



KOMMISSIONEN FOR DE EUROPÆISKE FÆLLESSKABER

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**RAPPORT FRA KOMMISSIONEN**

**Sammendrag:  
Rapport om arkiverne i det udvidede EU  
Prioritering af mulige fremtidige foranstaltninger**

## **A. BAGGRUND**

Som svar på den anmodning, som Rådet for Den Europæiske Union fremsatte i sin resolution af 6. maj 2003 (2003/C 113/02) om arkiver i medlemsstaterne, særlig nr. 8 a), b), c), d) og e) samt nr. 9, gennemgås i dette sammendrag situationen for de offentlige arkiver i medlemsstaterne, under særlig hensyntagen til udvidelsen af EU, samt den sandsynlige udvikling for dokument- og arkivforvaltningen og arkivtjenesterne i de kommende år. Der gives forslag til, hvordan dokument- og arkivforvaltningen samt de offentlige tjenester kan forbedres til gavn for EU-borgerne, bl.a. ved hjælp af de nye teknologier.

På grundlag af oplysningerne fra de forskellige kapitler i denne rapport, der er udarbejdet af gruppen af nationale eksperter, foreslås de nedenfor beskrevne prioriterede foranstaltninger sammen med andre tiltag, der også vil kræve overvejelse og handling fra medlemsstaternes og EU-institutionernes side i de næste tre år. De foreslåede prioriterede foranstaltninger er anført under hvert kapitel og samlet i tabellen i bilag 3 til denne rapport.

Nedenfor følger en kort beskrivelse af de foreslåede prioriterede foranstaltninger. De omfatter foranstaltninger, der skal hindre, at dokumenter beskadiges, eller at arkiver går tabt, som følge af natur- og andre katastrofer, begrænse sådanne skader og restaurere sådanne dokumenter og arkiver, forbedre bevaringen af dokumenter og arkiver, herunder hvad angår arkivbygninger, og øge samarbejdet om elektroniske dokumenters og arkivers ægthed, opbevaring på lang sigt og tilgængelighed. Sammendraget indeholder også forslag til tyveriforebyggende foranstaltninger og bestemmelser, der bør træffes med henblik på at skaffe stjålne dokumenter tilbage. Det understreges, at arkiverne har stor betydning for, at vores samfund kan fungere demokratisk ved hjælp af passende lovbestemmelser og standarder. Det foreslås endvidere, at der oprettes en EU-portal til det nyligt udvidede EU's arkiver. Alle disse foranstaltninger skal føres ud i livet gennem en officiel koordineringsgruppe, der skal fremme samordning og udveksling af oplysninger og god praksis på europæisk plan og med medlemsstaterne.

I rapporten tages der højde for, at de foreslåede foranstaltninger bør kunne indgå i en sammenhæng med andre handlingsplaner, der vedtages på europæisk plan.

## **B. SAMMENDRAG AF DE VIGTIGSTE FORSLAG TIL FORANSTALTNINGER**

### **Foreslået prioriteret foranstaltning nr. 1**

**Bevaring af arkiver i EU og forebyggelse af skader (Rådets resolution af 6.5.2003, nr. 8 c), første led)**

- 1.1 Foranstaltninger, der kan hindre, at dokumenter og arkiver beskadiges ved naturkatastrofer og andre skadelige hændelser:
  - Udvikle en model til en handlingsplan til at forebygge og overvinde følgerne af katastrofer
  - Undersøge mulighederne for at oprette særlige centrallaboratorier for grænseoverskridende nødstilfælde
  - Nedsætte beredskabshold, der hurtigt kan vurdere skadens omfang.

- 1.2 Bevaring og restaurering af dokumenter og arkiver:
- Styrke samarbejdet og udvekslingen af ekspertise med det formål at iværksætte et EU-program for restaurering af beskadigede dokumenter og arkiver i EU
  - Arkivbygninger: en tværfaglig arbejdsgruppe bestående af repræsentanter for EU's medlemsstater og institutioner bør ajourføre og iværksætte standarder og specifikationer på nationalt og europæisk plan for fornyelse af arkivbygninger og depoter i offentlige bygninger eller for nye bygninger.

### **Foreslået prioriteret foranstaltning nr. 2**

#### **Styrkelse af det tværfaglige samarbejde om elektroniske dokumenter og arkiver i EU (Rådets resolution af 6.5.2003, nr. 8 c), andet led)**

- 2.1. Iværksætte et samarbejde i EU mht. elektroniske dokumenters og arkivers ægthed, opbevaring på lang sigt og tilgængelighed
- 2.2. Ajourføre, revidere og udbygge de nuværende krav, der stilles til systemer til forvaltning af elektroniske dokumenter (optegnelser), som f.eks. MoReq, med henblik på at forbedre den offentlige administration, så dette dokument bliver den officielle standard og/eller specifikation i EU. Dette er vigtigt for alle medlemsstaterne, men især for de nye.
- 2.3. Styrke DLM-netværk og -fora/europæiske økonomiske firmagrupper (EØFG). Der er behov for finansiel støtte til såvel videreudvikling og oversættelse som til afholdelse af DLM-forummet i Budapest i 2005.

### **Foreslået prioriteret foranstaltning nr. 3**

#### **Opbygning og vedligeholdelse af en internetportal for dokumenter og arkiver i EU (Rådets resolution af 6.5.2003, nr. 8 b) og e))**

- 3.1. Skabe en internet/webportal til dokumenter og arkiver for EU-borgerne.

Set på baggrund af udviklingen på internet- og webområdet og de gode resultater, der i visse medlemsstater er opnået med på denne måde at gøre oplysninger tilgængelige for millioner af borgere, unge og børn (jf. del 6 i rapporten), bør der tilrettelægges og oprettes en portal. Dette vil være i tråd med udviklingen på andre områder i det europæiske informationssamfund.

Denne portal vil kunne give bedre adgang til de pågældende ressourcer til forsknings-, undervisnings- og informationsformål og samtidig forbedre læsesalsservicen.

### **Foreslået prioriteret foranstaltning nr. 4**

#### **Lovgivning på EU-plan og i medlemsstaterne om forvaltning af og adgang til dokumenter og arkiver (Rådets resolution af 6.5.2003, nr. 8 a) og d))**

- 4.1. Da forslag til lovgivning både på EU-plan og i medlemsstaterne kan have uforudsete konsekvenser for dokument- og arkivforvaltningen, er det for at fremme bevaringen

af og adgangen til dokumenter og arkiver af afgørende betydning for medlemsstaternes borgere, at der på et tidligt tidspunkt er kendskab til alle disse konsekvenser. Lovgivningsforslag om dokumenter og arkiver og dermed forbundne lovbestemmelser på EU-plan og i medlemsstaterne bør derfor overvåges, og i denne forbindelse kan der trækkes på ekspertisen hos fagfolk på arkivområdet i EU.

- 4.2. Til støtte herfor bør der foretages en grundig undersøgelse af arkivlovgivningen og dermed forbundne bestemmelser på både EU-plan og i medlemsstaterne, oprettes en database om arkivlovgivning og dermed forbundne bestemmelser i EU samt gennem de relevante nationale arkivtjenester sørges for oversættelse af national arkivlovgivning og dermed forbundne bestemmelser til engelsk, fransk og tysk og om nødvendigt til andre officielle EU-sprog for at fremme den gensidige forståelse af den pågældende lovgivning. Dette forslag tager højde for og har til formål at systematisere det arbejde, der foretages i Europarådet og den europæiske gren af det internationale arkivråd (EURBICA).

### **Foreslået prioriteret foranstaltning nr. 5**

#### **Tyveri af arkivdokumenter**

- 5.1. Gennemgå og forbedre EU-foranstaltninger til at forebygge tyveri og skaffe stjålne arkiver tilbage.

Udarbejde en handlingsplan for mulige forbedringer på grundlag af et spørgeskema.

### **C. NEDSÆTTELSE AF ET OFFICIELT ARKIVUDVALG (Rådets resolution af 6.5.2003, nr. 8 d) og e) og nr. 9)**

- 6.1. Nedsætte en officiel gruppe bestående af arkivarer fra EU's medlemsstater og institutioner. Dette udvalg bør ved konsensus og i overensstemmelse med nærhedsprincippet sørge for informationsudveksling og øge samarbejdet på arkivområdet i EU som beskrevet ovenfor. Det bør træde sammen to gange om året eller efter behov.
- 6.2. Iværksætte et program for en indledende periode på tre år med det formål at behandle de spørgsmål, der tages op i Rådets resolution (af 6. maj 2003), vurdere de fremskridt, der gøres, og videreformidle resultater og god praksis til medlemsstaterne og EU-institutionerne.
- 6.3. Foretage en evaluering efter tre år med henblik på at aflægge rapport til Rådet for Den Europæiske Union om resultater og eventuel opfølgning.

# **Report on Archives in the enlarged European Union**

## **Increased archival cooperation in Europe: action plan**

**Elaborated by the National Experts Group on Archives of  
the EU-Member States and EU-Institutions and Organs**

**at the request of the Council of the European Union**

# CONTENTS

<b>Introduction</b>	I-VI
---------------------	------

<b>Executive Summary</b>	VII-X
--------------------------	-------

## ***Part 1 : The organisation of the archival sector in Europe***

1a:	Archives and the European Institutions	1-7
1b:	Public Archives in the 25 Member States of the European Union	8-28
1c:	Archives Services and Public Administration: Interrelations and cooperation	29-34
1d:	Private archives	35-38

## ***Part 2 : Access to archives: institutional, technical and professional aspects***

2a:	EU and national legislation relevant to management and access to documents and archives	39-47
2b:	Finding aids and description of documents and archives	48-54
2c:	Access on line and new research tools	55-58
2d:	Internet Gateway to documents and archives in Europe and European networking projects	59-79
2e:	Practical aspects of access : reading room standards	80-85
2f:	Appraisal and selection of documents	86-89
2g:	Document and archives management	90-93

## ***Part 3 : The role of the archivist in the 21st century, training, recognition of diplomas***

3a:	The role of the archivist as the guardian of the memory of society	94-95
3b:	The archivist as provider of authentic information and his relations with the public: towards more democracy, accountability and good governance	96-98

3c:	Archives training with particular emphasis on future needs	99-104
3d:	Recognition of archival diplomas throughout Europe	105-108

***Part 4 : Preservation and damage prevention to archives in Europe***

4a:	Measures for damage prevention to archives through natural and other catastrophes	109-111
4b:	Preservation and restoration of documents and archives	112-118
4c:	Archives purpose buildings: standards and specifications at the national and European level	119-124

***Part 5 : Electronic Archives***

5a:	Authenticity and long term preservation of electronic documents and archives	125-132
5b:	Interdisciplinary cooperation on electronic archives: DLM Forum, norms, best practices	133-137

***Part 6 : Action Plan e-Europe and other relevant activities at the European level***

***Part 7 : Audiovisual Archives***

***Part 8: Annexes***

# INTRODUCTION

## **1. RESOLUTION OF 6 MAY 2003**

With regard to the recent enlargement of the European Union increasing the number of Member States from 15 to 25 and in the light of the rapid changes in archival practice, especially due to the development of new information technologies, over the last ten years, the Council of the European Union adopted on 6 May 2003 a resolution (1) on archives in the Member States. This resolution invited the European Commission:

- To convene a National Experts Group on archives representing the then fifteen EU Member States and the ten acceding countries, to examine the situation of public archives in Europe;
- To submit to the Council a report that would include orientations for increased future cooperation on archives at the European level.

The National Experts Group, which consisted of some 50 representatives of the 25 Member States and the EU Institutions and Organs, completed the Report on archives in the enlarged European Union and agreed on an Executive Summary (pages VII-X) of the Report in June 2004.

Three plenary meetings of the National Experts Group took place in Brussels on 14 October 2003, 17 February and 3 June 2004 to establish the Report. At the request of the plenary meeting of the National Experts Group, additional meetings of two subgroups (the Editorial Working Group and the Drafting Group on orientations for increased archival cooperation in Europe) were organized in Brussels from December 2003 to June 2004, in order to facilitate timely progress on the Report. The Commission chaired/co-chaired the plenary and additional meetings and provided secretariat services.

## **2. 1991-2004**

The Resolution of 6 May 2003 builds on previous archival activities at the European level. The concept of greater cooperation of Archives in Europe was officially initiated in the second half of 1991 by the Netherlands, which at that time held the Presidency of the European Union. The resulting first Report on Archives in the European Union was published by the Commission and favourably received by the Council in 1994.

The subsequent Council conclusions of 17 June 1994 have led to a number of important results, in particular the organization of the European multidisciplinary DLM-Forums I, II and III (Brussels 1996, 1999 and Barcelona 2002) on electronic documents and archives and the production of INSAR (Information Summary on Archives), a periodical news review of developments in the field of archives in Europe. Both INSAR and the DLM-Forum are Commission initiatives that have been developed in close collaboration with the Member States.

The main goal of the DLM-Forum is to investigate, promote and implement wider cooperation in the field of electronic documents and archives both between the Member States and at the Community level. Among the concrete results of the DLM-Forums are the

publications of the proceedings and conclusions of the DLM-Forums I, II and III (INSAR European Archives News, Supplements II, 1997; IV, 2000; VII, 2002; [http://europa.eu.int/historical\\_archives/dlm\\_forum](http://europa.eu.int/historical_archives/dlm_forum)); multidisciplinary guidelines on machine readable data (INSAR, supplement III, 1997); better access to electronic information for the citizen: the relationship between public administration and archives services concerning electronic documents and archives management (INSAR, supplement V, 2001); European Model Requirements (MoReq) for the management of electronic records: MoReq specifications (INSAR, supplement VI, 2002). More details on continuing DLM priority activities can be found in the Report (chapter 5b, pages 131-135).

Given the numerous new developments in the field of archives in Europe since the above mentioned 1991 Council resolution and the 1994 national experts' report ("Blackbook") and on the basis of Art. 151 of the EC-Treaty concerning institutional cooperation, the National Archivists of the Member States brought forward a new draft Council resolution on greater archival coordination in Europe, at their meeting in Lund on 4 April 2001 during the then Swedish EU-Presidency. This draft resolution was amended and reinforced at subsequent meetings during the successive EU-Presidencies of Belgium, Spain, Denmark, Greece and has led to the adoption of the above mentioned Council Resolution of 6 May 2003 and the completion of the present Report in 2004 (see point 1 above).

### **3. CONTENTS AND STRUCTURE OF THE REPORT**

In accordance with the Council Resolution of 6 May 2003 (cf. Resolution points 8a-8e and 9), the National Experts Group discussed and agreed on the contents and the structure of the Report which, in addition to this introduction and the Executive Summary, is presented in the following eight parts:

- \* *Part one*: chapters 1a-1d (pages 1-39) describe the **organization of the archival sector in Europe**: archives and the European Institutions; the public archives services in the 25 Member States ; the interrelations and cooperation between Archives Services and public administration ; private archives.
- \* *Part two*: chapters 2a-2g (pages 40-93) deal with **institutional, technical and professional aspects of access to archives**. Particular emphasis is placed on relevant EU and national legislation; finding aids and archival description; access on line and new research tools; setting up an Internet Gateway/Portal to documents and archives in Europe and cooperation with European networking projects in this field; reading room standards; appraisal, selection and other aspects of document and archives management.
- \* *Part three*: chapters 3a-3d (pages 94-108) relate to the **specific role of the archivist in the 21<sup>st</sup> century** as guardian of the memory of society and the provider of authentic archival information for the public in order to enhance democracy, accountability and good governance, as well as to future training requirements and the possible recognition of archival diplomas throughout Europe, enabling archivists to carry out their role in the 21<sup>st</sup> century.
- \* *Part four*: chapters 4a-4c (pages 109-123) promote **measures for the prevention of damage to archives in Europe through natural and other catastrophes**; the preservation and restoration of documents and archives; the standards and specifications for archives purpose buildings at the national and European level.

- \* *Part five*: chapters 5a-5b (pages 124-135) focus on the **reinforcement of Europe-wide interdisciplinary cooperation** on the authenticity and long term preservation of **electronic documents and archives** and more specifically on the **promotion of DLM Forum** (Document Lifecycle Management) priority activities and the development of a European DLM-network.
- \* *Part six*: chapter 6 deals with possibilities of further **integration** in the Report **with other related activities in the archival field** at the European level, in particular e-Europe and the Lisbon Strategy ; **e-Europe Action Plans** and archival digitization projects (pages 136-139).
- \* *Part seven*: chapter 7 draws attention to **audio-visual archives** that are becoming increasingly important in the context of new multi-media applications at the national and European levels (pages 140-147), such as the follow-up to the Council Resolution of 24 November 2003 (Official Journal of the European Communities C 295/5 of 5.12.2003).
- \* *Part eight*: contains **four annexes** as follows - 1) List of National Experts and representatives of the EU Institutions and Organs who have contributed to the elaboration of the Report ; 2) Other contributors and assisting experts who have helped to develop the Report ; 3) List of proposed concrete actions and future orientations : increased archival cooperation in Europe ; 4) List of acronyms and abbreviations.

