodotto un catalogo a pi  mani, che vede la collaborazione anche di Domenico de Stefano, presidente del Consiglio notarile di Milano, di Massimo Caspani, direttore della Scuola di notariato della Lombardia, e di Mario Molinari, sovrintendente dell'Archivio notarile di Milano, che hanno trattato del testamento. Dopo la presentazione dei fondi notarili da parte di Maria Barbara Bertini, si possono leggere i contributi degli allievi dedicati all'inquadramento del tema, all'arenga, al prologo, agli atti di ultima volont  degli arcivescovi di Milano, ai viaggi e pellegrinaggi, ad aspetti concreti presenti nei testamenti, il tutto coordinato da Alba Osimo, con l'intento – dichiarato – di passare dalla *grande histoire* alla *petite histoire*, sulla scorta dello sviluppo della storiografia degli ultimi decenni.

Giorgetta Bonfiglio-Dosio

ISABELLA ZANNI ROSIELLO, *Gli archivi nella societ  contemporanea*, Bologna, Il Mulino, 2009, p. 210

L'autrice presenta una proposta di approfondimento e riflessione sugli archivi, che si apprezza per l'approccio originale, colto e, allo stesso tempo, ammiccante e discorsivo. Il libro, frutto di indiscutibile dimestichezza scientifica con il tema affrontato, contiene positivi sconfinamenti disciplinari e realizza, con garbo e intelligenza, apprezzabili superamenti di banalit  correnti e di condizionamenti burocratici.

Si articola in sei capitoli: il primo (*Definizioni, stereotipi, rappresentazioni visive*, p. 9-22) costituisce un felice punto di incontro fra gli archivisti e la collettività, propone una carrellata di casi di raffigurazione di archivi offerti dai media, e in particolare dalla carta stampata, e si traduce in un invito agli addetti ai lavori a verificare il reale impatto della loro opera sulla società e a capire come il mondo degli archivi viene recepito e vissuto. Il secondo (*La realtà archivistica*, p. 33-65) esamina la effettiva sostanza degli archivi – partendo dalla duplice accezione di memoria-documentazione e memoria-autorappresentazione – e passa in rassegna le modalità di conservazione degli archivi tradizionali e di quelli digitali. Il terzo (*Conservare il presente-passato*, p. 67-106) presenta una riflessione sui meccanismi di tradizione e selezione della memoria, sul suo differente stratificarsi talvolta indipendentemente dalle pratiche professionali specifiche, dedicando ampia attenzione sia alla selezione-trasmissione dei documenti cartacei sia a quella dei documenti digitali. Nel quarto (*Libertà, limitazioni, divieti*, p. 107-143) la Zanni analizza lo spinoso rapporto fra documentazione accessibile e documentazione esclusa dalla consultazione per vari, differenti motivi. La ricostruzione del difficile e lungo passaggio degli archivi «da un regime di sostanziale segretezza a un regime di tendenziale libera consultabilità», la dettagliata analisi dell'attuale quadro normativo, un'ampia e particolareggiata rassegna di archivi negati, archivi nascosti, archivi segreti e, di contro, di archivi svelati, avvincono e documentano il lettore.

Nel quinto, *Informazioni e mediazioni* (pp. 145-173), l'autrice ripercorre l'evoluzione della cultura e dei metodi di mediazione tra documenti e consultatori che si è verificata negli ultimi decenni e riflette sulle nuove forme di comunicazione del patrimonio archivistico, prendendo l'avvio dalla vocazione e dal mandato degli strumenti di ricerca, ripercorrendone l'evoluzione nei secoli e soffermandosi sull'attuale realtà italiana. Nell'ultimo capitolo (*Usi e interrogativi*, p. 175-203), infine, tratteggia e commenta il nuovo rapporto fra archivisti e storici, ma anche le nuove modalità di utilizzazione degli archivi da parte di tali, tradizionali, utenti ai quali si affiancano altre figure di fruitori, anche alla luce dei «nuovi significati che sta assumendo l'archivio sia in quanto luogo di per sé simbolico di un passato collettivo, sia in quanto insieme di documenti-fonte per la riappropriazione da parte di singoli cittadini di tratti della loro storia individuale o per la rivendicazione di diritti alla trasparenza, all'informazione, alla tutela della propria privacy».

Concetta Damiani

Archivio comunale di Fratta Polesine. Inventario della sezione separata (1807-1966), a cura di Maria Lodovica Mutterle e Amelia Zagato, Venezia, Giunta regionale del Veneto, 2009, p. 351 (Archivi non statali della Regione del Veneto - Inventari, 13)

La sezione separata dell'archivio comunale di Fratta Polesine, in provincia di Rovigo, è composta da 2055 pezzi. Essa comprende, oltre all'archivio storico del Comune (1807-1966, 1713 pz.), anche gli archivi aggregati di alcune istituzioni pubbliche operanti a Fratta Polesine nel XIX e XX secolo: *Congregazione di carità di Fratta Polesine* (1870-1937, 82 pz.); *Ufficio di conciliazione di Fratta Polesine* (1893-1993, 90 pz.); *Società operaia di mutuo soccorso di Fratta Polesine* (1891-1900, 1 pz.); *Consorzio veterinario tra i comuni di Villamarzana, Fratta Polesine, San Bellino e Villanova del Ghebbo* (1906-1980, 16 pz.); *Ente comunale di assistenza di Fratta Polesine* (1937-1978, 145 pz.); *Comitato di Fratta per l'erezione del monumento ai martiri dello Spielberg* (1925, 1 pz.); *Fascio di combattimento di Fratta Polesine* (1925-1931, 1 pz.); *Comitato pro monumento ai caduti di Fratta Polesine* (1928, 1 pz.); *ONMI. Comitato comunale di patronato di Fratta Polesine* (1938-1962, 5 pz.). La struttura dell'archivio comunale presenta una suddivisione storico-istituzionale in tre periodi: *Regno d'Italia napoleonico* (1807-1813), che comprende però in prevalenza solo «atti contabili, inviati dal Comune tra il 1815 e il 1816, al Podestà e al Cancelliere censuario di Lendinara, restituiti in epoca successiva al ... 1821» (p. 1); *Regno Lombardo-Veneto* (1815-1865), durante il quale venne progressivamente applicato il sistema protocollo-titolario e si creò la serie del carteggio classificato: «i documenti sino al 1820 sono solo protocollati, ... dal 1821 [sono classificati] secondo i vari titolari in uso nel corso degli anni: ... dal 1821 al 1825 è presente solo il livello di classificazione per titolo; dal 1826 al 1865 i livelli di classificazione sono due: titolo ... e fascicolo» (p. 2); *Periodo unitario* (1866-1966), durante il quale si delineano numerose nuove serie, le più importanti delle quali sono naturalmente quelle delle deliberazioni del Consiglio, della Giunta e del Podestà. La parte più antica dell'archivio è quindi organizzata in un'unica serie (*Amministrazione e contabilità*), la seconda in due serie (*Carteggio* e *Contabilità*), la terza in venti (*Deliberazioni del Consiglio comunale, Deliberazioni della Giunta comunale, Deliberazioni del Podestà, Protocolli, Amministratori e commissioni comunali, Personale dipendente e segretari comunali, Contratti, Carteggio, Corrispondenza riservata, Spedalità, Vaccinazioni, Cimitero, Contabilità, Imposte e tasse, Servizio elettorale, Leva, Lavori pubblici, Commercio, Stato civile, Anagrafe, Mappe catastali*). La tripartizione archivistico-istituzionale appena descritta non si ritrova invece negli archivi aggregati, i quali possiedono una loro peculiare organizzazione in serie, tipica di tali archivi.