In order to make the Report easily readable, dynamic and coherent, the National Experts Group as well as other specialist contributors and assisting experts (see Annexes 1 and 2 of the Report) have referred to the detailed responses provided by the National Archives Service in each EU Member State to a common questionnaire. They also established and applied a specific set of editorial rules.

Each of the Report's chapters begins with a concise presentation of proposed concrete actions and orientations for the future in relation to the area of professional archival practice concerned (see also the summary table in Annex 3 of the Report). This is followed by an explanatory text that describes in more detail the present situation and outlines the perspectives for increased archival cooperation in future at the European level. The Report is based on the combined expertise of National Archive Services throughout the enlarged European Union and pays particular attention to the archival issues faced in the new Member States.

#### **4. EXECUTIVE SUMMARY : MAIN ACTIVITIES ON ARCHIVES IN EUROPE**

The Report describes the diversity of the situation of archives in Europe, which is due mainly to different administrative and historical traditions and cultures and which has been made even more evident with the recent enlargement of the European Union and the admission of new Member States. The National Experts Group has, therefore, stressed the necessity of co-ordinating previously diverging efforts, and of sharing information, expertise and best practice in the field of document and archives management throughout the European Union.

The Executive Summary of the Report, on which the plenary meeting (Brussels, 3 June 2004) of the National Experts Group from the 25 Member States and EU Institutions agreed, identifies the following main actions:

- 4.1. Measures for damage prevention to archives in Europe by drawing lessons from natural catastrophes such as flooding which recently occurred in different countries in Europe and abroad; the restoration of damaged documents and archives; standards for Archives purpose built buildings.
- 4.2. Reinforcement of European interdisciplinary cooperation in relation to electronic documents and archives, in particular issues of authenticity, long-term preservation and access.
- 4.3. Creation and maintenance of an Internet Gateway/Portal for documents and archives in Europe in order to provide easier and cross-border access to this unique information asset for EU citizens.
- 4.4. Monitoring EU and national legislation relating to the management of, and access to, documents and archives at an early stage; establishing an inventory of existing archival and related legislation within the enlarged European Union.
- 4.5. Examination and improvement of measures against the theft of archival documents.

See for more detail the full text of the Executive Summary (pages VII-X).

## **5. CREATION OF AN OFFICIAL EUROPEAN ARCHIVES GROUP**

The Report proposes to create an official European Archives Group comprising the Member States and EU Institutions that will focus on the promotion and implementation of the concrete actions indicated in the Report, in particular the five main actions mentioned above. After a three-year period, based on a detailed programme for cooperation and coordination on archival matters in Europe, this European Archives Group should produce a first progress report on the implementation of the concerned main actions of the Report.

## **6. ARCHIVES SERVICES IN THE 21<sup>st</sup> CENTURY**

In a world of continuous and rapid change, modern archives services in the 21<sup>st</sup> century are an element of continuity, stability and provide a solid base for essential information and indispensable documents and archives, which are among the prerequisites for the democratic functioning of our societies.

The Report stresses the specific responsibilities and distinctive contributions of the Archives Services of the Member States and EU Institutions and Organs to the preservation of the common European heritage of authentic documents and archives, to the provision of better information for the citizens of the European Union and to ensuring the work continuity of public administrations and e-Government. It highlights the importance of examining archival

tasks, activities and opportunities within the context of the enlarged European Union on a cooperative basis.

The Report calls upon the Archives Services of Europe to consolidate and to widen still further the new areas of interdisciplinary and cross-border collaboration, including in particular other professions concerned with historical memory, such as librarians and museum curators, as well as representatives from ICT-industries, especially system designers and application developers.

In addition to other professions concerned with historical memory, the Report clearly addresses itself to a wider public: decision makers in public administrations, political and budgetary authorities; legal experts; researchers; other information managers; and interested citizens more generally.

In this sense, the aim of the present Report is to encourage enhanced coordination, better information sharing, and more frequent exchanges of best practice in the increasingly dynamic field of archives. It also provides general guidelines for concrete actions and orientations, with a view to increasing future cooperation on archives in Europe.

## **FOOTNOTES :**

- (1) The full text of the Council resolution of 6 May 2003, as published in the Official Journal of the European Communities (2003/C113/2), is as follows :

"THE COUNCIL OF THE EUROPEAN UNION,

1. RECALLING the Council Resolution of 14 November 1991 on arrangements concerning archives (1) as well as the Council Conclusions of 17 June 1994 concerning greater cooperation in the field of archives (2),
2. RECALLING the Report of the group of experts on the coordination of Archives in the European Union published in 1994,
3. TAKING INTO ACCOUNT the on-going activities related to public access to documents and archives of the European Union,
4. STRESSES the importance of archives for the understanding of the history and culture of Europe,
5. STRESSES that well kept and accessible archives contribute to the democratic functioning of our societies, particularly during a period of major change in Europe,
6. CONSIDERS that special attention should be paid to the challenges for archive management in the context of the enlargement of the Union,
7. CONSIDERS that further development is needed in ICT applications and solutions in the field of archives,
8. INVITES THE COMMISSION to convene a group of experts representative also of acceding countries, appointed on the proposal of the relevant national Authorities, to address the following:
  - a) the situation of the public archives in the Member States of the European Union including various aspects of the probable evolution of archives over the forthcoming years, taking into particular account the enlargement of the European Union;
  - b) the consequences of the developments which have occurred in recent years in the field of archives, including particularly the development of new technologies;
  - c) promotion of concrete activities, such as
    - the encouragement of appropriate measures to prevent damage to archives through catastrophes like flooding and to restore such documents and archives, and
    - the strengthening of Europe-wide collaboration on the authenticity, long-term preservation and availability of electronic documents and archives;
  - d) enhancing coordination, information sharing and exchanging of good practice between the archives services;
  - e) possibilities of further integration of the work of this expert group with other relevant activities in this field at the European level, in particular the Action Plan eEurope.
9. INVITES THE COMMISSION to submit a report on this work, including orientations for increased future cooperation on archives at the European level, to the Council before the middle of 2004.

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(1) OJ C 314, 5.12.1991, p.2

(2) OJ C 235, 23.8.1994.

# **Executive summary: Report on Archives in the enlarged European Union**

## **Opportunities for future action: priorities**

### **A. BACKGROUND**

In response to the request of the Council of Ministers of the European Union through their resolution of 6 May 2003 ( 2003/C 113/02) on archives in Member States and in particular points 8 (a), (b), (c), (d), (e) and 9 the Executive Summary addresses the situation of public archives in the Member States, taking into particular account the enlargement of the European Union and the probable evolution of documents and archives management and archive services in the future. It suggests ways of improving document and archives management and public services for the citizens of the European Union, taking into account the new technologies.

Based on the evidence in the chapters of the present Report prepared by the National Experts group, the following priority actions are proposed, together with a number of other proposed actions which will also require consideration and action by the Member States and the EU institutions over the next three years. The proposed priority actions are at the beginning of each chapter and are amalgamated in tabular form at Annex 3 of the present Report.

The proposed priority actions are given here in summary form. They include measures to prevent, limit or restore damage of documents to or loss of archives through natural and other catastrophes, to improve the preservation of documents and archives, including archive buildings, to strengthen collaboration on the authenticity, long term preservation and accessibility of electronic documents and archives. The summary also suggests measures to be taken against theft and arrangements to be put in place for the recovery of stolen documents. It emphasises the importance of the contribution archives make to the democratic functioning of our societies by means of appropriate legislation and standards. It furthermore proposes the creation of an EU gateway to the archival heritage of the newly enlarged Union. All these actions are to be implemented through enhancing co-ordination, information sharing and exchange of good practice at the European level and with Member States through an official co-ordinating Group.

Account has been taken of desirability of further integrating these proposed actions with other European level action plans.

## **B. SUMMARY OF PROPOSED MAIN ACTIONS**

### **Proposed Priority Action 1**

#### **Preservation and damage prevention for archives in Europe ( Council Resolution of 06.05.2003, point 8c 1)**

- 1.1. Measures for the prevention of damage to archives through natural and other catastrophes :
  - Develop a model action plan for preventing and recovering from catastrophes;
  - Explore the possibility for setting up specialised central laboratories for trans-border emergencies;
  - Establish Rapid Response Teams for damage assessment.
- 1.2. Preservation and restoration of documents and archives:
  - reinforce co-ordination measures and exchange of expertise to establish an EU programme on the restoration of damaged documents and archives in Europe
  - Archives purpose buildings; standards and specifications at the national and European level to be updated and applied in the renewal of archival buildings and of repositories in government buildings or in new buildings by an interdisciplinary working group of the EU member states and institutions.

### **Proposed Priority Action 2**

#### **Reinforcement of European interdisciplinary cooperation on electronic documents and archives (Council Resolution of 06.05.2003, point 8c 2)**

- 2.1. Implement Europe-wide collaboration for establishing authenticity, long-term preservation and availability of electronic documents and archives.
- 2.2. Update, revise and extend the present requirements for the establishment of electronic document (records) systems such as MoReq for better administration in the public sector so that the document becomes the official norm/and or specification in the European Union. This is of particular concern to all Member States especially the new States.
- 2.3. Reinforcement of DLM network and forum/ European Economic Interest group (EEIG). Funding is needed both for further development and for translations and the organisation of the DLM forum in Budapest 2005.

### **Proposed Priority Action 3**

#### **Creation and maintenance of an Internet Gateway to documents and archives in Europe ( Council Resolution of 06.05.2003, points 8b and 8e)**

- 3.1. To provide an Internet/Web Gateway to documents and archives for EU citizens.

Given the development of the Internet and the Web and the success of some Member States ( see part 6 of the Report) in providing such information for millions of citizens, young people and children, a Gateway should be designed and implemented. This would be in line with related developments in the European information world.

This would provide improved access, in combination with improvements in reading rooms, to these resources for scholarship, and learning and information.

#### **Proposed Priority Action 4**

##### **EU and national legislation relevant to management and access to documents and archives (Council Resolution of 06.05.2003, points 8a and 8d)**

4.1. As both proposals for EU and national laws often have unforeseen implications for the management of documents and archives it is critical for the citizens of the Member States that the full implications are known at an early stage to facilitate the preservation of and access to documents and archives. Therefore draft legislation on documents and archives and related laws at the European and national level should be monitored, with a view to allowing the European archival profession to contribute its expertise where needed.

4.2. In order to support the above there is a need to have an in-depth study of archival and related legislation at both EU and national level; the creation of a database on archival and related legislation within the EU; the translation of national archival and related legislation into English, French and German and, where needed, into other official EU-languages through the relevant national archives in order to promote a better mutual understanding of this legislation. This proposal takes into account other ongoing work by the Council of Europe and the European branch of International Council on Archives (EURBICA) and seeks to systematise it.

#### **Proposed Priority action 5**

##### **Theft of archival documents**

5.1. Measures against theft of archival documents and the recovery of stolen archives in the EU should be examined and improved.

Develop an action plan on the basis of a questionnaire with a view to proposing improvements.

#### **C. CREATION OF AN OFFICIAL ARCHIVISTS COMMITTEE ( Council Resolution of 06.05.2003, points 8d, 8e and 9)**

6.1. Creation of an official Archivists Group of the EU Member States and EU Institutions. This Committee should exchange information and best practices and ensure by consensus, and respecting the principle of subsidiarity, the enhanced co-ordination of archival work in Europe as described above. It should meet twice a year or as necessary.

- 6.2. To set up a programme for an initial three years to address the issues raised by the Council of Ministers' Resolution (6 May 2003) and to consider its progress and disseminate the results and best practice improvements for the use of Member States and Institutions of the European Union.
- 6.3. An evaluation to be carried out at the end of three years with a view to reporting to Ministers of Council of the EU on the results and the considered follow-up actions.

## **1a ARCHIVES AND THE EUROPEAN INSTITUTIONS**

### **Proposed concrete actions:**

1. **To set up a common training programme and/or courses for the Archives Services of the EU-Institutions and Organs.**
2. **To ensure the adequate protection of the archival patrimony of the EU-Institutions and Organs against damage through natural and other catastrophes: flooding, earthquakes, terrorist attacks, security risks and other damaging events (cf. also Council Resolution of 6 May 2003, point 8 c) and to apply national and international recognized standards and specifications for the updating of their archival repositories and other archival storage rooms with regard to the preservation and access to documents and archives on paper, electronic and multi-media supports.**
3. **To proceed with a fact finding mission to facilitate cooperation and coordination between the Archives Services of the EU-Institutions and Organs in the field of the modernisation of electronic documents and archives management (cf. also Council Resolution of 6 May 2003, point 8c).**
4. **To strengthen further relations between the Archives Services and the public administration by promoting practical measures, such as the correct application of archival rules, specific presentations of archival expertise for administrative decision makers and other administrators of the EU-Institutions and Organs.**
5. **To organize the regular exchange of information and expertise on the appraisal and selection of documents and files between the concerned Archives Services of the EU-Institutions and Organs and the EU-Member States, with particular focus on EU-documents.**
6. **To further develop the Group for archival cooperation between the EU-Institutions and Organs and to continue strengthening close links between that Group and the National Experts Group of the 25 EU-Member States.**

### **Future orientations:**

7. **The Archives Services of the EU-Institutions and Organs will contribute actively to the coordination of Europe-wide priority activities on archives, resulting in particular from the present Report, its different chapters and its Executive Summary.**
8. **To support the creation of an official Archivists Committee of the EU-Member States and the EU-Institutions and Organs to ensure archival cooperation and coordination in Europe (cf. also Council Resolution of 6 May 2003, points 8c, d, e and 9).**
9. **Specialist staff and funding will be needed to implement and further develop archival activities (see points 1 to 8 above)..**

## **I. Organisation and functioning of the archival collaboration between the EU-Institutions and Organs**

The Institutions and Organs of the European Union: the European Parliament, the Council of the European Union, the European Commission, the Court of Justice of the European Communities, the European Court of Auditors, the Committee of Regions, the European Economic and Social Committee, the European Investment Bank, have a common legal basis for the opening of their historical archives to the public. This common legal basis, which had been jointly agreed and prepared by the Member States and Institutions, refers initially to the Community regulation of 1<sup>st</sup> and 8<sup>th</sup> of February 1983 (OJ L43, 15.2.1983, pp.1-3, 14-15) and fulfils three main objectives:

- encouragement of research into the history of the European Communities;
- promotion of public interest in the development of the European integration;
- greater transparency of the workings of the European Institutions.

Thus the principle of transparency and the accessibility of the historical archives of the EU-Institutions and Organs were clearly on the agenda from 1983 onwards and have been, once again, reinforced by the recent Regulation (EC) no.1700/2003 (OJ L243, 27.9.2003, pp.1-4).

Taking into account this common legal basis and given their specific character, each Institution and Organ has its own Archives Service which is responsible for the management of the concerned documents and archives and covers the whole lifecycle of documents, i.e. the current, intermediate and historical archives.

From the outset, the different Institutions and Organs of the European Union felt that, regardless of their own specific characteristics, which are to be fully respected, their different Archives Services should work progressively closer together, in view of the exploitation of the opening to the public of the historical archives and based on the above mentioned Community regulations. Thus a continuing archival collaboration was installed and developed not only between the EU-Institutions and Organs themselves, but also between the concerned EU-Institutions and Organs and the EU-Member States, in particular with the National Archives Services of the 25 Member States and the Archives Services of the 25 Ministries of Foreign Affairs, stressing the close interconnection between the archives in the Member States and the Institutions and Organs of the European Union.

Among the numerous activities, the Guide "Opening of the historical archives of the European Communities to the public" was published by the European Commission in 1983 to mark this important event. In their congratulation address the then Directors of the National Archives of the Member States indicate: "We are convinced that this Community initiative will lead to still closer cooperation between the Archives Services of the European Communities and those of the Member States".

Another very practical Guide was elaborated by the Working Group of the Ministries of Foreign Affairs and the Institutions and Organs of the European Union. This “Blue Guide” was published as a revised and enlarged second edition in 1995 in the then 11 official languages of the European Union. A newly updated electronic version 2004 is in preparation. The Foreign Affairs/EU-Institutions Working Group is going strong and meets twice a year during each EU-Presidency.

Furthermore, the first Report on Archives in the European Union (“Black book”) was published by the European Commission in 1994. The resulting Council conclusions of 17 June 1994 (OJ C235, 23.8.1994, p.2) led to the organisation and priority follow-up activities of the European multidisciplinary DLM-Forums, I, II and III (Brussels 1996, 1999, Barcelona 2002) on electronic archives (DLM=Document-Life-cycle Management) and the production of the periodical INSAR (= Information Summary on Archives), a review of news and developments on Archives in Europe.

In view of the recent EU-enlargement and based on Art. 151 of the EC-Treaty concerning institutional cooperation, the National Archivists of the EU-Member States brought forward a new draft Council Resolution on greater archival coordination in Europe, at their meeting in Lund on April 2001 during the then Swedish EU-Presidency. Benefiting from the continued support of the subsequent Spanish and Danish EU-Presidencies, the reformulated version of this Resolution was adopted by the Ministers of Culture of the Member States at their Council meeting in Brussels on the 6<sup>th</sup> of May 2003 during the then Greek EU-Presidency. This Resolution invites the European Commission to convene a National Experts Group and to submit the present new Report on Archives in the enlarged European Union to the Council before the middle of 2004.