Le archiviste descrivono analiticamente il profilo istituzionale e amministrativo del Comune di Fratta Polesine, illustrando il contesto storico in cui si è sviluppata la comunità frattese fin dall'epoca preistorica e antica, delineando le contese medievali tra gli Estensi e le signorie locali (Adelardi e Salinguerra in particolare) e poi tra i signori ferraresi e la Repubblica di Venezia, alla quale venne definitivamente sottomessa dopo la guerra del sale (1482-1484). Le studiose si concentrano in particolare sulle vicissitudini successive alla fine della dominazione veneziana: *periodo napoleonico* (1797-1814), durante il quale Fratta espresse dapprima nel 1797 un'autonoma Municipalità assieme a Ramedello e Gognano, venne quindi sottoposta agli Austriaci nel 1798-1801 a seguito del trattato di Campoformido e ritornò sotto la dominazione francese nel 1801 entrando a far parte della Repubblica Cisalpina, poi divenuta Repubblica Italiana (1802) e infine Regno Italico (1805); *"restaurazione" austriaca* (1814-1866), con la quale il Comune di Fratta, divenuto in un primo momento una sezione di quello di Lendinara (1814-1815), entrò a far parte dal 1° gennaio 1816 del *regno Lombardo-Veneto* come «comune denominativo di classe III ... con le frazioni di Bragola, Raimonda, Frattesina ..., Prespara (poi ... Vespara) e Ramadello» (p. XXI), *status* che venne sostanzialmente mantenuto fino al 1866; *annessione allo Stato italiano* (1866-...), per la quale, nell'elezione del 21-22 ottobre 1866, i «762 votanti di Fratta si espressero all'unanimità» (p. XXVII) e legarono le sorti della comunità frattese e veneta a quelle del Regno d'Italia. Durante tale periodo, al di là di alcune rettifiche territoriali, per il Comune di Fratta non si rilevano significative eccezioni alla geometrica organizzazione politico-istituzionale dettata dalle varie leggi nazionali emanate tra Otto e Novecento per la regolamentazione dei comuni: appare però degno di nota il breve ma significativo riferimento che fanno le autrici, parlando dell'età fascista, del diretto coinvolgimento della comunità di Fratta nell'evoluzione «del fascismo in regime ... con la barbara uccisione di un suo concittadino, Giacomo Matteotti, esponente ... a livello nazionale del Partito socialista e per diversi anni amministratore del Comune» (p. XXXIII-XXXIV), le cui spoglie riposano tuttora nel cimitero di Fratta.

Mutterle e Zagato tratteggiano poi la storia dell'archivio, nella quale spiccano da un lato la notizia, ricavata da una lettera della Deputazione comunale al Commissario di Lendinara del 10 agosto 1825, «dell'incendio provocato dal brigantaggio nei primi del mese di luglio dell'anno 1809, che distrusse tutti gli atti ... del Municipio» (p. XL), e dall'altro l'opera di "ri-classificazione" ordinata nel 1898, all'indomani dell'emanazione della circolare Astengo, dal commissario straordinario Arturo Fanzago relativamente alla documentazione pregressa degli anni 1821-1897. Sulla documentazione, che era già stata classificata con 4 diversi titolari (1821, 1822, 1823-1832 e

1856-1897, 1837-1855), a causa di «un'errata interpretazione della circolare, peraltro avvenuta in molti comuni italiani», venne apposta «con matita blu ... la categoria del titolario Astengo» (p. LIII) e ricondizionate le unità archivistiche al nuovo titolario.

Le autrici espongono quindi i criteri di ordinamento e di redazione dell'inventario, sottolineando che «con il riordino si è cercato di ricostruire la configurazione originale dell'archivio nei diversi periodi storici, annullando tutti i successivi rimaneggiamenti» (p. LIII), in particolare «da serie del carteggio», interessata dalla riclassificazione di cui sopra, «è stata ricondotta ... alla classificazione originaria» (p. LV) e le carte sono state quindi nuovamente «ricondizionate, spesso riutilizzando camicie originali» (p. LIII) che erano state adoperate per la riclassificazione del 1898.

Il materiale archivistico è infine descritto analiticamente a livello di unità archivistica e corredato di un indice dei nomi di persona, luogo e istituzioni.

L'opera rappresenta la conclusione di un processo di recupero e valorizzazione dell'archivio comunale frattese attuato dalle archiviste nel corso degli anni 2003-2009, su impulso dell'amministrazione comunale e con il contributo finanziario della Regione del Veneto. Il volume fa parte della collana regionale dedicata agli inventari degli archivi non statali della Regione del Veneto, in particolare a quelli dei comuni; le autrici avevano già pubblicato nella medesima collana l'inventario dell'archivio comunale di Trecenta, sempre in provincia di Rovigo: *Archivio comunale di Trecenta. Inventario della sezione separata (1730-1958)*, a cura di Maria Lodovica Mutterle e Amelia Zagato, Venezia, Giunta regionale del Veneto, 2002, p. 369 (Archivi non statali della Regione del Veneto – Inventari, 11).

Andrea Desolei

REGIONE DEL VENETO - ASSOCIAZIONE NAZIONALE ARCHIVISTICA ITALIANA, *Gli archivi delle aziende ULSS. Proposte di aggiornamento per il personale addetto ai servizi archivistici*, a cura di Giorgetta Bonfigli-Dosio, Padova, CLEUP, 2008, p. 262

Il volume raccoglie i testi delle lezioni del corso di aggiornamento destinato agli addetti dei servizi archivistici delle aziende ULSS, organizzato dalla sezione Veneto dell'ANAI per conto della Regione del Veneto, e svoltosi tra aprile e giugno 2007 presso l'Azienda ULSS n. 16 di Padova. Come specificato nel volantino che lo pubblicizzava, l'obiettivo del corso, «indirizzato agli operatori già in possesso di elementi formativi di base o di una valida esperienza lavorativa», era quello di fornire «un valido approfondi-

mento, su basi normative aggiornate, mediante ricchi spunti pratici e confronti, su alcune delle principali tematiche inerenti gli archivi sanitari e la loro gestione sin dalla loro fase di gestazione», dando particolare rilievo «alla gestione della cartella clinica».

Nella prima lezione introduttiva, dedicata alla storia della *Amministrazione sanitaria italiana dopo l'Unità* (p. 11-24), Giorgetta Bonfiglio-Dosio ricostruisce la nascita del moderno Servizio sanitario nazionale e delle Aziende ULSS (allora USSL), avvenuta nel 1978, «data fortemente periodizzante dal punto di vista istituzionale». La docente illustra brevemente le forme medioevali e moderne di assistenza e beneficenza private e religiose legate agli *ospitali* e alle *opere pie*, nelle quali non si distingueva tra sanità e assistenza, citando anche esempi legati soprattutto alla realtà veneta di controllo pubblico sull'attività di tali organismi (Deputati *ad pias causas*, Provveditori sopra ospedali e luoghi pii, etc.). Parla poi della nascita delle *congregazioni di carità* in età napoleonica e delle *istituzioni pubbliche di assistenza e beneficenza - IPAB* nel periodo liberale (legge Crispi), della successiva distinzione normativa tra assistenza e sanità e delle leggi del periodo fascista che posero le basi dei concetti di *salute pubblica* e di *diritto alla salute*. Concetti questi successivamente ripresi dalla Carta costituzionale del 1948, dalle leggi istitutive del ministero della Sanità (1958) e, appunto, del SSN (1978). In un'altra lezione (*Archivisticamente parlando*, p. 47-64), la stessa docente espone brevemente i concetti di documento e archivio, illustrandone le fasi di vita, le caratteristiche e gli strumenti di gestione e descrizione, approfondendo successivamente in altri due interventi l'organizzazione di uno *scarto archivistico* (p. 133-138) e la *fascicolazione* (139-146).

Di taglio tecnico-archivistico sono anche le lezioni di Anna Guastalla, la quale approfondisce le tematiche relative agli *Strumenti per la descrizione archivistica* (p. 107-117) e all'*Archivio di deposito* (p. 255-262). In particolare la docente in quest'ultima lezione pone l'accento su una pratica che si sta progressivamente diffondendo in Italia, ossia quella di "esternalizzare", cioè affidare ad un soggetto esterno della PA la conservazione e la gestione dei documenti di tale cruciale fase dell'archivio. Tale tema è quindi ripreso e ampliato da Maria Teresa Sillano, la quale nei suoi *Appunti sulle esternalizzazioni* (p. 241-253), oltre a definire il concetto di *outsourcing* e le sue basi giuridiche per l'applicazione nella PA, analizza tale tipologia di contratto e ne propone una "bozza per la fornitura di servizi di archiviazione documentale".

Nella sua lezione Rosa Randon tratta della *conservazione* (p. 227-240), illustrando le politiche e le strategie di conservazione da adottare per prevenire e combattere le principali cause di deterioramento del materiale archivistico (fattori ambientali, agenti biologici, inquinamento, uso, eventi eccezionali), mentre Maria Volpato descrive l'attività di *vigilanza sugli archivi delle*

Aziende ULSS (p. 119-131) effettuato dalle soprintendenze archivistiche. Nel suo intervento ricostruisce le vicende istituzionali di tali enti, distinguendo nello specifico tra Aziende ospedaliere e Aziende ULSS, descrive le principali tipologie documentarie prodotte, soffermandosi in particolare sulle cartelle cliniche, ed esprime alcune osservazioni sullo scarto archivistico, punto cruciale dell'attività di sorveglianza ed «elemento qualificante per la salvaguardia della memoria storica» (Paola Carucci).

Franco Cardin introduce in termini generali alla *Normativa sugli archivi degli enti pubblici* (p. 25-45), trattando separatamente del *Servizio archivistico*, del *protocollo informatico* e della *gestione dei flussi documentali* (p. 65-87). Egli ripercorre le tappe principali della normativa italiana in materia di gestione informatica dei documenti e di formazione degli archivi: il DPR 428/1998 istitutivo del protocollo informatico, la direttiva PCM 28 ottobre 1999 e il DPCM 31 ottobre 2000 che integravano il DPR e dettavano le regole tecniche; il DPR 445/2000 che abrogava il DPR 428/1998 e approvava il *Testo unico in materia di documentazione amministrativa*, il quale da una parte «ha integrato le disposizioni relative alla gestione dei documenti con quelle relative ai processi di semplificazione amministrativa», e dall'altra, «inserendo le disposizioni relative alla gestione informatica dei documenti, ha voluto evidenziare che la gestione documentale è parte integrante del processo di modernizzazione delle amministrazioni pubbliche»; il decreto ministeriale 14 ottobre 2003 che determina le linee guida per l'adozione del protocollo informatico; il d.lgs. 82/2005 che approva il *Codice dell'amministrazione digitale*, il quale «racoglie secondo un ordine sistematico le norme esistenti sull'uso delle tecnologie nelle pubbliche amministrazioni, integrandole con ulteriori disposizioni finalizzate a completare il quadro normativo di riferimento per lo svolgimento dell'azione amministrativa tramite l'utilizzo delle tecnologie dell'informazione e della comunicazione»; ed infine le norme in materia di tutela degli archivi degli enti pubblici, in parte contenute nel DPR 445/2000, in parte nel nuovo *Testo unico dei beni culturali e ambientali* (d.lgs. 490/1999) poi divenuto *Codice dei beni culturali e del paesaggio* (d.lgs. 42/2004), con i quali gli archivi sono stati inseriti a pieno titolo nel patrimonio culturale italiano. Nelle successive lezioni Cardin descrive le problematiche relative all'*Accesso e consultabilità dei documenti degli archivi e tutela della riservatezza* (p. 211-226), illustrando in particolare gli effetti dell'*Applicazione del Codice in materia di protezione dei dati personali nelle aziende sanitarie pubbliche* (p. 167-194). Presenta infine il *Titolario di classificazione ed il piano di conservazione per le Aziende ULSS del Veneto: il progetto ARCHI.TR.A.V.E.* (P. 89-106), acronimo che sta per *ARCHIvi e Trasparenza delle Aziende sanitarie Venete*, un'esperienza «nata nell'ambito delle attività finalizzate ad introdurre il nuovo sistema di protocollo informatico nelle due aziende sanitarie padovane (ULSS 16 e A-

zienda ospedaliera)» che poi è stata estesa anche alle altre realtà della regione.