For more details on the Archives Services of the EU-Institutions and Organs see the Internet address in Annex 1 of the present Report.

## **II. The deposit of the historical archives of the EU-Institutions and Organs in Florence**

As an interdisciplinary doctoral institute, the European Institute in Florence (EUIF) pays special attention to, among other subjects, research into the history of European Integration. In accordance with a contract of deposit of 17 December 1984 between the European Communities, represented by the European Commission, and the EUIF, more than 40.000 historical files have been deposited with the EUIF, after having been processed and opened to the public (30 years rule) by the EU-Institutions and Organs. The EUIF ensures their preservation and public access. The EUIF also collects, in the form of private deposits, the archives of important personalities, movements and international organisations which played an important role in the construction of Europe.

See for more details the Internet address in Annex 1 of the present Report.

### **III. Proposals on joint archival actions and provision of resources**

Following the exchange of information and expertise in the field of documents and archives management between the EU-Institutions and the EU-Member States, particularly in the context of the elaboration of the present Report, and as discussed in different inter-institutional meetings, the Archives Services of the EU-Institutions and Organs propose the following joint archival actions and provision of resources:

#### **III.1 Archival training and education**

The development of the Information Society, the far reaching tendency towards e-government, the rapid changes in digitisation and new technologies necessitate continued archival training and education in view of modernizing the public administration at the beginning of the 21<sup>st</sup> century. The recent enlargement of the European Union brings, once again, an increasing number of different administrative traditions and cultures together: numerous officials from the new Member States have to be fully and quickly integrated in the Cabinets, Directorates General and Services of the EU-Institutions and Organs.

Therefore, it is proposed to pool diverging efforts and to share resources by setting up a coordinated archival training programme and/or courses for the Archives Services of all EU-Institutions and Organs. The content of this modular training programme which should focus on archival issues and practical solutions of common interest and reinforce the archival cooperation at the inter-institutional level, will be established in more detail by the official Group for archival cooperation between the EU-Institutions and Organs (see also point III.6 below).

As a first step, a running in period of two years starting in 2005 is foreseen. Each training event should last between half a day and maximum two days. Specific archival presentations organized by all and/or in turn by each Institution and Organ should also benefit from the expertise of National Experts from the 25 Member States. Practical study visits and traineeships by the concerned Archives Services of the EU-Institutions and Organs and the EU-Member States should be actively promoted.

An estimate of the necessary resources: convocation of specialized staff; possibility for combined calls for tender; study visits and traineeships; specification of a detailed timetable; is in preparation.

#### **III.2 Archives purpose Buildings and other archival storage rooms**

We are living in a world of major changes which seems to present increasing and real risks to the adequate and long term preservation and access to the common archival patrimony in Europe. The Council Resolution of 6 May 2003 rightly and explicitly requests that measures be taken to prevent damage to archives through natural and other catastrophes and to restore damaged documents and archives.

Furthermore, there is a clear tendency to construct new Archives purpose Buildings, in the EU-Member States, recently in France, Germany, United Kingdom, Spain, Portugal, The Netherlands, Greece, Cyprus, Czech Republic. This is widely considered to be a good investment in the adequate and long term preservation and access to archives in

Europe as well as in the transparency and accountability of public administration and the democratic functioning of our societies.

The following practical measures and necessary resources are proposed:

- a) Cooperation with National Experts (archivists, architects, engineers, geologists) to establish and further develop standards and specifications for the construction of new Archives purpose Buildings at the national and European level;
- b) Application of these standards and specifications also for the updating of existing archival repositories and for other archival storage rooms of the EU-Institutions and Organs with regard to the preservation and access to documents and archives on paper, electronic and multi-media supports;
- c) Publication of these standards and specifications, including current quality security standards and a typical/modular “cahier des charges”, in different languages of the European Union.

A detailed Project description and cost estimation for the above mentioned practical measures a), b) and c) are in preparation.

### **III.3 Electronic Documents and Archives Management**

The information flow between the different EU-Institutions and Organs has been considerably intensified over the last ten years, in particular through the extensive and complex application of modern information technologies. The present EU-enlargement and the related administrative and procedural reforms in the framework of the European Constitution will further stress the need for increased inter-institutional coordination in this field.

Therefore it is suggested to proceed with a fact finding mission, which is to be based on the present and foreseeable archival situation in view of facilitating cooperation and coordination between the Archives Services of the EU-Institutions and Organs on the continued modernisation of their closely connected electronic documents and archives management. This includes the harmonized management of document series and electronic files emanating from different Institutions and Organs; the compatibility of archival systems in the administrations covering the continuum of the document lifecycle; the progressive networking (hyperlinks; concept “à partir de la source”) between the databases of the concerned Institutions and Organs; the examination of possibilities for jointly developing and sharing of metadata standards, migration strategies, formats and other relevant measures as well as the necessary resources.

Furthermore and in conformity with the specific requirements of the Council Resolution of 6 May 2003, the Institutions and Organs will actively cooperate with the National Experts of the 25 Member States with particular regard to standards, specifications and best practice on the authenticity, long term preservation and accessibility of electronic documents and archives: exchange of information and expertise; interdisciplinary studies; concrete applications; follow-up to DLM priority activities, such as the update and multilingual publication of the Moreq (= Model Requirements for electronic

documents and archives management) Project and other relevant joint ventures at the institutional, national and European level.

#### **III.4 Relations between Archives Services and public administration**

The modernisation of archival systems in the Cabinets, Directorates general and Services (e.g. European Commission e-domec project) of the different EU-Institutions and Organs is to be improved by ensuring the early involvement of their specialized Archives Services in the decision making process and other procedures of public administration. It is of vital importance for the transparency and adequate functioning of administrative services to promote proactive initiatives and practical measures, such as continued advice on the correct application of archival rules, including the constitution of files (on paper, electronic and multimedia supports); the creation and maintenance of filing plans; the appraisal, transfer, acquisition, declassification, cataloguing, preservation and access to documents and archives.

Administrative decision makers and other administrators of the Institutions and Organs are to be informed through specific presentations of archival expertise and regularly addressed for timely provision of necessary resources for greater interinstitutional coordination on documents and archives management in the European Union.

#### **III.5 Appraisal and selection of documents**

With regard to organizational questions on the appraisal and selection of documents of the EU-Institutions and Organs, it is suggested to pool information and expertise mainly on two aspects:

- to examine the complementarity of documents and files issued by the EU-Institutions and Organs;
- to organize the periodical exchange of information and expertise between the concerned Archives Services of the EU-Institutions and Organs and the EU-Member States, with particular focus on EU-documents and their management at the institutional, national and European level (cf. also chapter 2f “Appraisal and selection of documents” of the present Report). The proposed official Archivists Committee of the EU-Member States and the EU-Institutions should investigate possibilities for close cooperation and progressive coordination in this field.

#### **III.6 Further development of the Group for archival cooperation between the EU-Institutions and Organs**

In order to examine, coordinate and progressively implement the above mentioned main activities (see points III, 1, 2, 3,4 and 5) and to further strengthen inter-institutional cooperation in the field of documents and archives management, steps have been taken at the initiative of the Council of the European Union to create an official Group for archival cooperation between the EU-Institutions and Organs.

This inter-institutional Archives Group

- Meets regularly, in principle twice a year, to discuss issues of specific interest in the field of current, intermediate and historical archives;
- Establishes a detailed working plan and timetable for the above mentioned main activities and other archival issues of common interest at the inter-institutional level;
- Continues strengthening close links with the National Experts Group of the 25 Member States and will subsequently participate in the main activities of the proposed official Archivists Committee of the EU-Member States and EU-Institutions; a) to benefit “first hand” from the information, expertise and best practice on archives at the national and European level; b) to actively contribute to the coordination of Europe-wide priority activities on archives, resulting in particular from the present Report, its different chapters and its Executive Summary.

#### **IV. Greater cooperation and coordination in the field of Archives in Europe (Council Resolution of 6 May 2003): perspectives**

The Council Resolution of 6 May 2003 on Archives in the EU-Member States clearly recognizes the important work of the National Archivists of the 25 Member States and the pressing and urgent need for greater cooperation and coordination in the field of Archives in Europe. In this context the Archives Services of the EU-Institutions and Organs are requested to examine tasks, activities and opportunities in the enlarged European Union. Thus the interdisciplinary exchange of information, expertise and best practice on archives and the sharing of limited, but necessary resources should be progressively coordinated and actively promoted by the concerned Institutions and Organs. It would be of great benefit to continue strengthening close links with the National Experts of the Member States and to support the creation of an official Archivists Committee of the EU-Member States and EU-Institutions and Organs.

In this sense, the present Report provides guidelines for concrete actions and future orientations for increased future cooperation on archives in Europe. Now that the principal actions and orientations are brought together, the Archives Services of the Member States and the Institutions and Organs are ready to jointly address the “pressing and urgent” archival matters in the enlarged European Union.

## **1b PUBLIC ARCHIVE SERVICES IN THE 25 MEMBER STATES OF THE EUROPEAN UNION**

**Proposed concrete actions:**

**In recognition of the importance of maintaining regular formal links for the exchange of information and expertise between the Archives Services of the EU-Member States, and with the Archives Services of the EU-Institutions and Organs, a standing official Archivists Committee of the EU-Member States and the EU-Institutions and Organs should be set up to ensure increased institutional and professional cooperation and coordination on archives in Europe (cf. also Council Resolution of 6 May 2003, points 8c, d, e and 9). This official Archivists Committee should focus in particular on the following:**

- 1. Further development of standards, norms and best practice in the field of archives, in conformity with the specific requirements of the above mentioned Council Resolution of 6 May 2003, and the coordination of Europe-wide priority activities on archives, resulting in particular from the present Report, its different chapters and its Executive Summary.**
- 2. Maintenance and development of the essential interrelations and cooperation between archives services and administrators.**
- 3. Preservation and prevention of damages to archives in Europe through natural and other catastrophes, such as flooding, earthquakes, terrorist attacks, war disasters, security risks and other damaging events.**
- 4. Further development of standards, norms and best practice concerning the authenticity, transmission, long-term preservation, accessibility and dissemination of electronic documents and archives.**
- 5. Creation and maintenance of an Internet Gateway to documents and archives in Europe.**
- 6. Maintenance and continuing development of such existing initiatives as the European interdisciplinary DLM Forums on electronic archives and the periodical INSAR (European Archives News).**
- 7. Monitor progress on the above actions 1-6.**

**Future orientations :**

- 8. The proposed official Archivists Committee should also draw extensively on the expertise of specialists from other disciplines (legal experts, information technology specialists, architects, engineers, geologists) with regard to specific archival issues and projects.**
- 9. The Committee should always bear in mind the principle of subsidiarity.**

**10. Furthermore, in order to increase the cooperation and coordination on archives at the national and European level, as requested by the Council Resolution of 6 May 2003, it is essential to provide the necessary resources.**

All the countries of the European Union have an Archive Service at national level, and it might be reasonable to suppose that such a service, so simple to grasp conceptually, would operate along similar lines in every country. The truth could hardly be more different. The National Archive Service of a country is a reflection of its political and cultural history. Archive services which can trace their origins to the Middle Ages are different from those of more recent creation; the National Archives of a federal country are not the same as those of a country with a tradition of strong central administration. Some countries consider archives to be an aspect of culture, others consider them to fall within the ambit of education, the environment, the economy or justice. In some countries the National Archive Service has responsibility for the archives of every ministry and organisation of government; in others some of the principal ministries have their own archive services. The functions of some National Archive Services are backed by detailed legislation; for others legislation is general or even lacking, and the service depends for its effectiveness on traditional practice, and on the application of professional standards and ethics.

There is no 'right' way of doing things, and it is remarkable the extent to which all National Archive Services, in spite of widely differing administrative and legal frameworks, contrive to deliver their service to the nation and to the public in similar ways, and to internationally accepted professional standards.

It is important to remember that archive legislation remains constantly under review, and in many countries is regularly updated. Freedom of Information, Data Protection, and Public Administration all have their effect on archives. So does European legislation from the European Union and the Council of Europe. In some countries the need to legislate on these subjects has had an important and beneficial effect on archive legislation; in others it has emphasised the need for this legislation to be brought up to date; and in all it has helped to raise awareness of the role of archives within the administration and culture which have created them. This chapter therefore can only be a snapshot of different aspects of the European archival situation as they present themselves in the year 2004.

In spite of this change and disparity, National Archive Services share certain archival topics which will benefit from cooperative action. In the first place their holdings are the product of administration; any cultural role they have is secondary to that of the management and supervision of the archives in their charge or which they will in due course receive. However, this link between archive services and archive creating organisations is changing. Whereas paper based material can be transferred to an archive service at any age, electronic material must be under archival supervision from the moment of its creation (see also chapters 5a and 5b of the present Report). As a consequence any support that archive services can obtain in their dealings with administrations would be very helpful. A working group to examine these relations, and to propose guidelines would be able to clarify at national and European level, both the role expected of and appropriate to archive services in their dealing with administrations, and also the responsibilities of administrations towards the preservation of their archives. An element of this consideration should relate to budgetary questions.

In the second place archives and archive services are more and more subject to developments arising from information technology. Joint consideration by National Archive Services to the

general principles which should govern the transmission of electronic archives, how they should be made available, and how information about them should be disseminated, for example through the proposed Internet Portal on archives in Europe, would be a valuable co-operative action. Basically this relates to a continuation of support for the priority activities of the DLM Forum on electronic archives.

Thirdly, there are certain particular subjects: damages to archives through natural and other catastrophes, archival disputes resulting from war, the extent to which consultation of archives is truly free, the harmonisation of copyright rules, and of the rules of access to documents of international origin. These ought to be considered, and if possible resolved by a working group involving the National Archives Services of the 25 Member States as well as the Archives Services of the EU-Institutions and Organs. This group could meet regularly to consider matters such as those listed above, and to resolve archival matters of topical concern. It is also suggested that in archival matters EU Archive Services maintain harmonious relations with other international organisations, such as the Council of Europe, UNESCO, the International Council on Archives.

In this context the necessary resources, i.e. specialist staff and funding, need to be found in order to promote increased cooperation and coordination on archives in Europe.

### **Survey of the National Archives Services of the 25 EU-Member States**

In taking in particular into account the specific requirements of the Council Resolution of 6 May 2003, a survey of the National Archives Services of the EU-Member States has been made in form a) of a specific questionnaire which was sent to each of the Member States and b) of follow up contacts and discussions between the concerned National Archivists.

The replies to this questionnaire have been very useful for the elaboration of the present Report and its different chapters in view of covering archival activities and topics at the national and European level. Some of the main results of the questionnaire are presented in this chapter with regard to the National Archives Service of each country under the following headings: legislative basis, governing body, archival responsibilities, and bilateral or multilateral initiatives. The ministry responsible for each archive service is to be found in the first table attached to this chapter. The second table lists the ministries which do not transmit their archives to the national service.

#### **Austria**

##### Legal Basis

- Federal Archives Act (Bundesarchivgesetz) of 17 August 1999
- Federal Government Ordinance No. 366 (Verordnung der Bundesregierung über nicht archivwürdiges Schriftgut des Bundes) of 27 September 2002
- Ordinance of the Chancellor No. 367 (Bundesarchivgutverordnung) of 27 September 2002
- Protection of Monuments Act (Denkmalschutzgesetz), sections 24-5 of 19 August 1999.

##### Governing or professional body

None

##### Archival responsibilities

The Austrian State Archives is responsible for the archives of all federal government services with the exception of those of Parliament, of judicial and administrative courts, of universities

and of a number of cultural institutions including the Hofmusikkapelle. The State Archives is only responsible for archives once they have been transmitted to it. It does not inspect the archives held by government organisations, but gives advice when asked. Organisations still holding archives are expected to follow special regulations set out in a Kanzlerordnung of 1992.

The nine federal states (Bundesländer) of Austria each have their own archive service (as do the larger towns) which are independent of the state service, and function under separate legislation. The State Archives is the national authority for matters relating to protection (sale, export etc).

#### Bilateral or multilateral initiatives

The State Archives is involved in many bilateral initiatives especially with archive services in Eastern Europe.

### **Belgium**

#### Legal Basis

Law of 24 June 1955. The proposed modernisation of this law will take account of greater local responsibility for central government activities.

#### Governing or professional body

The Conseil Scientifique has general responsibility for professional matters and for the appointment of permanent staff to senior posts. The Comité de Gestion has responsibility for the implementation of management programmes.

#### Archival Responsibilities

The National Archives has responsibility for the inspection of all public archives, acquires public and private archives, preserves the archival heritage and makes it available. It is not responsible for the lifecycle management of documents unless specific advice is sought.

It receives the archives of all ministries and other public organisations at national and federal level with the exception of:

- Parliament and bodies which depend on it such as the government accounting office (Cour des Comptes)
- The Ministry of Defence
- The Ministry of Foreign Affairs

However it is responsible for the inspection of the archives of these two ministries.

The National Archivist (Archiviste Général du Royaume) supervises the preservation of archives in administrative and judicial courts and in all public institutions and administrations.