Il tema della gestione delle cartelle cliniche viene affrontato in tre lezioni in cui sono descritti dei casi specifici. Il primo di questi è illustrato da Pierfrancesco Ghedini nella lezione dal titolo *La cartella clinica digitale: l'esperienza dell'Azienda USL di Modena* (p. 147-159), nella quale, oltre a parlare del caso modenese, compie alcune riflessioni relativamente alle caratteristiche generali di un sistema informativo sanitario, alle sue esigenze di sicurezza e riservatezza, agli aspetti organizzativi e alle problematiche sulla validità giuridica dei documenti informatici e delle firme digitali, inserendo a tale proposito alcune considerazioni in merito all'interoperabilità fra pubbliche amministrazioni e auspicando che i «moderni sistemi informativi sanitari passino da una gestione “per dati” ad una gestione “per documenti”». *L'unificazione degli archivi aziendali e la digitalizzazione delle cartelle cliniche dell'ULSS di Asolo* (p. 195-210) è invece il caso illustrato da Mario Po', Michele Lapenna e Mario Durigon, i quali descrivono da un lato le caratteristiche archivioeconomiche del nuovo archivio centralizzato, nuovo deposito “fisico” nel quale sono stati concentrati i fondi dispersi in più sedi, e dall'altro le nuove procedure organizzative e informatiche sia per la digitalizzazione e la gestione informatizzata delle cartelle cliniche “cartacee” già esistenti sia per la creazione di cartelle cliniche con documenti nativamente digitali. Infine la terza esperienza, descritta da Matteo Tiberi, è quella del progetto *nHospital*, ossia *l'Ospedale diventa wireless e paperless* (p. 161-165), sperimentato nell'Ospedale di circolo di Busto Arsizio (VA), nato dalla collaborazione tra ditte private, strutture sanitarie pubbliche dell'area milanese, regione e università con l'obiettivo di gestire digitalmente le cartelle cliniche e di permettere la loro consultazione al personale sanitario direttamente in reparto, tramite terminali mobili “TabletPC” collegati con rete wireless.

Andrea Desolei

GIANNI PENZO DORIA, *Il cantiere e i documenti: l'Archivio dei Consorzi edilizi (1903-1973)*, in *Il miraggio della concordia. Documenti sull'architettura e la decorazione del Bo e del Liviano: Padova 1933-1943*, a cura di Marta Nezzo, Treviso, Canova edizioni, 2008, p. 29-39

«Il principale protagonista di questa pubblicazione è l'Archivio dell'Università di Padova, nella sua inesauribile ricchezza e capacità di produrre storia: dell'Ateneo ma anche, più in generale, del Paese» (p. 273): così la curatrice dell'opera introduce la ricca sezione di *Documenti* del volume (p.

271-880), riportanti le trascrizioni del carteggio intercorso tra Carlo Anti, rettore dell'Università di Padova dal 1932 al 1943, e i progettisti Ettore Fagioli e Gio Ponti – oltre a una schiera di pittori, scultori, architetti, ingegneri e tecnici – impegnati «nella riformulazione dell'immagine architettonica e artistica dell'Università, con particolare attenzione agli edifici Liviano e Bo» (p. 273). Il «rettore archeologo», come lo definisce Vincenzo Milanese nell'introduzione, «dotato di una rara sensibilità per l'arte contemporanea, ... ha saputo dotare l'Università di Padova di nuove strutture quali il palazzo Liviano della Facoltà di Lettere e Filosofia, le sale accademiche del Rettorato e le sale di Laurea del palazzo del Bo ... [decidendo] di chiamare a Padova un gran numero dei più accreditati o emergenti artisti italiani dell'epoca a per decorare i due edifici con affreschi, pitture, mosaici, vetri, sculture in marmo e in bronzo» (p. 15). La pubblicazione è quindi l'atto finale di un progetto di conservazione, studio e valorizzazione dell'arte del Novecento presso l'Ateneo patavino, realizzato grazie al finanziamento della Regione del Veneto, che ha visto anche l'allestimento di una mostra ("Pittori di Muraglie", 2006) e il restauro di bozzetti e disegni. Il volume, oltre agli interventi introduttivi di Angelo Tabaro e di Vincenzo Milanese e alla descrizione dell'archivio dei consorzi edilizi di Gianni Penzo Doria, del quale parleremo diffusamente tra poco, raccoglie i saggi di Irene Favaretto (*Percorso di un progetto: "Il Novecento al Bo"*, p. 19-28), Franco Bernabei (*Introduzione ai testi*, p. 41-90), Vittorio Dal Piaz (*Storia e storie del cantiere*, p. 91-204) e Marta Nezzo (*Il gioco delle parti nel teatro artistico universitario*, p. 205-270) ed è corredato di una nutrita bibliografia e di un indice degli artisti.

L'*Archivio dei Consorzi edilizi* (1903-1973) è un archivio aggregato dell'Archivio generale dell'Università di Padova, che raccoglie la documentazione prodotta dai quattro consorzi costituitisi a Padova dal 1903 al 1933 per il miglioramento e la sistemazione dell'edilizia universitaria: *Consorzio per l'assetto e il miglioramento della regia Università di Padova* (1903); *Consorzio per il completamento della sistemazione edilizia della regia Università di Padova* (1913); *Consorzio per l'assetto edilizio della regia Università e della regia Scuola d'ingegneria di Padova* (1923); *Consorzio per la sistemazione edilizia e arredamento della regia Università e della regia Scuola di Ingegneria di Padova* (1934). L'attività di tali consorzi era accompagnata da quella della *Commissione per la sistemazione urbanistica dell'Università*, poi ridenominata *Commissione per il completamento della sistemazione edilizia dell'Ateneo*. L'autore ricostruisce la storia istituzionale dei quattro consorzi edilizi, la cui nascita «era stabilita con leggi speciali, attraverso le quali – contestualmente – si chiudeva il consorzio precedente, con il trasferimento dei residui di cassa», sebbene la loro attività spesso eccedesse tali limiti cronologici. L'archivio ha «carattere sostanzialmente promiscuo», in quanto è composto da «documenti dell'archivio proprio consortile, documenti

dell'archivio universitario e carteggio personale del Rettore», ed ha una consistenza di «735 unità archivistiche e 140 unità documentali sciolte». Nonostante queste siano «in parziale stato di disordine e bisognose di un adeguato intervento di riordino, inventariazione e restauro», sono comunque riconoscibili tre serie principali: *Buste contenenti fascicoli per affare*; *Buste di provenienza promiscua*; *Registri*. L'archivista illustra l'importanza di tale documentazione per la storia dell'Università e per la storia urbanistica ed edilizia della città di Padova, attribuendo a Vittorio del Piazz, studioso e delegato del Rettore ai beni architettonici dell'Università dal 1990, «una attenta politica di conservazione e valorizzazione dei fondi dei Consorzi edilizi che, in assenza di quegli interventi, avrebbero subito ... danni irreversibili sul fronte della distruzione del vincolo archivistico».

Andrea Desolei

La memoria di Ravenna. Vogliamo perderla?, a cura di Angelo Turchini e Daniela Simonini, Cesena, Società Editrice "Il Ponte Vecchio", 2009, p. 182

Sono stati recentemente pubblicati, a cura di Angelo Turchini e Daniela Simonini, gli atti del seminario di studio *La memoria di Ravenna. Vogliamo perderla?*. Tenutasi a Ravenna il 14-15 maggio 2007 presso il Dipartimento di Storia e metodi per la conservazione dei beni culturali dell'Università di Bologna, l'iniziativa era nata dalla sinergia fra il medesimo dipartimento, la Provincia e il Comune di Ravenna, e con il patrocinio della Fondazione Flaminia e dell'ANAI.

Il volume, di ottima qualità editoriale e corredato da un apparato iconografico non superfluo, né ridondante, propone, attraverso gli interventi dei partecipanti al seminario, una opportuna sintesi dello *status* degli archivi ravennati.

Innanzitutto l'opera offre una sintetica informazione riguardo la storia, l'entità del patrimonio documentario e la progettazione per la conservazione e la fruizione dei tre grandi archivi istituzionali ravennati, vale a dire l'Archivio di Stato, l'Archivio Arcivescovile e l'Archivio Storico Comunale.

Attraverso la relazione di Manuela Mantani ripercorriamo la storia dell'Archivio di Stato, di cui la Mantani è direttrice, dalla istituzione avvenuta nel 1941, fino al recente trasferimento presso la nuova sede nel complesso dell'antica abbazia di San Vitale, inaugurata nel 2008. L'Archivio di Stato conserva circa 70.000 unità archivistiche, con un patrimonio che, grazie alla presenza del fondo delle Corporazioni Religiose Soppresse, entrato a far

parte del patrimonio dell'istituto all'epoca della creazione, nel primo nucleo di fondi fino a quel momento conservati nell'Archivio Comunale, può contare su documenti che datano a partire dal X secolo.

Attraverso il progetto SIAS, dal 2005 l'Archivio di Stato ha reso disponibile in rete la descrizione del patrimonio documentario, già noto attraverso la voce di Giuseppe Rabotti *Archivio di Stato di Ravenna* inserita nella *Guida generale degli Archivi di Stato* (III, Roma 1986, pp. 869-923); nel 2006, è stato avviato il progetto per la descrizione e riproduzione digitale delle pergamene sciolte e di quelle inserite all'interno dei volumi del fondo delle Corporazioni Religiose; nell'ambito dello stesso progetto, nel 2008 si è avviata, infine, l'inventariazione dei volumi e dei registri dello stesso fondo.

Giuseppe Rabotti e Giovanni Montanari, responsabili dell'Archivio Arcivescovile, tracciano la storia dell'istituto e informano del progetto di spostamento del complesso documentario in una nuova sede negli edifici dell'ex Ricreatorio arcivescovile, luogo più idoneo alla conservazione e fruizione. Dal 1991 l'Archivio Arcivescovile si trova all'ultimo piano del palazzo del Seminario, situato di fronte alla cattedrale. In precedenza era collocato nelle strutture dell'antico episcopio. Nell'archivio sono conservati alcuni fra i materiali documentari più antichi e significativi per la ricostruzione della storia di Ravenna e dell'Occidente cristiano. Il trasferimento effettuato nel 1991, ha reso possibile dare l'avvio ad una ricognizione generale della raccolta documentaria, mai effettuata in età moderna, che ha avuto come effetto la possibilità di redigere l'aggiornata voce *L'archivio diocesano di Ravenna-Cervia* per la *Guida degli archivi diocesani d'Italia* (III, Roma 1998, pp. 283-293). Lo spostamento in locali più ampi ha permesso di dare l'avvio al riordinamento dei fondi. L'operazione, ancora in atto, ha consentito di predisporre la redazione di nuovi inventari compilati secondo le più aggiornate metodologie scientifiche, in sostituzione di quelli già in uso che, pur se utilizzati sino ad oggi con grande profitto e da tenere in considerazione per l'interesse storico-documentario che in alcuni casi rivelano, non rispondono più alle moderne necessità della ricerca. Il progetto di trasferire l'Archivio Arcivescovile presso le fabbriche dell'ex Ricreatorio, un complesso molto ampio sorto nei primissimi anni del Novecento con aggiunte posteriori, si inserisce entro un più ricco disegno che prevede lo spostamento nella nuova sede sia dell'archivio, sia delle biblioteche del Seminario e Arcivescovile.

L'Archivio Storico Comunale di Ravenna, come emerge dallo scritto di Claudia Giuliani, vicedirettore della Biblioteca Classense e responsabile dell'archivio, nacque nel 1913. All'epoca comprendeva anche quei fondi che nel 1941 migrarono nella sezione ravennate dell'Archivio di Stato. Dal 1941 l'Archivio Storico Comunale, che ha sede nei locali della Biblioteca Classense, conserva le carte storiche della comunità ravennate (suddivise nelle due

sezioni Antica e Moderna) ed alcuni archivi aggregati. Ad oggi l'archivio consta di una *Guida ai fondi* edita nel 1996 per cura di Dante Bolognesi.

Tra i materiali conservati presso l'Archivio Storico Comunale, un particolare interesse è rivolto, nel volume, al Fondo Teatri, cui è dedicato un intervento di Patrizia Carroli. Il materiale consente una ricostruzione dell'importante tradizione teatrale e musicale di Ravenna che caratterizza la città sin dal XVI secolo. Del fondo è stato realizzato un inventario analitico consultabile in copia cartacea.

Una importante sezione del volume *La memoria di Ravenna* è dedicata agli archivi di enti e di impresa. Tra quelli, particolare riguardo è stato rivolto all'archivio della Camera di Commercio, che negli anni '90 del Novecento è stato riordinato e in parte (materiale storico dal 1874 al 1949) depositato presso l'Archivio di Stato (come rilevato da Saverio Amadori e Paola Morigi, segretario generale della Camera di commercio di Ravenna), e all'archivio dell'AUSL, sul quale è stato avviato un progetto di riordino di massima, per cura di Loretta Ricci, responsabile della raccolta; nella raccolta dell'AUSL sono confluiti gli archivi dell'Ospizio di S. Maria delle Croci e delle USL di Faenza e Lugo.