The National Archives is divided into three departments: General Archives of the Kingdom and the Archives of the State (Archives Générales du Royaume et Archives de l'Etat à Anderlecht); the Archives of the Flemish Region; and the Archives of the Walloon Region.

#### Bilateral or multilateral initiatives

None, except for agreements made with the Ministry of Justice

### **Cyprus**

#### Legal Basis

State Archives Law 208/91

#### Governing or professional body

There is a committee to advise the minister on archival matters, but it has no administrative role within the State Archives.

#### Archival responsibilities

The State Archives is the place of deposit for the archives of all government departments and other bodies subject to the State Archives Law. Its primary responsibility is to hold these archives for official use, but they are also made available for public consultation. It is only responsible for these archives after they have been transmitted to it.

#### Bilateral or multilateral initiatives

The State Archives is co-operating with the Government IT department in order to ensure future accessibility of documents in electronic formats, and also with the Ministry of Education and Culture in an attempt to make the work of the archivist better known.

### **Czech Republic**

#### Legal Basis

Archives Act of 1974, as amended in 1992 and 2002.

#### Governing or Professional Body

None

#### Archival responsibilities

The administration of the Archives Department of the Ministry of the Interior is responsible for the administration of archives of all types, from the Central State Archives Service (the future National Archives Service) to regional and district archives, and including parliamentary, municipal, specialist and university archives. It determines principles and practice in the management and appraisal of documents, and is responsible for the lifecycle management of the documents it will eventually receive.

#### Bilateral or multilateral initiatives

The Administration of the Archives Department holds the central register of archival collections which includes fonds held in museums under the authority of the Ministry of Culture. It publishes two archival periodicals.

### **Denmark**

#### Legal Basis

Public Archives Act of 1 July 2003.

#### Governing or Professional Body

None

#### Archival Responsibilities

The State Archives consists of the National Archives for the archives of central government institutions, four provincial archives (Landsarkiver) situated in Copenhagen, Odense, Viborg and Aabenraa for the state local government institutions, business archives (Erhvervsarkivet) for private sector organisations, and the Danish Data Archives (Dansk Data Arkiv). The archives of Greenland and the Faroe Islands are managed independently under the arrangements for devolved government in those countries. Only the archives of parliament

(Folketing) and its dependent institutions do not come to the national service. Though the State Archives may inspect and prescribe measures for the preservation of archives which will eventually be transmitted to its care, it has no formal responsibility for them until that happens.

#### Bilateral or multilateral initiatives

The State Archives has set up a computer based network for access to private archives.

### **Estonia**

#### Legal Basis

Archives Act of 25 March 1998

#### Governing or professional body

None.

#### Archival Responsibilities

The National Archive service operates at national level, and is also responsible for the administration of ten regional state archive services. The National Film Archives is also part of the National Archive service. The National Archive service receives the archives of all central and regional state agencies, including those of parliament. Before their transfer agencies are responsible for the management of their own archives, though the National Archive service has supervisory and advisory duties. It also determines policy in professional matters. There are two municipal archive services (Tallinn and Narva) which are administered separately.

#### Bilateral or multilateral initiatives

There is co-operation with libraries and museums towards a project to digitise the national cultural heritage, and the National Archives keeps a national register of archives designed to give access to both public and private archives nationwide.

### **Finland**

#### Legal Basis

The Archives Law 831/1994 as amended in 1999, 2000 and 2004, and the Decree on the National Archive Service 832/1994, as amended in 2000 and 2004.

#### Governing or professional body

None. However there is an advisory board whose task is to assist the National Archive Service to formulate its policies and strategies, and to foster co-operation between the National Archive Service and its partners.

#### Archival responsibilities

The National Archive Service has a right of inspection of the archives of all government organisations including those which do not transmit their archives to the national service. The National Archives does not receive the archives of:

- Parliament and the bodies which depend on it
- the Ministry of Defence
- the Ministry of Foreign Affairs

The National Archive Service has only partial responsibility for archives of Parliament, and of the Greek Orthodox Church of Finland. However, the archives of the President are

transmitted to the National Archives. Municipalities do not transmit their archives to the national service, but the National Archive Service has rights of inspection.

#### Bilateral or multilateral initiatives

The National Archives is leading a multilateral project to set up a database for private archives.

### **France**

#### Legal basis

The law of 17 July 1978 on access to administrative documents, and Livre II of Code du Patrimoine. The latter is applied under decrees of 3 December 1979, and 1 December 1980.

The law of 6 January 1978 on information technology, databases and freedom.

The Law 2000-321 of 12 April 2000 concerning the rights of citizens in their relations with public administrations.

#### Governing or professional body

The Conseil supérieur des archives advises the Minister of Culture on archival matters.

#### Archival responsibilities

The Direction des Archives de France has archival responsibility for the entirety of the country. The National Archives receives the archives of all administrations at national level including those of parliament, but with the exception of those of

- the Ministry of Defence
- the Ministry of Foreign Affairs

The Directorate has the right of inspection of all public archive services, and advises on the management of documents including those which it will not eventually receive.

#### Bilateral or multilateral initiatives

The Direction maintains technical links with other public services such as the National Library, but not to the point of creating common networks. Networking is achieved through the central responsibility of the Directorate for all the public archive services in the country.

### **Germany**

#### Legal Basis

Federal Archives Act (Bundesarchivgesetz) of 6 January 1988 as amended on 5 June 2002; Archive Acts of the 16 federal states (Länder)

#### Governing or Professional Body

None

#### Archival Responsibilities

The Federal Archives gives access to the archives created by the central agencies of the federal state and its predecessors, including the Ministry of Defence and the archives of the film industry. Since 1990, the archives of the former GDR have been accessible. The state archive services in the federal states are responsible for the archives of their regional governments. Parliamentary archives, and those of the former secret service of the GDR are kept by special institutions.

Archive services in Germany have the exclusive right under the archive acts to appraise documents for permanent retention, and to work out appraisal schemes with the archive creating agencies. They receive transfers of archives on a regular basis which they make

publicly available after the normal delay of thirty years from their creation. The archive acts give archive services responsibility for records management within agencies. Representatives of archive services participate in government project groups at different levels on the introduction of e-government and the automation of administrative work.

Federal and state archive services co-ordinate their activities, especially those relating to legal questions, preservation, microfilming and IT applications, through regular meetings of their chief archivists and through joint working groups.

The Federal Archives hosts a nation wide database of collections of personal papers searchable via the internet.

#### Bilateral and multilateral initiatives

The Federal Archives works with the German Library (Deutsche Bibliothek) on the long term accessibility of electronic materials, and is a partner in other similar initiatives. It also works with archive services in Eastern Europe and Russia to improve accessibility to archives from different 20<sup>th</sup>-century sources. Some state archive services also take part in joint cross border activities within Europe.

### **Greece**

#### Legal Basis

The General State Archives and other provisions Act 1946/91

#### Governing or professional body

There is an independent board which gives advice on professional and technical matters but has no administrative role within the Archives.

#### Archival Responsibilities

The General State Archives is responsible for both the national archive service and for the supervision of regional public archive services, both those of the prefectures and those of the towns with specific archival responsibilities. The State Archives receives the archives of all national administrations with the exception of :

- The Ministry of Defence
- The Ministry of Foreign Affairs
- The Ministry of Public Order

The State Archives provides professional and technical support for the archive services of these bodies, but has no rights of inspection. It has no involvement with the lifecycle management of the documents it will receive until they have been transmitted to it.

The Law 2846/2000 defines that all records of the Prime Minister, the Ministers, assistant ministers and the General Secretariat of the Cabinet are collected and put in the custody of an Independent Public Authority. All these archives are given in the charge of the General State Archives in parts or as a whole, as soon as the delay period of the documents, which constitute the archive, has expired.

#### Bilateral or multilateral initiatives

None at present.

### **Hungary**

#### Legal Basis

Act LXVI of 1995 on Public Records, Public Archives and the Protection of Private Archives.

### Governing or professional body

The Archives Board as a professional body with responsibilities to give expert opinion and make recommendation on archives matters to the Minister of Cultural Heritage. National Archives is directly supervised by the Archives department of the Ministry of Cultural Heritage

### Archival Responsibilities

The National Archives is responsible for the supervision of the archives of the President of the Republic and his office, of Parliament, of ministries and of courts, of the offices of Parliamentary Ombudsmen, of the Constitutional Court, of the Supreme Court, of the Attorney General's Office, of the State Audit Office, of the National Bank of Hungary, as well as of the predecessors of all these agencies, and all national public bodies and public foundations having no archives of their own. The exceptions are:

- the Ministry of Defence
- the Central Statistical Office
- the agencies under direct control of the Ministry of Environment and Water Management
- State security agencies

The National Archives is responsible for transferring, preserving, cataloguing and ensuring access to the records of permanent value, created by the agencies above. For this reason is entitled to inspect the lifecycle management, including the rules of records creation, appraisal, disposal and administration by means of exercising the right of consent on the issue of regulations on document management

### Bilateral or multilateral initiatives

The National Archives share a joint project with the National Széchényi Library launched to save documents on acid paper; organizes and/or joins exhibitions both home and abroad; takes part in various projects aiming at digitisation cultural heritage; concluded bilateral agreements (Austria, Slovakia, Poland) or joint record preservation programme (the Netherlands) with archives services. The website of the National Archives gives access to the top level finding aids of their holdings, and to the internet periodical called ArchivNet.

## **Ireland**

### Legal Basis

Archives Act, 1986

### Governing or professional body

National Archives Advisory Council

### Archival Responsibilities

The National Archive service is responsible for the archives of all government bodies with the exception of those of Parliament, and those of the Ministry of Defence. Defence archives are included within the provisions of the Archive Act, but are kept in a special archive service of their own. Some state sponsored bodies such as health boards have a measure of archival independence.

### Bilateral or multilateral initiatives

There is a programme to digitise early census records in collaboration with the National Archives of Canada. Ireland also participates in the INTERPARES programme.

## **Italy**

### Legal basis

The Presidential Decree of 30 September 1963, no.1409.

The Legislative Decree of 20 October 1998, no.368.

The Legislative Decree of 22 January 2004, no.42, entered in force on 1<sup>st</sup> May 2004.

The Presidential Decree of the 10 June 2004, no.173

### Governing or professional body

None

### Archival responsibilities

The State Archive Administration consists of the Directorate general for Archives, the Central State Archives, 105 State Archives and 20 archival Superintendencies, under the supervision of the Department Archives and Libraries.

The State Archive Administration is responsible for the archives of the Italian States before their unification, for the non –current administrative and judicial archives of state organisation, and for any private archives or documents that may be placed in its care. It also supervises the archives of public and private bodies whose activities are of historical interest. The State Archives receive the archives of all national bodies, except for those of :

- The Ministry of Defence
- the Ministry of Foreign Affaires
- the Chamber of the Deputies and the Senate
- the Presidency of the Republic
- the Constitutional Court

Any Archives not transmitted to the State Archives remain the responsibility of the creating organisation, but the State Archive Administration is responsible for the lifecycle management of the documents it will eventually receive

### Bilateral or multilateral initiatives

The archival Administration is a partner in a national archive network (SIUSA), which has both a public element and a administrative element for internal use only

## **Latvia**

### Legal Basis

The Law ‘On Archives’ of 26 March and 1 May 1991, as amended on 21 October 1993 and 23 November 2000. A new law is in preparation.

### Governing or professional body

The Directorate General of the Latvia State Archives is supervised by the Ministry of Culture. It is an administrative body which contributes to the formation and implementation of policy in the field of archives and is responsible for the administration of state archives.

### Archival responsibilities

The State Archive service (system) consists of the Directorate General of Latvia State Archives, 15 state archives (Latvia State Historical Archives, the State Archives of Latvia, the Latvia State Archives of Audiovisual Documents, the State Archives of Personnel Files and 11 Regional State Archives), Special Library of State Archives and Central Microphotocopying and Document Restoration Laboratory. The State archive service is responsible for the supervision (inspection and control) the archives of all public (state as well as municipal) institutions. The law obliges all public institutions to transmit documents with permanent value to state archives. These state archives acquire the archives of private persons, popular organisations and enterprises of national importance, too.

### Bilateral or multilateral initiatives

The State Archives is leading a nationwide initiative to bring all public archives within a single network so as to make them accessible on-line.

## **Lithuania**

### Legal Basis

Law on Archives of 30 March 2004; No IX-2086. This will come into force on 1 January 2005.

Statute of the Lithuanian Archives Department adopted on 14 April 1995 (resolution no.542), as amended in 1998 and 2002.

Regulations on the State archival fonds adopted on 13 May 1996 (Government Resolution no.556).

Regulations on preservation, handling, research and access with regard to the State archival fonds, adopted on 12 April 1996 (Government Resolution no.452).

Regulations on the register of the Lithuanian archival fonds of 19 April 1996 (Government Resolution no.480).

### Governing or professional body

Lithuanian Archives Department which is within the jurisdiction of the Prime Minister. It is an administrative body which contributes to the formation and implementation of policy in the field of the lifecycle management of records, and is responsible for the administration of state archives. The Department issues regulations concerning the management of records and archives which are binding on all public institutions.

### Archival responsibilities

The national archive service consists of the Lithuanian Archives Department, five state, and ten regional archive services. The state and regional archive services are responsible for the custody, management and accessibility of all archives transmitted to them, as well as for inspection and control of records management and archives in all public institutions. The responsibility for the management and preservation of documents before their transmission to a state or regional archive service remains with the creating agency. The law obliges all public institutions to transmit those of their documents considered by the National archive service to be of permanent value to state or regional archive services. These services also acquire the archives of private persons, popular organisations and enterprises of national importance.

### Bilateral or multilateral initiatives

The Archives Department is working with the Ministry of the Interior on access to documents in public institutions, with the Ministry of Education and Science on educational projects, and

with the Information Society Development Committee on the project concerned with the exchange of electronic documents within public administrations. The Archives Department and the State archive services are also working with the Parliament on the description of parliamentary documents for an electronic database.

As regards international initiatives, the national Archive service maintains close multilateral and bilateral co-operation with the Baltic and Nordic countries, with Poland, and with Russia on the basis of their common heritage, for the exchange of archival information, for exhibitions and for professional training. In recent years the National Archive service has taken part in projects funded by EU programmes in partnership with colleagues from EU countries.

## **Luxembourg**

### Legal Basis

Law of 28 December 1988 on the reorganisation of state cultural institutions

Regulations g – d of 15 January 2001 on the consultation of archives in the National Archives.

### Governing or professional body

None

### Archival responsibilities

The National Archives is responsible for bringing together documents of historical interest, private as well as public, for cataloguing and preserving public archives for administrative and historical purposes, and for giving advice when asked to both public and private organisations. Since there is no law on archives, no ministry or public administration is obliged to transmit its archives to the National Archives, not are there arrangements for inspection. In practice only the Ministry of Foreign Affairs runs its own archive service.

### Bilateral or multilateral initiatives

The library of the National Archives is linked to other libraries in the country by the electronic management system called ALEPH.

## **Malta**

### Legal Basis

The National Archives Act 1990

### Governing or professional body

The National Archives Advisory Committee advises the Minister on archival matters in general but does not directly supervise the Archives.

### Archival responsibilities

The National Archives is responsible for all archives created by the Maltese civil service, and for those of Parliament, of the Prime Minister and of the President. The records of civil status, and the Notarial Archives which are governed by separate legislation, along with archives of private institutions such as the Catholic Church and political parties, do not come to the National Archives. The National Archives has no right of inspection of these archives, and the management of current and semi-current documents remains the responsibility of the department which created them.

### Bilateral or multilateral initiatives

The only initiative is with the Genealogical Society of Utah.

## **Netherlands**

### Legal Basis

Archives Act 1995 (Archiefwet 1995) as clarified by the Archives Decree (Archiefbesluit).

### Governing or professional body

None. However the Culture Council (Raad voor Cultuur) advises the minister on archival matters at national, provincial and local level, and must be consulted on disposal schedules. The Council has no supervision or control of the National Archives.

### Archival responsibilities

The National Archives is responsible for all archives in state repositories once they have been transmitted by the creating organisations, and for duties placed upon it by the minister. It is not responsible for provincial and municipal archive services or for the archives of waterboards. Changes are in progress whereby there will be a National Archives in The Hague and independent Regional History Centres in each provincial capital. Supervision of the management of the records of Parliament and of other High Councils was transferred to a Public Records Inspectorate in 2001. This Inspectorate inspects all archives not yet transmitted to the National Archives, and the Ministry of the Interior co-ordinates the management of archives held in the various ministries. However the archives of all government ministries and other public organisations at national level, including Parliament, come within the remit of the National Archives.

### Bilateral or multilateral initiatives

The National Archives is involved in many bilateral initiatives, especially with archive services in Eastern Europe.

## **Poland**

### Legal Basis

National Archives Act of 14 July 1983

### Governing or professional body

The Archive Council, which is a consultative body.

### Archival responsibilities

The General Director of the State Archives manages thirty-two state archive services (three central ones – Central Archives of Historical Records, Central Archives of Modern Records, and the Audiovisual Archives), and twenty-nine regional archive services with fifty-one local branches. The State Archives is responsible for the records management function within public sector bodies, including central and regional government, autonomous local bodies and state enterprises, as well as for the management of historical archives. However these functions do not cover the archives of some central organisations which manage their own record:

- The Ministry of Defence
- The Ministry of Foreign Affairs
- The Ministry of the Interior
- The President's Office

- Parliament
- Intelligence Services
- The Institute of National Memory, which holds the archives relating to the repression of the Polish nation (notably under Nazi and Communist regimes).