L'Ordine della Casa Matha di Ravenna è una società di mestiere la cui storia si sviluppa senza soluzione di continuità sin dal Medioevo. La società possiede un archivio storico che consta di pezzi in numero non cospicuo, ma di notevole importanza storica e documentaria, come si evince dall'inventario che Umberto Zaccarini, responsabile dell'archivio e della biblioteca dell'ordine, allega al suo contributo. Tra i pezzi più significativi della raccolta, vanno segnalati il cosiddetto *Cartolare della Casa Matha*, un volume in pergamena e carta contenente le matricole degli associati, gli statuti e le riformazioni dell'ordine ed altro, ed il cosiddetto *Codice Polentano*, un volume manoscritto dell'ultimo quarto del XIV secolo contenente il catasto e la nota dei possessi di alcuni membri della famiglia dei da Polenta.

Gli archivi di alcuni partiti e movimenti politici, nonché alcuni archivi di persona di forte valenza politica, sono stati recentemente concentrati in "Archivi del Novecento", un istituto nato da una convenzione tra la Provincia di Ravenna, la "Fondazione Casa Oriani" e l'Associazione "Istituto Storico della Resistenza". Come chiarisce Dante Bolognesi, uno degli artefici della nascita del nuovo archivio, raccolte di basilare importanza nella ricostruzione della storia più recente, alle quali presto potrebbero aggiungersi anche nuovi fondi, hanno ricevuto una opportuna collocazione che ne garantisce la conservazione, la tutela e la fruizione.

Gli archivi di persona, rintracciabili all'interno delle raccolte archivistiche e nei fondi storici delle biblioteche o conservati presso le stesse famiglie che li hanno prodotti, costituiscono un altro importante capitolo

dell'indagine affrontata nel seminario i cui atti sono raccolti nel volume in oggetto. Tali archivi sono costituiti, come nota Angelo Turchini, da raccolte di documentazione di natura legale e amministrativa e da carteggi e, quando si tratta di archivi di studiosi, anche da materiali frutto dell'attività di ricerca. Turchini propone un elenco degli archivi di persona ravennati esito di una prima, sommaria ricognizione.

Nell'ambito delle raccolte prodotte dall'attività degli studiosi, un aspetto particolare assumono le collezioni di fotografie, un tema trasversale all'oggetto del seminario, che ha consentito alcuni importanti approfondimenti. I fondi fotografici ravennati hanno genesi diverse, e nascono sia nell'ambito dello studio, sia come frutto dell'attività delle istituzioni. Costituiscono una grande risorsa le cui potenzialità sono state valorizzate soprattutto negli ultimi anni. Graziella Ortolani descrive il progetto del Comune di Ravenna per creare un Archivio fotografico storico digitale, fruibile attraverso la rete. Alla consistenza e alla gestione del patrimonio fotografico ravennate è dedicato l'ultimo contributo del volume, in cui Luigi Tomassini descrive pure il caso di studio dedicato al tema degli effetti dei bombardamenti sulla città romagnola durante la Prima guerra mondiale che la fotografia ha ampiamente documentato attraverso scatti non privi di drammaticità.

Paola Novara

ALESSANDRO CONT, *L'archivio familiare Bortolazzi-Fogazzaro-Larcher presso la Biblioteca comunale di Trento: vicende storiche, riordino e inventariazione*, «Studi trentini di scienze storiche», LXXXVIII/3 (2009), p. 345-361, ill.

L'autore presenta il fondo conservato dall'Archivio comunale di Trento, dove è pervenuto in differenti occasioni, e recentemente riordinato e inventariato: l'archivio prodotto dalla famiglia trentina dei conti Bortolazzi di Watterdorf e Brunnenberg (1601-1850) e dagli eredi della sua primogenitura, vale a dire le famiglie Fogazzaro di Vicenza (1850-1943) e Larcher di Trento (1943-). Particolare attenzione è stata posta, oltre che alla ricostruzione delle vicende delle diverse famiglie, alle vicende del complesso, più volte smembrato e ora ricondotto ad unità grazie ad un intervento apprezzabile di filologia archivistica che ha tenuto conto dei differenti reiterati riordini e delle segnature stratificatesi sui pezzi.

Giorgetta Bonfiglio-Dosio

ANTONIO ROMITI, *Archivi e outsourcing*, Torre del Lago [Viareggio], Civita Editoriale, 2009, p. 87.

Con questa monografia della *Collana di archivistica*, l'autore si propone di descrivere l'insieme di procedure per l'esternalizzazione della gestione di beni e servizi presso terzi nel mondo degli archivi, stanti le trasformazioni avvenute negli ultimi decenni nella politica organizzativa praticata dagli istituti produttori pubblici, i quali, partiti da tradizionali posizioni di rigida autonomia, si sono progressivamente avvalsi della collaborazione di componenti private per la tenuta e la conservazione del proprio patrimonio documentale, sia per necessità sia allo scopo di migliorare e sviluppare le proprie attività. Antonio Romiti, dopo avere esaminato preliminarmente i caratteri dell'*outsourcing*, le ragioni che motivano tale soluzione operativa e le relative ricadute in termini strategici e tattici per l'istituto che se ne avvalga, analizza la questione dal punto di vista giuridico e tecnico in relazione alle attività documentali delle amministrazioni pubbliche; prende quindi in esame la diversificazione tra differenti politiche di esternalizzazione in ambito archivistico per quanto riguarda ciascuna delle tradizionali fasi di vita dell'archivio e le conseguenti scelte operative.

Infine, rivolta l'attenzione alle soluzioni concrete per la realizzazione della gestione *in service*, l'autore mette in luce la necessità di riservare al produttore particolari momenti "strutturali", fondanti per l'organica produzione e gestione del complesso documentario, nonché l'inderogabilità di opportune scelte tecniche da parte degli enti stessi, a fronte dell'offerta proposta dall'*outsourcer*, che siano coerenti con la tipologia di interventi da effettuare e con le necessità dell'amministrazione, in termini di riduzione dell'impegno di risorse umane e finanziarie ma anche di qualità del servizio prodotto.

Nicola Boaretto

Inventario dell'archivio postunitario del Comune di Montecatini Terme, a cura di Lucia Roselli, Firenze, Edizioni Polistampa, 2009 (Beni culturali/Provincia di Pistoia, 49), p. 338.

L'inventario, prodotto nell'ambito dell'attività di riordino degli archivi storici comunali promosse dalla Provincia di Pistoia nel territorio di competenza, con la collaborazione dei comuni interessati, della Regione Toscana e della Soprintendenza archivistica, completa il volume sulla documentazione preunitaria, e presenta nell'articolazione dell'archivio in due fondi lo spec-

chio delle complesse vicende istituzionali dell'ente produttore, originato dalla aggregazione avvenuta nel 1940 di due dei tre comuni autonomi nati nel 1905 dalla divisione del comune di Montecatini Valdinievole.

La parte descrittiva dell'opera è bipartita, constando l'archivio della documentazione del Comune di Montecatini Valdinievole (1865-1940), articolata in 17 serie, e di Bagni Montecatini divenuto dal 1928 Montecatini Terme (1905-1960), strutturata in 24 serie (numerata a serie aperte trattandosi di un archivio in corso di accrescimento), ciascuna delle quali debitamente introdotta e descritta a livello di unità archivistica.

L'autrice, che come scrive nella presentazione Gabriella Todros «ha lavorato con scrupolo ed accuratezza, descrivendo analiticamente ogni singola unità documentaria e contestualizzandola all'interno del fondo e della serie di appartenenza», fornisce nell'introduzione e nei cappelli alle serie, sintetiche ma pregnanti notizie di storia istituzionale dei produttori, e correda l'inventario di un indice dei nomi delle persone, dei luoghi e delle materie, nonché di una consistente bibliografia, facendo dell'opera oltre che un efficiente strumento per la consultazione dell'archivio storico comunale, un testo di riferimento per lo studio della storia e della città di Montecatini.

Nicola Boaretto

DIMITRI BRUNETTI, SIMONA DINAPOLI, ANNA PAGELLA, *Il "Soggiorno Borsalino" di Alessandria. La storia, i progetti e il suo archivio a 150 anni dalla fondazione*, Alessandria, Edizioni dell'Orso, 2009, p. 139, ill.

Il Soggiorno Borsalino, fondato ad Alessandria nel 1859 come ricovero di mendicanti per il ricovero dei poveri che per vecchiaia o per condizioni disagiate non erano in grado di provvedere alla propria sussistenza, e divenuto nel 1925 "Casa di riposo", occupa nel contesto locale un ruolo di primo piano nell'erogazione di servizi socio-sanitari a favore di persone con gravi fragilità psico-fisiche.

La presente pubblicazione non è semplicemente uno strumento di corredo per l'accesso alla consistente produzione documentaria dell'Istituto, ma intende ricostruire la storia dell'ente onde valorizzarne la funzione di deposito della memoria per la città. Gli interventi di Dimitri Brunetti e di Anna Pagella, descrivono l'evoluzione del Soggiorno Borsalino dall'origine ai nostri giorni e con questo quadro complessivo forniscono l'inventario propriamente detto di una esauriente introduzione. Numerose fotografie di documenti corredano la ricostruzione con immagini di efficace incisività.

Simona Dinapoli, che ha curato l'intervento archivistico sul fondo, definisce la metodologia e le soluzioni particolari adottate in sede di riordino in una breve introduzione metodologica; la parte descrittiva, abbastanza essenziale, articola l'archivio in due sezioni, la prima ordinata in base a una "riclassificazione originaria" novecentesca delle carte, la seconda comprendente le serie di registri e documentazione amministrativa più recente, rimasta estranea alle operazioni di riordino del passato. Qualche piccola incoerenza interna circa la definizione dei livelli di articolazione del complesso non intacca il merito dell'intervento. Completano l'opera gli indici dei nomi di persona, delle ditte e delle istituzioni, cui forse sarebbe stato opportuno dedicare una maggiore cura grafica, onde esaltarne la funzione strumentale di corredo.

Nicola Boaretto

Archivio Emo Capodilista-Maldura. Inventari, a cura di Franca Cosmai e Stefano Sorteni, Padova, Comune di Padova, 2009 (Quaderni del Bollettino del Museo Civico di Padova, 7), p. 556, ill.

La Biblioteca Civica di Padova, che conserva alcuni archivi familiari e di persona, continua l'apprezzabile opera di riordino e inventariazione del proprio patrimonio archivistico. A quelli già pubblicati in precedenza si aggiunge ora questo gruppo di inventari, relativi a un fondo acquisito qualche anno fa dalla Regione del Veneto e dato in comodato al Comune. I curatori hanno individuato sette archivi (sei di famiglia: Emo Capodilista-Maldura, 1841-1975; Emo di San Moisé, 1258-sec. XIX; Maldura, 1318-1891; Camposampiero, 1392-1852; Dondi dall'Orologio, 1214-1807; Secco, 1410-1765; uno di persona: Roberto Barracco, 1903-1916) e una raccolta di 227 pergamene provenienti dalle differenti famiglie produttrici: per ogni archivio familiare l'inventario presenta l'albero genealogico, il profilo storico della famiglia, le vicende dell'archivio e i criteri di riordinamento, la descrizione a livello di unità archivistica; le stesse informazioni, tranne l'albero genealogico, compaiono per l'archivio personale; le pergamene sono sommariamente e riassuntivamente elencate per secolo. Nell'introduzione i curatori ricostruiscono i legami tra i differenti archivi confluiti nello stesso fondo. Completa il volume un corposo indice dei nomi di persona e famiglia, località e istituzioni.

Giorgetta Bonfiglio-Dosio

«Le carte e la storia. Rivista di storia delle istituzioni», a. XV, n. 1 (2009)

Nel presente numero, con l'articolo *I portali degli archivi d'impresa in Italia: stato della questione e proposte per il futuro*, p. 20-25, Lucia Nardi, dopo aver delineato il quadro complessivo degli studi specialistici nel settore, definisce il panorama dei progetti in corso di sviluppo diretti alla ricerca di nuove modalità di utilizzo e comunicazione del patrimonio conservato, tramite la creazione di sistemi informativi, portali-web e reti in condivisione tra imprese, operata grazie alla definizione di opportune specifiche per la strutturazione di tali risorse digitali.

Si segnalano inoltre per l'interesse più spiccatamente archivistico:

- la cronaca di ERMANNO ORLANDO, *Alla ricerca della statualità medievale*, p. 107-115;
- la cronaca di JUDITH BOSCHI, *Un recente convegno senese sulla documentazione degli organi giudiziari nell'Italia tardo-medievale e moderna*, p. 115-118;
- la notizia di WERNER DAUM, *Un'edizione di fonti per la storia costituzionale europea*, p. 118-120;
- la scheda di ricerca di GUIDO MONTANARI, TADDEO MOLINO LOVA, *Per una biografia di Alberto D'Agostino. Le carte di lavoro di un banchiere*, p. 167-178.