However they are expected to observe the provisions of the archive law, and to transmit their records (except for classified material needed for current business) to the State Archives fifty years after its creation. The State Archive service does not have the right of inspection of these bodies, but may be consulted. It can supervise the preservation of historically important documents held by independent bodies.

The functions of the historical archive service include in particular the development of its holdings and their preservation and accessibility. It also controls the handling of documents not (or not yet) transmitted to the State Archive service. It issues copies and extracts of these documents as well as certificates based on them. It is responsible for research in archival and related disciplines.

#### Bilateral or multilateral initiatives

At international level the Director of the State Archives has entered into multilateral and bilateral co-operation agreements with the national archive services of other European countries. Recently the Polish archive services have joined EU projects such as CULTIVATE CEE and DELOS CEE (5FP), SEPIA and TAPE (Culture 2000). The State Archives participates in the Council of Europe 'Reconstitution of the Memory of Poland' project.

The General Director of the State Archives co-operate in particular with the Ministry of Culture on cultural heritage protection, and with the Ministry of Scientific Research and Information Technology on projects concerned with electronic records within the public sector and with Information Society developments. The General Director and the State Archive service also co-operate on special problems with other bodies, such as the Ministry of the Interior (on the archiving of vital records), the Ministry of Justice (on the management of court records), and the data protection authorities on the protection of personal data. There is an official website for the state archive network, giving basic information and access to the national archive databases. The State Archive service together with the Research and Academic Computer Network (NASK) have created the 'Treasures of Polish Archives' website, presenting digitised images of the most important documents for Polish history, and have also joined the Polish Internet Library project which gives on-line access to cultural heritage.

### **Portugal**

#### Legal Basis

The Law (Decreto-Lei) no.47/2004 of 3 March 2004 establishes the regime of transferring to the National Archives.

The Law (Decreto-Lei) no. 60/97 of 20 March 1997 establishes the mission and structure of the National Archive Service.

The Law (Decreto-Lei) no. 16/93 of 23 January 1993 (as amended in 1994 and 2001) sets out the legal basis of the archival heritage.

#### Governing or professional body

The Conselho Superior de Arquivos advises the minister of culture on archival matters, but has no supervisory role for the National or any other archive service.

### Archival responsibilities

The National Archives is responsible for the technical supervision of the archives of all government services, municipal bodies and public enterprises, as well as private archives classified part of the national heritage. It administers sixteen district archive services that hold archives of the local agencies of central government, as well as parish registers and the records of civil registration, the courts, and of notaries public, which by law must be transmitted to them. On the other hand there was no legal obligation on any national body to transmit its archives to the National Archive service, until recently. The Law (Decreto-Lei no.47/2004) of 3 march 2004 establishes the regime of transferring to the National Archives the government records created by the public enterprises. The following organisations have their own archive service:

The Ministry of Defence

The Ministry of Finance

The Ministry of Foreign Affairs

The Ministry of Public Works

Parliament

Presidency of the Republic

Government Accounting Office (Tribunal de Contas)

However the National Archives has the right to inspect the archives of these bodies, and to that extent has responsibility for their lifecycle.

### Bilateral and multilateral initiatives

The National Archive Service co-operates with other public services in the production of guidelines and standards. It co-ordinates a government programme (PARAM) to support the development of municipal archive services, especially with regard to the construction of archive buildings.

## **Slovak Republic**

### Legal basis

Act on Archives and Registries no. 395/2002 and the associated Decree of the Ministry of the Interior, no. 628/2002

### Governing or professional body

None

### Archival responsibilities

The National Archives Service is a department of the Ministry of the Interior. It consists of two central State Archive services, eight State Archive services with regional responsibilities and 37 local offices. The service covers the entire country, and the entire area of archival administration, including the inspection of archives not transmitted to the national service. The national service is entitled to keep the register of registry creators (documents creators) and register of archival heritage; second it is executing professional state supervision over registry administration (documents management), Archives and archives stored at possessor that did not establish Archives. The service approves the guidelines for registry administration (documents management) and records schedule of registry creator (documents creator); the service decides about the disposal of registry records and restrictions of access to the archives that it acquired. The Ministry of the Interior is also entitled to impose fines for non-compliance with archival rules and standards.

The archives of following organisations are not transmitted to the National Archives, they have their own Archives:

Parliament, the Ministry of Defence, the Ministry of Foreign Affairs, the Ministry of the Interior, the Office of the President of the Slovak Republic.

#### Bilateral or multilateral initiatives

There are bilateral documents on archival co-operation between Slovakia and other countries (Austria, Hungary, Germany, Poland, Russia and Turkey). Slovak National Archives takes part in the EVK4 – 2002-2010 project MIP - Transitional Metals in Paper approved by European Commission

### **Slovenia**

#### Legal Basis

Archives and Archival Institutions Act of 27 March 1997 (Official Gazette, no. 20/97)

#### Governing body

None

#### Archival responsibilities

General supervision of the national and regional archives is exercised by the Ministry of Culture rather than the Archives of the Republic of Slovenia. This structure is currently under review. The Archives of the Republic is responsible for the archives of the activities of the republic as a whole, and has a crucial role in providing professional guidance. At present the archives of all agencies of government are a responsibility of the Ministry of Culture. The Archives of the Republic has responsibility for the lifecycle management of documents which have been designated for permanent preservation, even when they are still held by the creating organisation.

#### Bilateral or multilateral initiatives

There are several inter-sectoral projects, and there is general co-operation with ministries, especially with the Ministry of the Interior on regulations and education connected with records management. The preservation of electronic archives is being actively considered by several ministries. Slovenia has special archival agreements with other countries (Austria, Croatia, Republic of Macedonia, Czech Republic, Poland, Russia, Montenegro) and cultural agreements of which archives are a part with China, Italy, France and Germany.

### **Spain**

#### Legal Basis

The Spanish National Heritage Law 16/1985 and the Royal decree 111/1986, modified by the Royal Decree 496/1994. Various other enactments have a bearing on the work of the State Archives:

the Decree of 22 November 1901 on the State Archives;

the Royal decree 139/2000 on the composition, operation and responsibilities of the Higher Commission on Administrative Documents;

the Royal decree 1164/2002 on the preservation of the documentary heritage, the elimination of documents, and the preservation of documents in formats other than the original;

the Royal decree 1969/1999 which regulates the issue of a researcher's card for the State Archives and other archive services within the Spanish system.

#### Governing or professional body

The Higher Council on Archives advises government on archival matters. The High Qualifying Commission on Archival Documents is responsible for setting rules for preservation and access, and decides on cases where access is refused.

#### Archival Responsibilities

The Subdirector General of State Archives is responsible for all operations involving the custody, preservation and dissemination of the documentary heritage of Spain – buildings and facilities, reproduction and computerisation projects, technical support etc. It provides direction, supervision and advice to the State Archives as well as co-ordination and co-operation with the archive services of the autonomous regions, professional training and international archival co-operation. It is also responsible, through the High Qualifying Commission on Administrative Documents, for the lifecycle management of the documents it will eventually receive. All archives produced by national bodies come to the State Archives with the exception of

- military archives
- parliamentary archives

But is responsible for the coordination of the Spanish Archival System.

#### Bilateral and multilateral initiatives

The Subdirector ensures co-operation amongst military archive services and those of regional governments, and provides links through agreements and subsidies with other public or private archive services. In addition, the project 'Spanish Archives on the Net', and the Register of Spanish Documentary Heritage – a guide to the available archives throughout the Spanish speaking world – are also managed by the Subdirector.

### **Sweden**

#### Legal Basis

Freedom of Press Act 1949:105, reprinted 1998:1438.

Archives Act 1990:782, and the Archival Ordinance 1991:446, with later amendments.

#### Governing or professional body

There is a National Archives Board with limited powers. It is responsible in particular for the annual audit of the National Archives, and for putting budget proposals to government.

#### Archival responsibilities

The National Archives, along with the regional archival authorities (landsarkiv), is responsible for the supervision of archives within the government or state sector. It has an advisory role in the two-level municipal sector which has its own archival authorities. The same legislation applies to both. The National Archives receives the archives of all government agencies including parliament, and supervises all but those of parliament. It has lifecycle management responsibilities only after archives have been transmitted to its custody.

#### Bilateral or multilateral initiatives

The National Archives controls the national archival database.

## **United Kingdom**

For archival purposes the UK is divided into three completely independent areas: England and Wales, Northern Ireland, and Scotland. The archives of matters which are the responsibility of the UK government as a whole (essentially Defence, Foreign Affairs, Social Security, Customs and Excise, macro-economics, and some smaller matters) go to the National Archives in London (formerly the Public Record Office). Within these areas, the archives of anything relating wholly or mainly to Scotland or to Northern Ireland are transmitted to the appropriate archive service. However apart from general collaboration, there are no formal administrative links between the three archive services. Legislation is outdated, and in England and Scotland is likely to be revised within the next few years.

### England and Wales and the UK Government

#### Legal basis

Public Records Act 1958, as amended 1967

#### Governing or professional body

The Lord Chancellor's Advisory Council offers the Lord Chancellor external advice on archival matters. The Historical Manuscripts Commission which has an overall responsibility for private records, is now part of the National Archives.

#### Archival responsibilities

The National Archives is responsible for the archives of government ministries and agencies which have a UK responsibility, and of all those whose remit is limited to England and Wales. The UK parliament has its own archive service. Locally created archives of central government activities are generally held in designated local archive services, usually the County Record Office. The National Archives has the right to inspect these places of deposit

#### Bilateral or multilateral initiatives

The National Archives is developing a network 'Access to Archives' which will eventually give access to top level finding aids in all the public archives in England and Wales.

### Northern Ireland

#### Legal basis

Public Records Act (Northern Ireland) 1923

#### Governing or professional body

The Public Record Office of Northern Ireland Advisory Board advises the Minister on professional matters.

#### Archival responsibilities

The Public Record Office of Northern Ireland is the only public archive service in Northern Ireland. It is thus responsible for the archives of every aspect of government activity in Northern Ireland, including those of the work of UK government departments relating wholly or mainly to Northern Ireland.

#### Bilateral or multilateral initiatives

None at present

## Scotland

### Legal basis

The Public Records (Scotland) Act 1937

### Governing or professional body

The Scottish Records Advisory Council is a statutory body which advises the minister on archival matters.

### Archival responsibilities

The Keeper of the records of Scotland as head of the National Archives of Scotland is responsible for the archives of all national agencies, except those of the Registrar General (Civil Status), but including those of parliament and the law courts, and those relating wholly or mainly to Scotland transmitted from government departments with UK responsibilities. The Keeper's approval is required for the archival management systems put in place by local authorities.

### Bilateral or multilateral initiatives

The Scottish Archive Network gives access to the top level finding aids of the public archive services of Scotland.

## **Conclusion**

As has already been stated, the operational activities of archive services in the twenty-five EU Member States provide many significant contrasts. This should scarcely be a matter for surprise, in the light of the widely differing historical, legal and cultural factors, which have influenced their development. The two attached tables illustrate the considerable variations in the positions occupied by the National Archives service of each Member State in their countries' governmental structures, and in the range of government records in their custody. It is quite impossible to say that there is a 'typical' National Archives service, exemplifying a general pattern, which applies to a greater or lesser extent throughout the European Union.

It is crucially important to foster this healthy diversity and to respect the principle of subsidiarity. Clearly, it would be quite inappropriate even to contemplate a 'model' of a National Archives service for general adoption by Member States. However, it has to be recognised that archive services throughout the European Union face common challenges, including the prevention of damage to archives as a result of natural or man-made disasters, the effective management of all electronic documents and the permanent preservation of electronic archives, and compliance with increasingly numerous and sophisticated legal requirements, many of them agreed at the European Union level. The proposed Internet Gateway for European archives would enable over 450 million people in the European Union to improve their knowledge and understanding of the history and culture of other EU Member States by accessing information online either in their own homes or in educational and cultural institutions. A common infrastructure for this European Archival Gateway now needs to be put in place.

No single National Archives service in the European Union can hope to develop a complete response to all of these challenges by working in splendid isolation. A measure of co-ordination in the form of an Official Archivists Committee, requiring only a comparatively modest allocation of funding, would enable the existing mechanisms for co-operation to be further developed and new collaborative programmes to be initiated.

## MINISTRIES RESPONSIBLE FOR NATIONAL ARCHIVE SERVICES

	Culture	Education	Interior	Justice	Prime Minister	Science Policy
Austria					+	
Belgium						+
Cyprus				+		
Czech Republic			+			
Denmark	+					
Estonia					+	
Finland		+				
France	+					
Germany	+					
Greece		+				
Hungary	+					
Ireland	+					
Italy	+					
Latvia	+					
Lithuania					+	
Luxemburg	+					
Malta		+				
Netherlands*	+					
Poland	+					
Portugal	+					
Slovak Republic			+			
Slovenia	+					
Spain	+					
Sweden	+					
UK**				+		

- In the case of the Netherlands, the ministry of culture is also that of education.
- In the case of the UK, the archives of the UK government and of England and Wales are under the Lord Chancellor's Department (Ministry of Justice), those of Northern Ireland are under the Ministry of Culture Arts and Leisure, those for Scotland under the Office of the First Minister.

TABLE 2

**MINISTRIES WHOSE ARCHIVES ARE NOT TRANSMITTED TO THE  
NATIONAL ARCHIVE SERVICE**

	Parliament	Defence	Finance	Foreign	Interior	Justice	Pub. works	Pres/PM
Austria	+							
Belgium	+	+		+				
Cyprus								
Czech Republic								
Denmark	+							
Estonia								
Finland		+		+				+
France		+		+				
Germany	+							
Greece	+	+		+		+		
Hungary		+						
Ireland	+	+						
Italy	+	+		+				+
Latvia		+ <sup>1</sup>						
Lithuania								
Luxemburg				+				
Malta								
Netherlands								
Poland	+	+	+	+	+			+
Portugal	+	+	+	+			+	
Slovak Republic	+	+		+	+			+
Slovenia								
Spain	+	+						
Sweden								
UK	+							

<sup>1</sup> Excepted secret or classified records

## **1c ARCHIVE SERVICES AS PART OF PUBLIC ADMINISTRATION: INTERRELATIONS AND CO-OPERATION**

Proposed concrete actions :

1. To promote increased and continuous collaboration between the Archives Services and the relevant public administration, in particular the establishment of models for document and archives management. Special focus should be placed on the appraisal, description and transfer of documents and archives depending on the legislative and administrative traditions of the country concerned.
2. To organize an European Conference on the interrelations and cooperation between Archives Services and the relevant public administration.
3. To update and implement archival training for administrative decision matters and other public administrators.
4. To establish a concise project description, including the concrete actions under points 1 to 3 above.

Future orientations :

5. To further develop the essential link between archivists and document creators, especially in the area of electronic documents and archives management, covering the whole document life cycle.
6. To further strengthen the role of the archivist in the establishment of e-government.

### **1. Archive services as part of public administration**

Public archive services are part of modern public administration in all countries of the European Union, and as such they contribute to the development of document management within administrations and the wider information society. Archives are Janus-headed. As part of public administration they ensure the preservation of records of permanent value, for the use of government and administration, and as evidence of rights. On the other hand they also provide the citizen with the means of checking on the effectiveness of administration, and administration with the means of displaying its achievements. In those countries where Freedom of Information legislation is in force, documents and/or information will be accessible in administrations as well as in archival repositories.

The goal of archival activity is to ensure that the reasons for, and the evidence of political, social, economic and cultural developments are available, by providing access to archival materials which are not affected by the time, the place or the public memory of the events they record. This has to be based on close co-operation and understanding between administrations and archive services. Archive services present events in their context, and guarantee administrative transparency.

This division of labour offers a synergy between two groups of professionals within public administrations who can collaborate in enabling the citizen to retrace decisions and

explore the background to government actions. These groups act autonomously, but co-operate, so that archive services can provide the transparency in public administration which is essential in a democratic state. Thus Janus looks both internally towards the creation and growth of records for administrative purposes, and externally towards the use of these records for research: two separate but mutually dependent approaches linked by the records themselves. The exact nature of the archival service and its role depends upon the legal and administrative tradition in the country concerned.

## **2. The benefit of the archive service to administration**

Many archive services, especially in northern Europe, advise administrations on their document management from creation to disposal to greater or lesser extents. All receive documents of permanent value from administrations, preserve them and make them available. They thus meet society's needs, but what benefit do they offer an administration beyond that?

### **2.1 Ensuring transparency and accountability**

Transparency and accountability are essential in a modern democracy. The importance therefore of well established document management routes and reliable record keeping systems is a necessary precondition for both transparency and accountability. Administrations are financed by taxation and the citizen should have confidence that they do what they are supposed to do. By making their records available, administrations can demonstrate that they carry out their duties correctly and on time. Since archive services give access to the records of administration comprehensively and in context, they provide an administrative audit trail. This gives greater transparency where decisions have been influenced by outside, sometimes higher authorities. Open archives raise public confidence in administration, and demonstrate, subject always to the protection of necessary rights, that nothing is hidden.

### **2.2 Learning from experience**

Administrations have a rich source of knowledge and experience in their own archives which indicate best practice and obviate the need to consult outside experts. Records show how similar problems were dealt with before, what consequences arose from certain lines of action, and what resources were needed; they thus improve the quality of the work carried out.

Past experience can be used to improve present performance, and thus efficient and accessible archives contribute directly to efficient administration. The saying that 'the future needs the past' applies to administrations as well as to society and to individuals.

The advantages of this co-operation are not always obvious to administrators for whom problems require immediate solutions. Nevertheless archives may suggest possible lines of action, and also show the consequences of past solutions on similar problems. Looking back is always instructive, but looking back too much may paralyse present action. There is a need for a balance. Archive services resolve the conflict between a fixed past and the need to take action in the present. They take responsibility for records which are no longer current, and are thus trustees of a memory which can be activated when it is required.

## **2.3 The external view of internal operations**

Through the process of records management, archive services provide an external view of the administrative process. The separation of current records from those of an administrative process which has been completed is a service not only for the administration itself but also for the public. The clear distinction between the internal work of an administration, and the examination of that work by outsiders, makes it possible for archive services to provide both an insight into the purpose of the creation of the records, and access to them by the citizen.

## **3. The organisational framework**

Within a national or local government, or indeed any other administrative agency, archive services are governed by laws or regulations, and normally an archive service has exclusive responsibility for the archives of the administration it serves. Thus administrative agency and archive service form a unit ensuring the efficiency of public administration.

### **3.1 Functional difference and joint effort**

Any administrative agency, whether public or private, may establish an archive service of its own, and in so doing set up the separation of responsibilities outlined above. However when archive services are established to serve the needs of a single ministry or agency, they tend to be more open to influence by short term interests, and a single archive service for several record creators provides a clearer division between current use and future consultation of documents.

The primary purpose for which records are created is purely administrative; they are one of the tools of administration. When a particular business is completed the records, from an administrative point of view, often become over time, less useful. The administration and the archives then determine what to do with them, especially those of enduring value.

Over the last half century there has been a lively debate about relations between administrations and archive services arising from different concepts, notably the American life-cycle concept and the Australian concept of the records continuum. Both try to draw administrative and archival interests more closely together, but they have met with different administrative traditions in Europe and have been accepted in different ways. These have ranged from close co-operation between archive services and agencies with records management underpinned by legislation as in most of northern Europe, to systems where records management is based on good practice and professional skill.

In spite of these differences in practice, records do not come into existence for archival purposes, and will be permanently preserved only by the decision of the archivist.

Different national administrative traditions result in different definitions of the term 'archives'. In some they are all records including current ones; in others they are the institutions in which records are preserved and made available once they have ceased to have any current significance. This difference is at the centre of discussions of closer or looser relations between administrations and archive services.

The new member states in particular have experience of social discontinuity, and archives help to right historical wrongs and link society once more with its past.

### **3.2. E-Government and archive services**

With the advent of e-government and the paperless office, professional discussion of the administrative purpose of records becomes ever more crucial. Since digital information is not dependent on any particular medium there is a need to look at new ways of ensuring both context and authenticity, and of preserving the evidence of the administrative procedure of which digital documents are the result.

Archive services relieve administrations of the burden of preserving and appraising electronic records, but the preservation of digital information raises new questions about the relationship between them. Should archival services be involved with the production of records; should they instruct administrations on the way in which they should be managed?

Archive services can use their experience to advise administrations, and close co-operation between them is essential. However paper and electronic documents are themselves evidence of administrative procedures, and archive services must use their knowledge of the management of paper and electronic documents to produce practical results in this field.

All advice must support the aims and objectives of the administration, encourage good communication and avoid misunderstanding.

## **4. Practical co-operation**

Administrative records are compiled and filed in different ways. On the one hand they originate in the administration's need for co-ordinated action, and on the other they reflect records management systems, and the need to provide information. They show how responsibility was structured, and how records were produced and managed, and they give an idea of organisational infrastructure. These structures are also influenced by national traditions which vary according to administrative background, though in spite of differences, there are enough similarities to support a common analysis of the records to be found and ways of archiving them.

Administrative procedures determine the form of records, although only when they take the form of documents in analogue or digital format. Oral communication for example unless preserved in the form of minutes or written instructions (for orally based or hierarchical administrations respectively) produces different archival results.

An analysis of administrative procedures supports the processes of appraisal, description and access, clarifies the administrative process, and allows the archivist to build up a body of knowledge which enables an administration to benefit from its own experience. In northern Europe this involvement would normally take place when the records are in the administration.

## **5. From current to historic documents**

When documents are transferred to the archive service huge quantities of material are disposed of. The archivist's right to appraise is the most significant expression of the metamorphosis of archives from administrative tool to the raw material for research. Administration and archives services normally co-operate to undertake four actions: arranging proper records/document management procedures within administrations, disposal, transfer, appraisal and acquisition. Depending on what the legislation and administrative tradition is these activities will be conducted in various ways to ensure the right archives are kept.

### **5.1. Disposal**

This is the action of separating current from non-current records. While this may be initiated by the archive service, it is usually the responsibility of the administration. The national archives service will often have a role in guiding, supervising and co-ordinating this function.

### **5.2. Appraisal: collaboration between originating administrations and archives services (see also chapter 2.f of the present Report)**

The National Archives Services have the mandate to take final decisions, after consultation with the concerned public originator administration, on the appraisal of documents of the concerned public administration under their supervision.

#### 5.2.1. Appraisal on site.

Archivists appraising on site do so file by file, and thus accumulate a precise knowledge of the materials which will be of advantage later. On the other hand it is easy to lose a sense of context, and the process is very wasteful of resources.

#### 5.2.2. Appraisal by list

This form of appraisal is done on the basis of descriptive lists of all records, both those to be destroyed and those to be preserved, prepared by the administration. It depends obviously on the existence of such lists, and is still heavy on resources.

#### 5.2.3. Functional appraisal

Functional appraisal is both the most complex and the most flexible method. The decision on the destruction or retention of whole record series is taken in advance, and is thus independent of the time at which the records are declared non-current. The process is not initiated by the administration and so there is time to make efficient appraisal decisions well in advance. Models of appraisal can be developed in co-operation with administrations, although the archive service remains responsible for decisions contained in the models. Decisions to destroy items of no permanent value are much easier to make, and place less of a burden on both administration and archive service, though such decisions need to be reviewed from time to time.

### **5.3. Transfer**

The transfer of non-current records to the archive service follows from the process of disposal, and does not require a separate decision. The process also implies a transfer of responsibility both for appraisal and for custody in those regimes where appraisal is not done within the administration.

### **5.4 Acquisition**

This is the final step in the transfer of administrative records to an archive service, and leads to their integration into the other holdings in the service, and to their availability in the reading room.

### **5.5. The interface between agencies and archive services.**

This interface is the moment at which archives take over responsibility for the records from the record creator. This moment may occur either at the end of a retention period or else when the records have been placed in a records centre where processing by archivists can begin before the transfer has been finalised.

Close collaboration in this area offers a number of benefits, notably that arrangement can take place before the final transfer so that records are available from the moment they are permanently transferred to the archive service. There are financial benefits from joint action. Original file registers are available for use by the archive service. Archive services can plan their resource needs, and record creators receive direct support in the management of their archives.

### **5.6. Record centres and intermediate repositories**

Record centres under archival management are efficient for both sides. In particular they remove from the record creators the need to administer records no longer in regular demand. Disposal and transfer coincide, and appraisal can take place at the convenience of the archive service. Archive services become responsible for providing the record creator with the documents that may be needed, and also for destroying records no longer needed once their retention period has elapsed.

The duty of the archive service is to preserve visibly and retrievably the records of the activities of the state, the government or an institution. Appraisal serves this purpose since the conversion of records into structured archival holdings makes them exploitable.

This exploitation is not for researchers alone but also for those who created the records in the first place.

## **6. Archives and knowledge management**

The new challenge to the management of knowledge, which is more than just information, is to give it context and background. Thus this is what archive services still have to offer to administrations. Efficient archive services contribute to the legitimacy of the state in its relations with the citizen, and serve to give transparency to its actions.

## **1d PRIVATE ARCHIVES**

### **Proposed concrete actions :**

- 1. Archives services should give advice (standards, norms, best practice) with particular regard to the preservation of and access to private archives.**
- 2. To encourage cooperation between archives services and private archives in order to preserve, describe and disseminate information about archives as widely as possible.**

### **Future orientations :**

- 3. To further examine the control of movement of private archives both within and outside the European Union, and of claims for the restitution of stolen or illegally exported archival documents.**
- 4. To address aspects of national and European legislation regarding the preservation and access to private archives.**

### **Definition of public and private archives**

The range of archives regarded as ‘public’ varies from country to country. The archives of a country’s central administrative institutions and officials of state are everywhere regarded as (and may be defined in legislation as) ‘public’ archives. Most countries also count as ‘public’ the archives of nationalised industries and those of any other organisations and officials directly sponsored by the state. The archives of regional, local and municipal government, and of other institutions of a public or semi-public nature, such as churches, political parties or trade unions, are public or private according to the administrative and legal systems in place and the role within public life that each of these institutions has played, which of course is rather different from country to country depending on the course of history.

In most cases, ‘private’ archives are not clearly defined – indeed are generally not defined at all – in archives legislation. But, *de facto* if not *de jure*, they are all those archives that are not defined as ‘public’. These commonly include archives of non-governmental agencies, institutions and organisations, archives of completely non-governmental provenance from private organisations (including de-nationalised enterprises from the date of privatisation), and those of most individuals and families.

### **Heritage value**

Private archives – at any rate when accessible for public study – have an important role to play in complementing, amplifying or even contradicting the official record contained in ‘public’ archives. Without doubt they contain information and evidence of significance to many people besides the actual owner of the archives. That significance often extends to the history of communities and nations, and sometimes beyond that into the international arena. So the kind of history that can be written is much the poorer without access to private archives, and in many countries they have therefore come to be valued as part of the wider heritage or collective ‘memory’, and with varying degrees of energy and intervention the

public authorities have tried to ensure that these documents are preserved and can be consulted.

### **Private rights versus public duty**

To what extent should that wider heritage interest in private archives modify or over-ride the rights associated with private ownership and possession – rights which may themselves be enshrined in law? In particular, what right (if any) should the state have to determine access to, or the governance or disposal of, private archives? Differing answers to these questions, and different underlying assumptions about ‘heritage’ and about the balance between public and private affairs, can be inferred from the respective legislation and practice of the countries of Europe. No particular model can be commended for general application: too much depends on what has come to be regarded as acceptable locally. But, as the 1994 edition of the Black Book has it, ‘The main aim of a correctly applied protection operation is to guarantee that documentary collections are preserved in such a way that their consultation is allowed’. This is the minimum *desideratum*. Some countries have wanted to go further. Some much further.

### **Intervention or *laissez-faire*?**

At one end of the spectrum are legislative and administrative regimes under which the state intervenes little, if at all, with regard to private archives, so that with very few exceptions owners may freely destroy, or otherwise dispose of, their archives as they see fit. At the opposite end there is provision (not always systematically implemented) for substantial intervention and control. In Italy, for example, the Constitution safeguards the heritage whether public or private; private owners of archives are asked to cooperate with the state authorities; superintendents in each region are responsible for identifying and classifying private archives of heritage significance; once classified the archives must be kept intact; and their movement, sale or export is subject to restrictions.

In between, varying degrees of compromise are found between the private property rights and the duty of the state (and perhaps of the individual) to protect the archival heritage. In Spain, for example, all private documents over 100 years old potentially have a measure of heritage protection, as do private institutional records over 40 years old. In France, documents can in principle be classified as of national heritage importance by agreement between the parties, but this is rarely done. In theory the state could intervene compulsorily if the archives were deemed to be at risk, but this has not happened to date.

### **The institutional framework: public and private archive repositories**

In most cases, public archive repositories, including (as applicable) national, federal, regional and sometimes local archives, are empowered to receive private archives by gift, loan or purchase. In some cases, once private archives have been accepted into a public repository they are subject to the same regimes of access, processing and preservation as the public archives. More commonly they will remain subject to other legal constraints including copyright. As the case may be, the National Archives or the central Direction of Archives may exercise some oversight or control over private archives, whilst specific Commissions or other bodies sometimes determine, for example, what constitutes the national heritage or what may be exported.

Most, if not all, countries also have ‘private archives’ in the other sense: i.e. private archive repositories. Depending on the more general legislative regime, these may be recognised by legislation, and the state may be empowered to support them financially, either by regular subvention or on the basis of one-off applications, in return for certain obligations such as the

publication, or handing over to the state or to a national register of archives, of information about the contents of, and terms of access to, the holdings.

In some cases these public repositories may have a statutory duty to offer assistance to private owners of archives that are of heritage significance.

### **National registers of archives and the classification of private archives**

In an increasing number of countries, some form of national register or census of archives is maintained in order to record the existence, location and nature of private archives. There is no doubt at all that this activity has substantially increased in the Union since 1994, and that with the advent of the Internet those registers that are accessible for public consultation are increasingly used by researchers as an important finding aid in their own right. It is not clear to what extent these registers may have contributed to the control of the movement of cultural goods (1994 edn p. 68).

However, the purpose and scope of these registers varies from country to country. In some cases the register is a public research tool, in others it may be simply an official list which is not yet in the public domain. Some 'registers' cover only those categories of private archives that have been officially assessed by the state and 'classified' as having some national heritage value. Indeed, private owners are in places required to declare their archives for inclusion in such a register. On this basis certain privileges or financial benefits may be accorded to the owners or custodians of private archives (such as grants towards the arrangement or preservation of the archives, or the absolute right at law to recover the archives if they are stolen, irrespective of any general statute of limitations). Equally, certain restrictions may be imposed (for example that the archives once classified must be open to inspection by the public and may not be destroyed, alienated or exported).

By contrast, there are other national registers, including notably that of the United Kingdom, that are simply sources of information on the nature and whereabouts of the archives they describe. In this case, inclusion of archives on the register does not imply any judgement about their heritage value, nor does it bring any entitlement to financial assistance to owners for their preservation, nor any restriction on the movement or disposal of these archives. These objectives may all be regulated by other means, or may be achieved by incentive rather than by regulation.

### **Restrictions on export of private archives**

The movement of cultural goods within and outside the European Union continues to be controlled by the Directives and Regulation of 1992-1993, and the legislation of the respective member states which gave force to these. Despite the harmonisation of these controls, the protection of each country's heritage from export and the need to pursue stolen or illegally exported archives even within the European Union remain of continuing concern to a number of respondents to this survey. Several countries have introduced a right for the state or one of its official institutions such as the national archives or the national library, to claim surrogate copies of heritage archives that are to be exported. See also chapter 2e "Practical aspects of access : reading room standards", point 2 "Mesures against theft".

### **Other legislative restrictions**

In some member states, legislation controls access to and retention of certain categories of private archives. The most wide-ranging legislation concerns Data Protection, and access by data subjects to information about themselves that is to be found in archives. Specific controls

may also apply to records and archives in which there is or may be a public interest that overrides any private property issues, for example the corporate financial records of public companies, the records of the pharmaceutical industry, and the health records of individuals. The right to free exploitation of information from archives is also subject to national and international copyright legislation. Copyright regulations also limit the freedom of researchers to reproduce or make substantial quotations from private archives whether held in public repositories or not.

**Right of preemption:** In several countries the state, or public archives, have the right of preemption if private archives deemed of heritage value are offered for sale.

### **Progress since 1994**

Some general progress appears to have been made since 1994 in encouraging private owners to make their archives more accessible to the public, and in protecting them from export and dispersal. Respondents indicated that this was more often the result of continuing informal outreach, education and incentive rather than of any specific new legislative or administrative measures. But some new measures have been taken, such as the tax incentives introduced in Slovenia in 1997, allowing tax relief for owners who have invested financially in preserving private archives

### **Conclusions**

The importance of private archives, and the contribution they can make to the wider cultural heritage, is unquestioned.

No less than in 1994, public authorities should continue to do all in their power to encourage the preservation and safeguarding of private archives by all appropriate legislative and fiscal means and by outreach and encouragement to private owners, both institutions and individuals.

The dissemination of information about archives, both within and across national frontiers, has been greatly facilitated by the extension of computer applications and of access to the Internet. All countries with national registers of archives, or equivalent compilations of information about private archives, are encouraged to release as much data as possible about both public and private archives into the public domain (but, naturally, without breach of confidentiality, sensitivity, national security or the legal rights of data subjects).

As regards the movement and export of cultural goods, the Directive and Regulations of 1992-1993 appear to have performed a useful role with regard to the protection of archives, have led to the formulation of specific legislation in member countries, and in many cases have been implemented without major concern to the archival authorities. But more work needs still to be done in monitoring and controlling the theft of archival documents and their possible illegal trading.