Nicola Boaretto

«Imprese e storia: archivi, documenti, ricerche», n. 36 (luglio-dicembre 2007)

Confermando una abitudine ormai consolidata, la rivista pubblica articoli che valorizzano fondi archivistici d'impresa molto significativi e importanti. Francesca Fauri (*“La strada scabrosa del risanamento economico delle aziende”: la missione impossibile del Fim*, p. 193-217) ricostruisce la storia, breve ma strategica, del Fondo per l'industria meccanica che nell'immediato secondo dopo-guerra ha contribuito a risollevarne le sorti di parecchie imprese italiane, anche di primaria grandezza.

Attingendo all'archivio della ComIt, conservato ora da BancaIntesa, Enrico Camilleri ha potuto studiare *Industria e banca mista in Sicilia: lo sviluppo dell'industria chimica fra Ottocento e Novecento* (p. 219-270) ricostruendo in particolare la vicenda dell'Arenella.

«Archivi», V/1 (gen.-giu. 2010)

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Francesco Samorè si occupa di *Le imprese del gas italiane in viaggio di studio negli Stati Uniti* (p. 271-304) e Anna Pellegrino di *Viaggi nel progresso. Gli operai italiani alle esposizioni internazionali (1851-1906)*, p. 305-344.

Fabio Del Giudice riprende e approfondisce il contributo presentato nel 2007 alla seconda edizione di Archiexpo' dedicata al tema «S.O.S. Archivi d'impresa. Esperienze, progetti, soluzioni e visioni»: *Gli archivi storici d'impresa in Italia* (p. 345-362) presenta un bilancio del settore specifico, che ha conosciuto negli ultimi anni un positivo incremento di iniziative.

Infine Guido Montanari e Sara Pedrazzini presentano *L'Archivio del Fondo pensioni della Banca commerciale Italiana* (p. 363-369) recentemente acquisito dall'Archivio storico di Intesa Sanpaolo.

Giorgetta Bonfiglio-Dosio

«DigItalia. Rivista del digitale nei beni culturali», III/2 (2008)

Nella sezione "Saggi", Maria Guercio con l'articolo *Gli archivi come depositi di memorie digitali*, p. 37-52, muove dall'analisi storica del dibattito circa la conservazione digitale per evidenziare la necessità di una riflessione sistematica sui modelli operativi che traduca in soluzioni concrete le conclusioni teoriche maturate dagli archivisti in materia, e che sia indirizzata alla individuazione di precise responsabilità per la tenuta dei patrimoni digitali, la definizione di regole condivise e la gestione delle relative infrastrutture. Constatato il superamento della contrapposizione tra le ipotesi di funzione conservativa *in house*, affidata cioè alle istituzioni archivistiche nazionali, e *post custodial*, promossa dalla scuola archivistica australiana e mirante alla gestione distribuita affidata direttamente ai soggetti produttori, dovuto alla convergenza dei risultati della ricerca degli ultimi dieci anni verso la teoria del *records continuum*, l'autrice rileva il rischio che le soluzioni gestionali in *outsourcing* degenerino nella delega incondizionata e nella rinuncia alla gestione del patrimonio documentale, nonché la conseguente impossibilità da parte degli istituti responsabili di maturare competenze tecniche e di definire principi e metodi gestionali, mancando di una profonda conoscenza dei problemi di conservazione delle fonti digitali sviluppata grazie all'esercizio concreto e continuativo della custodia. L'articolo evidenzia conseguentemente la necessità di un ridimensionamento di quel policentrismo della conservazione che in ambiente digitale alimenta il pericolo di dispersione e frammentazione dei contenuti documentari, progettato in sede di reingegnerizzazione del ciclo di gestione dei documenti, restando imprescindibile la supervisione autorevole al processo di concentrazione

delle memorie, attuata tramite la predisposizione di adeguati strumenti di controllo e monitoraggio.

Nella sezione "Progetti" si segnala BRUNELLA ARGELLI, *Una regione in rete: gli archivi storici dell'Emilia-Romagna e il progetto IBC 69*, p. 69-74, nel quale l'autrice descrive i risultati finora ottenuti con la costituzione del portale dell'Istituto per i beni culturali e naturali (IBC) della Regione Emilia-Romagna, in risposta all'esigenza di dotare gli archivi storici di sistemi di gestione e consultazione delle descrizioni accessibile nel Web e interoperabile con altri sistemi informativi, relativi anche a tipologie di beni culturali diverse. L'articolo evidenzia il successo di un modello di implementazione dei dati che preveda una piattaforma informatica in cui l'utilizzo degli standard descrittivi sia unito all'adozione dei formati di scambio aperti e dei protocolli di comunicazione più idonei alla conservazione, comunicazione e condivisione delle descrizioni archivistiche (quali il formato XML, il protocollo di comunicazione Z39.50, funzionale alla ricerca e al recupero delle informazioni soprattutto bibliografiche, e il modulo di interoperabilità OAI-PMH per l'esposizione dei dati descrittivi e l'accesso alle risorse digitali), consentendo con tali scelte tecniche l'apertura delle risorse informative archivistiche a progetti nati anche al di fuori della programmazione regionale, nell'ambito di interventi promossi da altri soggetti pubblici o privati.

Si segnalano inoltre per l'interesse archivistico:

MADEL CRATA, LUCIO D'AMELIA, *La valorizzazione degli archivi della memoria. Il progetto europeo Multimedia Collection Management (Multi.Co.M.)*, p. 63-68;

LUIGI OGGIANU, *L'archivio storico LUCE e il passaggio dall'analogico al digitale: una questione di numeri*, p. 88-94;

LUIGI SICILIANO, *Convegno "DC 2008. International Conference on Dublin Core and Metadata Applications"*, p. 149-155.

Nicola Boaretto

«Scrinia. Rivista di archivistica, paleografia, diplomatica e scienze storiche», a. IV, n. 3 (2007)

Si segnalano nel presente numero per l'interesse archivistico, o di storia delle istituzioni:

- LORELLA INGROSSO, *Il tribunale ecclesiastico in Terra d'Otranto nei secoli XVII e XVIII*, p. 25-37, in cui l'autrice delinea l'iter procedurale giudiziario muovendo dall'analisi dei fascicoli della serie *Giudicati*, conservati presso l'Archivio storico della Curia Vescovile di Lecce, e

- fornisce un modello dell'istruzione giuridica dei fascicoli attraverso la serie degli *Acta* istruiti presso la Corte della Curia;
- AMALIA PAPA SICCA, *Una gonnella di saia color cannella ...*, p. 59-95, studio sulla produzione documentaria notarile aventi per protagoniste figure femminili, basato sull'analisi di un campione di testamenti femminili redatti da notai del XVII e XVIII secolo conservati presso l'Archivio di Stato di Napoli.

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