## **2a EU AND NATIONAL LEGISLATION RELEVANT TO MANAGEMENT AND ACCESS TO DOCUMENTS AND ARCHIVES**

Proposed concrete actions:

- 1. To note and monitor draft legislation and related laws on documents and archives at the national and European level.**
- 2. To establish a coordinated monitoring function and follow-up procedures for archival and related legislation within the European Union so that new archival and related legislation reinforces the importance of effective document and archives management.**
- 3. To establish study of archival and related legislation both at the national and European Union level for these purposes (see points 1 and 2 above).**
- 4. To create and maintain a database on archival and related legislation within EU-Member States and EU-Institutions.**

Future orientations:

- 5. To translate archival and related legislation into English, French and German, as well as into the other official languages of the European Union when this is required, with quality control provided by the relevant National Archives Services.**
- 6. To examine the possibilities for the progressive adaptation of archival and related legislation in the EU-Member States and EU-Institutions.**
- 7. The tentative estimates would be : monitoring function(€ 270.000 over 3 years) ; study by specialized staff : (€ 60.000 for 1 year) ; creation of legal database comprising specialized staff and software (€ 300.000 over 3 years).**

### **1. Background**

#### *1.1. General*

During the last decades, the development regarding documents/archives management has been dramatic. We are progressing towards completely electronic administration, in which documents are produced, received and processed electronically and dealt with by computer-aided routines. This development is being accelerated by the requirements imposed on public authorities as regards effectiveness and efficiency, collaboration with other authorities and improved services for the citizens. The declared objective of the Governments and Parliaments is for administrations to set an example in the use of information technology. The legislation and other rules, therefore, for governing public access, authenticity etc. are crucial to the development of IT-based administrations and for the long term preservation of the cultural heritage

of now and the future.

The management of documents is relevant to the question of access as well as the preservation of the cultural heritage both in the short and in the long term perspective. To ensure these objectives, the relevant provisions must be clear, coherent and easy to understand. Otherwise there is a risk of diminished legal certainty and administrative effectiveness and efficiency. It is important that the legislation covers all aspects of the document lifecycle management. (Note: the term documents is here used instead of records).

Furthermore, the situation within the European Union with the growing cooperation and free flow of information/documents is of great importance for these aspects and necessitates the active involvement of archival authorities/services in legislative matters on the supranational level as well as on national level.

There is also important legislative work regarding protecting the cultural heritage of each country. There has since a long time been thefts in archives, libraries and museums and also a tendency to make profit of the national heritage by exporting and selling invaluable items abroad. Therefore many countries have decided about laws in order to prevent illegal export. This problem has been dealt with also on a supranational level now within the Union.

The answers to the questionnaire are of great value but it is clearly demonstrated that it is not possible to compare the answers directly with each other. The reason for this is that concepts and terminology are not compatible. Therefore, it is necessary to make a more in depth study of archival and related legislation.

## *1.2 Supranational legislation*

The most common and important types of Union acts, which are binding, are: regulations, directives and decisions.

Regulations are directly applicable in the national legal orders of the Member States without any further legislation.

A directive on the other hand leaves the form and method of implementation free for the Member States to decide about forms and methods as long as the result of the directive is achieved. Where a directive has been properly implemented, its effects extend to individuals by means of those implemented measures.

A decision is binding in its entirety upon those to whom it is addressed. The procedures in preparing the above acts are sometimes long and complex. As these various acts regulates the management of documents in various ways, it is therefore necessary that archival authorities take part in the negotiations and work, which precede the adoption of these acts, both on a national and supranational level.

## *1.3 National legislation*

During the last decades, legislation concerning archival matters has encompassed more and more sectors in the society. Before, archival legislation generally touched upon purely matters, which were seen traditionally as archival. Today, with the rapid

development, many aspects of the legislation besides the direct archival laws are directly influencing most important aspects of archival/records/documents management.

It must be realised, however, that the varied history, legal tradition and experience in different countries, even between the countries of Europe with a common western tradition, have created differences in the content, interpretations and applications of archival and related legislation.

There has been in the Member States a massive development in various areas of legislation. Partly, this has been caused by the implementation of directives into national legislation. This has forced archival authorities to take part in these activities in creating this legislation, as we have then to work under it. It must be understood that - necessary as this is - these activities can be seen as new tasks. From the answers to the questionnaire, it can be seen that the extent of involvement of the National Archives varies a lot.

## **2. Access to documents (FOI/secretcy/green paper)**

### *2.1 Union level*

#### *Article 255 in the Amsterdam treaty*

In 1997 the negotiations about the Amsterdam treaty were ready. In order to bring about greater openness in the work of the institutions, access to documents should be granted by the European Parliament, the Council and the Commission according to a new article, article 255 in the treaty. Each institution has to lay down specific provisions regarding the access to its documents in its rules of procedure. In accordance to this, the European parliament and the Council of the European Union have decided about a regulation regarding public access to documents in May 2001.

#### *The regulation on Public Access to European Parliament, Council and Commission documents*

These rules are applicable to both documents drawn up and documents received by the institutions. According to the definition in the regulation “document” shall mean any content whatever its medium (written on paper or stored in electronic form or as a sound, visual or audiovisual recording). It is furthermore established that the institutions shall develop good administrative practices in order to facilitate the exercise of the right of access guaranteed by this Regulation. The documents shall as far as possible be accessible to the public in electronic form or through a register, which shall indicate where the document is located.

The key words are here documents and good administrative procedures. The term document is defined in the directive. It is furthermore stated that the purpose with the regulation is to promote good administrative practice on access to documents.

Restrictions to access are motivated by considerations for certain public and private interests which are more in detail specified in the regulation.

### *Directive on the re-use of public sector documents*

One of the aims with this Directive (2003/98/EC) is the creation of conditions conducive to the development of Community-wide services. Public sector information is an important primary material for digital content products and services and will become an even more important content resource with the development of wireless content services. Broad cross-border geographical coverage will be essential in this context. Wider possibilities of re-using public sector documents will allow a better exploitation and contribute to economic growth.

It is further stated that there are considerable differences in the rules and practices in the member States, which constitute barriers. Minimum harmonisation of national rules and practices on the re-use should therefore be undertaken. It is also said that this directive builds on the existing access regimes in the member States and does not change the national rules for access to documents held by public sector bodies.

The term document is used and defined in the Directive as well as public sector body. According to the Directive, documents held by educational and research establishments as well as cultural establishments are exempted from the Directive. For those States which have Freedom of Information legislation, this kind of laws is often applicable to public sector documents transferred to national archives and equivalent archival authorities. In this case, this Directive is not valid.

### *2.2 National level*

As said above, legislation regarding access varies very much between the Member States, depending legal tradition and history. One contributing cause for this is the different use of terminology, that is archives and documents/records. Documents are today more and more used instead of records within the European Union. In some countries, legislation may make a difference between documents and archives (see for example the two recommendations on access to archives from 2000 and access to official documents from 2002 from the Council of Europe). It is necessary to define and use these terms in the legislation without ambiguity.

In some Member States, access is treated both in Freedom of Information legislation and in Archives legislation while in other States access is treated only in Freedom of Information legislation. Several Member States have adopted laws of the Freedom of Information type or are in the process in doing so. But as said above, it is not possible from the questionnaire to compare these laws and to discuss similarities or dissimilarities. In the long run, the tendency will certainly be that differences will decrease.

### *Restrictions of the right to access*

The right of access can not be without restrictions. Limitations should be set down precisely in law, be necessary in a democratic society and be proportionate to the aim of protecting. There exist in principle two ways of dealing with this on the national

level: either opening up the public documents and archives as soon as they become official documents with restrictions laid down in secrecy acts or a general closure period, usually 20 - 30 years. There can be longer closure periods regarding certain sensitive information. As said earlier, several solutions exist depending on historical and cultural traditions and legal tradition. One tendency is quite clear that in the new Member States the democratization taking place after 1989 has meant very much towards opening up the documents/archives.

### **3. Registration and inventoring**

#### *3.1 Union level*

In the Regulation regarding public access to European parliament, Council and Commission documents, it is said that it is necessary to make the citizen's rights effective, to provide access to a register to documents. To have a register to documents is one of the most important tools in this aspect. This can be seen as a part of good document maintenance routines established by the institutions. Otherwise nor the officials nor the public can know what documents they have or if they do it can be difficult to locate the documents which are wanted.

The register shall for each document contain a reference number, the subject matter and/or a short description of the content of the document and the date on which it was received or drawn up and recorded in the register. References shall be made in a manner which does not undermine the protection of interests of secrecy. The EU institutions shall have these registers operational by June 2002.

#### *3.2 National level*

As is evident from the answers to the questionnaire, many countries have in their national legislation rules about registration and inventoring. It is not possible at this stage to give a description of the conditions in each country as concepts and mandates differ. It is furthermore not clear if finding aids, which are created at the document creating bodies, are accepted without changes by the receiving archival services or if the archival services adjust these or even create new finding aids. One of the reasons for this is the varying use of what is to be considered to constitute documents and an archive in the various countries. Here an in-depth study is needed to clarify the conditions. This should also be important when creating the proposed gateway to Archives in Europe (cf. 2 xx)

### **4. Archival legislation (the mandate of archival authorities)**

All the countries of the European Union have an archival service at national level, as is described in chapter 1 b. The archival service in each country is a reflection of its political and cultural history and legal traditions. The functions and mandate of the archival services is usually regulated in legislation. To ensure that adequate, reliable and authentic documents are created, maintained, inventoried and preserved and to avoid duplication in management efforts, the archival services should participate at the front end (proactive) in planning and developing the infrastructure of electronic document and information system and also in implementing appropriate document-

keeping rules and practices. Here, the role of the archival services should be clearly established in legislation to have jurisdiction over the whole life-cycle period.

## **5. Data protection**

### *5.1 Union level*

On the 24th of October 1995 the Directive on the protection of individuals with regard to the processing of personal data and on the free movement of such data was issued. This directive aims to establish a harmonised level of protection of the rights and freedoms of individuals with regard to the processing of personal data between and in the Member States. The free movement between the Member States presupposes that personal data can be transmitted from one member State to another but also that the fundamental right of the individual is protected. To remove the obstacles for the free movement of personal data, the level of protection must be equivalent in all Member States. This Directive must be implemented in the Member States three years after its adoption.

The Commission has presented a report to the Council and the European Parliament according to the Directive ( First report on the implementation of the data Protection Directive, 15.5.2003). The report has been delayed because the Member States have been slow to transpose the Directive into national law.

### *5.2 National level*

The Directive is now implemented in the Member States as well in the new Member States. In the implementation, there were several difficulties especially regarding scope, deletion, consent of the data subject, information to be given to the data subject. It has been interpreted very differently. So for example in Germany, this legislation does not influence on personal-related materials kept by the Archival Services. The situation is quite different in Sweden, where there is no exception in the scope of this legislation regarding documents kept by the Archival Services.

It is therefore an urgent need for the archival services in Europe to coordinate their efforts regarding the implementation of this directive as to be able to fulfil their archival obligations. It should also be stated that there exist also many other regulations on national level which regulate how sensitive personal data within certain sectors shall be managed and where deletion can be one main issue.

## **6. Deletion**

Deletion is the most drastic measure which can be taken by the agencies with respect to official documents. The result of deleting documents is irrevocable since the information is destroyed once and for all when the measure has been taken. This applies not only to complete destruction of documents. Information can also be lost due to the handling of documents, for example in the electronic environment transfers from one computer platform to another.

Deletion is dealt with in the above mentioned Directive on Data Protection under article 5 where it is said that personal data shall be not further processed in a way incompatible with these purposes. Further processing of data for historical, statistical

or scientific purposes shall not be considered as incompatible provided that Member States provide appropriate safeguards. Personal data shall not be kept any longer than is necessary for the purposes for which the data were collected or for which they are further processed. Member States shall lay down appropriate safeguards for personal data stored for longer periods for historical, statistical or scientific use.

Deletion is further dealt with in chapter 2 f of the present Report.

## **7. Copyright**

### *7.1 Union level*

There are three existing directives with direct bearing on copyright, the Council Directive 91/250 on the Legal Protection of Computer Programs, Council Directive 96/9 on the Legal Protection of Databases and the Directive 2001/29/EC of the European Parliament and of the Council on the harmonisation of certain aspects of copyright and related rights in the information society. All these directives are important for the archival administration but the most essential and urgent is the last one. The purpose of this directive is to harmonise EU law with the as yet ratified World Intellectual Property Organization (WIPO treaty). The Union is signing this treaty on behalf of its 25 Member States. The directive, adopted on May 22 2001, gives the Member States until December 2002 to implement and harmonise their laws.

### *7.2 National level*

As is evident from the questionnaire that several countries have implemented this Directive on Copyright but how it is done can not be understood from the answers. Here a more detailed study is necessary. It is evident that this directive can effect the possibilities to maintain, preserve and make available archival material, that the archival institutions have received, whether it emanates from the public or private sector.

## **8. Export of cultural goods**

### *8.1 Union level*

The completion of the internal market made it necessary to take measures to ensure that exports of cultural goods are subject to uniform control at the Community's external border. According to Council Regulation (EEC 3911/92 of December 1992 on export of cultural goods, amended in later regulations of which the latest 974/2001 of 14 May 2001) the export of cultural goods outside the custom territory of the Community/Union shall be subject to the presentation of an export license issued at the request of the person concerned by a competent authority of the Member State. The export license may be refused for the purposes of the regulation, where the goods in question are covered by legislation protecting national treasures of artistic, historical and archaeological value in the Member State concerned. The Directive supports the efforts of Member States in their activity concerning the safeguarding of their national cultural treasures, which are unlawfully removed from their territory. These shall be returned.

## *8.2 National level*

Member States have generally since very long adopted legislation regarding export of cultural goods. There is usually a very good cooperation between Libraries, Museums and archival services regarding these matters. There are problems in the supervision of the export and this supervision requires adequate legislation and also cooperation with police, customs and other agencies.

Closely related with this matter is the increase of theft of documents. There are several reasons for this phenomenon. One is the rising market value of documents and the creation of criminal networks in this field. It is evident from practical experience that it is difficult to reclaim documents even if they are indisputably of public nature if they are put up for sale abroad. It is therefore necessary that there is Europe wide coordination in this work and that the legislation whatever level is strong enough to allow for restitution of exported and stolen goods.

## **9. Special laws**

There are many examples of special legislation which can have great impact on the management of documents and archives, both on the European Union level and national level.

On Union level, besides the above mentioned Directives on Data Protection and Copyright, the following areas can be mentioned as examples: Authenticity with electronic or digital signatures (various directives) and the EU Directive on public access to environmental information and Council Directive 90/313/EEC (2003/4/EC of January 28 2003. The first one concern one of the most important issues in archival work, namely reliability and trustworthiness of the documents. The second one is an example of how a directive can affect accessibility of private archives in a public sector archival service.

On the national level there exist a plethora of laws which more or less have an impact on document and archives management. They are generally of two types: relating to specific area within the society or certain procedures. Examples on the first type are laws on statistical information, customs information, police sector information, taxation, social welfare, patient journals etc. Examples on the second type are laws on signing procedures whether digital or analogue, administrative procedures etc.

## **10. Conclusion**

For the archival services, it is necessary to have an overview of all this kind of laws and other regulations in order to execute their duties and obligations. One important task is the “monitoring” function which cannot be executed without the knowledge of what is the current legislation and what is being proposed. Archival services must be able to exert influence and to be a partner in the decision making process. For this purpose, it is necessary to establish study on archival and related legislation at the national and European level. It is not only enough to have the texts but also a

commentary and analysis is needed in order to explain respective legal, administrative and cultural traditions. Thus the establishment of a legal database will raise the awareness of decision makers, administrators, archivists and other information specialists with regard to legal archival EU- and national legislation relevant to management and access to documents and archives. These actions should take into account ongoing work of the Council of Europe, the European Branch of International Council on Archives (EURBICA) and the European Commission Programme "Interchange of Data between Administrations (IDA2)".

## **2b FINDING AIDS AND DESCRIPTION OF DOCUMENTS AND ARCHIVES**

### **Proposed concrete actions:**

- 1. To create an Internet Gateway to documents and archives in Europe with common search facilities across the holdings of archival services of the EU-Member States and EU-Institutions (see also chapter 2d "Internet Gateway to documents and archives in Europe and European networking projects").**
- 2. To support the conversion of catalogues and other finding aids, kept on paper and other traditional media, into digital formats, which are accessible online.**
- 3. To promote the development of appropriate and affordable tools for the description of documents and archives online.**
- 4. To examine the possibilities for comparing the existing best practice guidelines for the creation of finding aids and for archival description in EU-Member States, so that they can be used to inform the further development of international standards in this area.**

### **Future orientations:**

- 5. To examine the possibilities for the establishment of a virtual reading room in digital form (see also chapter 2e "Practical aspects of access : reading room standards").**
- 6. To promote e-learning tools for users of documents and archives.**

**See the tentative cost estimates for the Internet Gateway indicated in chapter 2d "Internet Gateway to documents and archives in Europe and European networking projects".**

### **Introduction**

Finding aids are key instruments to open access to archives by citizens. ICT applications enhance their usefulness and the ease to use them. Internet presentations of finding aids allow remote access to descriptions of archival material from any place and at any time and support the preparation for investigating the material. Great improvements have been achieved in archival services in the last decades in this field. Based on those experiences a new quality of access to archives will be reached when a critical mass of finding aids can be searched online and when combined seamless searches covering deliberately selected findings aids, holdings, archival services and countries will be available.

Union finding aids reaching across national borders such as a gateway to archives in Europe will enhance coordination, information sharing and exchanging of good practice amongst the archival services in the old and new member countries. The professional debate will be larger

and at the same time more concentrated on outcomes, which enhance the usefulness of archives for European citizens.

### **1. Methods of description and the establishment of finding aids**

Finding aids are made for users of archives. They allow access to single descriptive units by providing information about the units including reference codes to identify them and to order them for consultation in reading rooms. They contain the description of archival holdings which may be situated on different levels of aggregation, using the forms of holdings guides and of inventories for single or combined fonds.

Finding aids may be published or unpublished, manual or electronic, produced by an archives service, by a creator, a records center or a manuscript repository to establish physical control and/or intellectual control over records and archives. Basic finding aids include local, regional, or national descriptive data bases, guides, inventories, registers, catalogs, special lists, indexes, calendars, transfer lists and, for electronic records, software documentation.

Since the introduction of ICT in archives new technologies have been adopted for new forms of finding aids. Firstly, databases have been used for a long time. They integrated entries for single descriptive units and offered a cross search over holdings. In some cases they are used for the output of structured printed finding aids. Database applications were used especially for the archival processing of large transfers of recent records to archival services were at the same time the listings of the agencies were introduced and taken over as basis for the finding aids. Older material in the archival services was less integrated in the databases. They were mainly used for the description of new arrivals and less for retro conversion of legacy finding aids.

The main part of legacy archival finding aids is the list of descriptive units, be it single folders, boxes or files. In the case of holdings guides they contain descriptions of single fonds. In the printed form finding aids on fonds level contain mostly standardized parts and consist of a title page with normal bibliographic information, of an introduction explaining the content and a structured list of units. The table of contents represents the structure of the finding aid and therefore also of the fonds described in it. It allows already in the printed form a sort of navigation through the descriptions. In the annex index-lists provide a supplementary text based access to the descriptions. Finding aids reflect in their form national archival traditions of archival work and of structures inside the paperwork generated by different administrative techniques. For the older archival material traditional finding aids often remained the predominant form until the availability of internet technologies. A certain unification of forms starts with using the internet for the presentation of finding aids. Yet still the main form underlying national variations is the traditional structured presentation of descriptions. The structured presentation allows to navigate through the descriptions and to find out new results, that were unknown before and therefore could not be used as a search term.

The essential idea of the professional methods of description is to open the access to the context as necessary explorative background. Deriving from activities in organizations and originally meant for internal communication archival material cannot be understood without knowing the context of its creation. Its value and its significance, as well as the understanding of it, increase when associated with the corresponding documents. Therefore provenance is fundamentally important as a guideline to group all the traces of the communications of an individual or an organisation to a whole.

The second significant concept underlying the methods of archival description is to proceed from the general to the specific, from the collective to the individual, from the collection or fonds to the item. This has three important implications relevant for common professional standards. The first rule is that descriptive information must be relevant to the level of description. The common aspects of a fonds (collection) are described only on the respective level, while the series or files are described on their corresponding levels. This method reduces redundancy on different hierarchical levels. The second rule is to link each level of description with the next highest level. These provisions will make clear the position of the unit being described inside the hierarchy, and provide the necessary link to contextual information. The third rule is that information always should be described at the highest relevant level and the links between levels will help the user to see the wider picture.

Context is an essential part of archival description. Its importance increases with the use of electronic techniques. It is prerequisite for the understanding of the content of a document or series of documents when they are described in a paper based system. It is crucial for understanding when electronic descriptive systems are used because the relations which were explicit in the paper system become implicit and less visible. Especially with enhanced research functionalities across borders or domains context becomes even more critical.

## **2. Online presentation of finding aids**

The internet has reinforced the functionality of legacy finding aids by enhancing the capability of navigation through the descriptions. Internet provides hypertext linking and this allows increased navigation through texts without restrictions of handling physical units like books. When an index term in a paper book indicated the page of a descriptive unit, the online presentation can jump to it directly. However this greater flexibility enhances the danger of losing orientation. Therefore the principles of usability of finding aids and internet search as listed in the handbook for the quality of cultural websites of the Minerva working group 5 are useful for the design of access pages. The new functionalities possible by integrating internet technologies can be systemized by looking at the types of research strategies they offer to the users.

Online finding aids normally allow four search strategies for users and therefore provide a great variety of access ways to the holdings. The four search strategies supported by online-finding aids are:

- An expandable and collapsible content list shows the whole structure of the fonds and also of the finding aid with its different parts like introduction, item list and annexes on the left hand side and allows navigation through the whole description. A click on a classification header brings the presentation of the corresponding files up in the central part of the screen. A page header updated with each click on the content list and other operations enhances the orientation.
- A text based search can be offered linking the results to the structured presentation. If the presentation combines both offers, users can choose which ways they will use to continue.
- Besides these two approaches a list of controlled access terms or index terms may be made available, indicating which terms seemed to be important to the describing archivist.
- Finally the structured lists of items can be browsed like a book, while the navigation tree and the header are updated and show the place inside the finding aids.

These four functionalities are possible. They can be offered as combined and interchangeable research ways or might just be offered individually.

Such presentation can be produced starting from text forms or from database formats. Data irrespective of their original form can be converted into XML and HTML. Therefore in this context the work on retro conversion of legacy finding aids has been reinforced in several archival services in Europe in the last years. They use international standards for structuring the data. The techniques then allow to use the data for a large range of applications like the import into databases, the conversion to HTML, or the production of paper manuscripts for printed finding aids. All ways of publications are used. Besides the internet CD-ROM or paper publications are distributed to spread the knowledge and to allow everybody irrespective of their living conditions to use the finding aids at home or in libraries or other archives. The growing interoperability of applications and data formats allow to implement those access ways that are most appropriate to the questions of the users as to the nature of the material. The different presentations become possible on the basis of the new international standards adopted by the archival community during the last years.

Besides structured presentation with internet technologies during recent years many archives in the European Union have developed web based portals for access to their holdings. Some countries have also developed National Register of Archives that offer overviews over archival holdings of their countries' archival institutions. Central databases may consist of descriptions of both public and private archives kept in archives, libraries and museums.

The implementation of databases, specially used as a central access point for combined presentations of archival descriptions has adopted new functionalities with the online-presentation of search surfaces. On the one hand data are combined with images of documents as illustrations or as examples that allow users to learn about the structure and the content of the respective papers so that they can get accustomed to their investigation even before entering the reading rooms. Digital images can be linked to descriptions of the original documents. In the same way electronic records that have been transferred to the Archives services can be made accessible from the descriptions. And a new trend is the combination with authority records that can be linked to descriptions on all levels. They can contain information on creators of a fond, authors of letters, creator of or as a motif in a photograph.

Often the updating of central databases is still done by manual collection and editing by archivists and not by automatic harvesting. The contents of the central database sometimes is not visible to search engines, but by providing links and advertising the existence of the site the information can be disseminated. New approaches are needed to design tools for the establishment and up dating of central gateways that automate most of the work or integrate it into the normal description practice. They are prerequisite for economically affordable models for the long term maintenance of gateways with joint descriptive information.

### **3. Standards for archival description and finding aids**

The work on international standards was initiated by the wish to exchange descriptive information among archives in a similar way as printed finding aids had been exchanged to provide information over the holdings of other archival services in the single institutions. The digital exchange requires common formats. Both approaches that were undertaken during the last years started from the structured character of archival finding aids and described the structure in terms that are operational for data exchange. The first one was ISDA(G), worked out by the committee on archival description of the International Council on Archives (ICA) and the second one (EAD) was drafted by a working group of the Society of American

Archivists and is applied in several European countries. EAD is formulated as a document type definition according to the rules of XML.

Authority records as lists of names to use for the identification of persons or localities have not been in the centre of the archival attention since deviations of the writing or a change of a name sometimes delivers the information which was searched. However the explanation associated with authority spelling in librarian authority records is increasingly seen as been structured in a similar way like single entries in holdings guides or in Marc records for finding aids. Therefore several international projects have tried to find ways to use the advantages of authority records for archives too and several standardising efforts have been made. These approaches have relations to tests with thesauri of functions of records creators, which also tried to deliver background information on contexts in a structured and digitised way for easier data exchange and retrieval. The standards developed this way are linked to the two descriptive standards and are ISAAR (CPF) and EAC.

### **ISAD (G)**

ISAD (G) “International Standard on Archival Description (General)” Has been adopted by the International Council on Archives as a first edition in 1993 and a revised version in 2000. Its purposes are the exchange of descriptive data across different archives systems. It consists of a list of elements, which can be used on different levels of aggregation, including the item, file, series and fonds levels. It concentrates on the description of the single units and does not include the establishment of other parts of finding aids. ISAD (G) has no direct technical implications and can be used with different descriptive methods.

### **ISAAR (CPF)**

ISAAR “International Standard on Archival Authority Records (Corporate Bodies, Persons, Families)” has been conceived corresponding to ISAD(G) for the authority control of agencies, persons and family names. The names are linked with descriptions largely corresponding to the content structure of singles entries in holding guides. The new version of the standard shall be presented at the International Congress on Archives 2004.

### **EAD**

EAD is the first internet standard for archives. While ISAD (G) unified the structure of a single descriptive unit and is database oriented EAD unifies the structure of the text of the finding aid and gives more flexibility for instance concerning the repetition of elements. It is applied to reduce redundancy comparing different levels of description. EAD allows a structured presentation of finding aids with aggregated information aside more detailed information on the same level. And it allows more textual additions to the finding aid explaining the processing, appraisal decisions and other interesting news for users. EAD originates from the US and has meanwhile been adopted in several European archival services. Its benefits lay in the possibility to structure the complete text of finding aids.

Coming from the TEI (Text Encoding Initiative) its original purposes were to define a standard structure of the text of finding aids. It was first written in SGML and since 2000 it is converted to XML.

Using EAD internet presentation of descriptions can be deepened and elaborated while being already presented and allowing potential users to get in a very early stage of the archival processing an impression of the fonds. Further planning of description work can be announced to the public were this information is useful. Appraisal and other processing

information can be added as needed and thus the description work becomes transparent for potential users.

EAD is used for several large national or scientific gateways, like A2A and Archives HUB in GB and RLG or OAC in US. It is used in several European states for the presentation of holdings of national archives like France, Spain, Netherlands, Germany and further national gateways plan to use it as an internal exchange format. EAD, formulated as a DTD and soon available also as a schema, as it is very flexible, is applied according to adopted best practice guidelines for the different applications or for special search engines. It will be a comfortable exchange format for a gateway to archives in Europe. The underlying technical format XML is a platform independent open standard. Its application allows to use the same data for different presentation formats including print. And it can be translated automatically from one DTD or schema to the next.

## **EAC**

EAC (Encoded Archival Context) is a new standard for the encoding of holdings guides above the level of finding aids for single fonds. Like EAD it is formulated as a DTD in XML and thus can be implemented directly with XML-editors or transformers. In the US and international projects like LEAF (Linking and Exploring Authority Files) it is actually used in a beta version and will soon be available as alpha version. A first attempt to use it for a complete gateway website is demonstrated by the project LEADERS of the School of Library, Archives and Information Studies (SLAIS) at the University College London. EAC meanwhile replaces the use of MARC-records for the bibliographic description of finding aids, where the tradition of holdings guides did not exist. The Marc-Records for Finding aids contained a data model similar to fonds descriptions in holding guides and therefore EAC seems to become a replacement of traditional forms for internet presentations of holding guides like EAD for finding aids on fonds level.

EAC first was drafted to exchange data under authority control as in libraries. However in archives the explanations of the controlled access terms are more interesting since they deliver contexts necessary for the understanding of holdings. The explanation part contains all categories of standard entries in holdings guides including description of provenance and links to online-finding aids so that it might be a useful instrument for internet presentation on this level. EAC might be a tool for collecting information for a joint gateway to archives in Europe, since data may be delivered when they are available without waiting for the complete guide, and – coded in XML – the data may be used for different purposes and presentations.

With special style sheets national differences in the presentation of holdings guides might be offered in a gateway while a search over all information from all contributing archives services would be possible.

There are some other standards interesting for archives, yet developed outside the archival profession which are tried out for archival purposes, like Dublin Core or the OAI (Open Archives Initiative), which both have revealed in test to be too simplistic and general for archival purposes and the support of access to archival holdings.

## **4. Conversion of finding aids into on-line accessible forms**

Current legacy finding aids in Archives have the form of printed volumes, manuscript print outs, files from word processors, card files or database entries. Especially card files are endangered through use since they normally exist in only one copy without the possibility to protect them against occasional or intentional disturbances.

With the new approaches using internet technologies different forms of finding aids are converted into one unified format, which can be used for different presentations including prints of whole volumes or parts of them as well as data exchange with other archives, common gateways or other software applications. For this purpose the XML-Format, specified by the W3C turns out to be especially valuable since it combines great flexibility with easy use.

The conversion of finding aids, which already exist in electronic format, can be done automatically. However it first needs a consistent structure. Data from word processor files therefore are freed from all formatting marks and are transformed into tables to assure the internal consistency. Data from databases are directly exported into XML-format with the help of a definition of their structure in the form of a DTD or schema, from where they can be transformed into standardized structures like EAD. Word processor files with variable structures that cannot be brought into a consistent table are tagged directly in XML-Format with the help of commercial or public domain XML-Editors.

The digitization of finding aids in paper format is done via OCR (optical character recognition) or re-typing, often by contracted vendors or specialized digitization centers. OCR techniques can be combined with automated structure recognition and conversion into the structure of a XML-DTD. Legacy internal finding aids often were in book form, yet not printed and not published. They had often been used for updating the information on the holdings and thus they show added corrections or supplementing information in handwriting. The same is the case for card files, which were either written with machines or handwriting sometimes on a sort of printed forms. In these cases typing is a very economic and fast way of conversion. The originals can be camera-scanned on the spot and the images are used for typing the text into screen templates. This way the original finding aids need not to be taken out of the working space and can continuously be used, while the typing can be performed somewhere else.

Well planned digitization projects for finding aids represent a cost effective way to provide at rather short terms a critical mass of findings aids, so that soon the first step of using an archives holdings consists in browsing the website of the institution or of a joint finding aid provided by common gateways. Users of archives can choose the holdings they want to investigate without displacing themselves.

Furthermore online-finding aids with links to digital documents might become an easy to use and already available standard tool for providing context to digitized content on websites as well as for the delivery of images ordered by users. With their structure they present the descriptions of neighboring documents and the intellectual and provenance interrelations from where they derive. Thus online-finding aids deliver explanatory backgrounds irreplaceable for the understanding of digitized or born digital documents.

Access to finding aids and related digital documents on the Internet considerably facilitates and promotes scientific, cultural and technical research. On-line access allows researches from throughout the world to be attended without interruption 24 hours a day throughout the year and to benefit from a wide ranging freedom of access to information provided by archives services in the EU-Member States and EU-Institutions.

## **2c ACCESS ON LINE TO DOCUMENTS AND ARCHIVES AND NEW RESEARCH TOOLS**

### **Proposed concrete actions :**

- 1. To create and develop an Internet Gateway for documents and archives in Europe (see also chapter 2d "Internet Gateway to documents and archives in Europe and European networking projects").**
- 2. To develop the Lund Principles on the digitization of documents and archives.**
- 3. To promote the democratic functioning of our societies through easier access to archival holdings in the EU-Member States and EU-Institutions.**
- 4. To coordinate and to monitor progress on the above mentioned concrete actions no 1, 2 and 3 by an ad-hoc Working Group which will provide regular feedback to the proposed official Archivists Committee of the EU-Member States and EU-Institutions.**

### **Future Orientations:**

- 5. To establish links with the organisation of DLM-Forum activities and to reinforce the application of new technologies to documents and archives (see also chapter 5b "Interdisciplinary cooperation on electronic archives : DLM-Forum, norms, best practices").**
- 6. To establish links with the IFAP (Information For All Programme) of UNESCO.**

### **1. Digitization of documents and archives**

The Archives Services in the EU-Member States preserve a large number of historical and administrative documents that make up an essential part of the cultural heritage of humanity. They will not have the means to digitise all papers. However there might be several strategies for better service to users with digitisation:

1. digitization on demand;
2. digitization to enhance use comfort;
3. digitization for remote access.

The development of strategies include the establishment of criteria for the selection of items or fonds for digitisation, the design of workflows including the choice of technical standards, storage formats and dissolution choices as well as provisions for long term accessibility to the digitised data. It implies the decision which form should be applied for mastercopies as source for further digitisation or reproduction. In general microfilm is still accepted as cheapest medium for mastercopies with long term availability, since digital formats and bandwidth for transmission of large data volumes might still develop with accelerating speed.

Digitisation projects make possible the better use of the mastercopies of Archive documents reproduced in microfilm support and make possible it to start digitisation projects directly from the original documents.

## **2. Internet and Archives Services**

Internet is a novel tool in the scope of the Archives that is going to allow its development through the dissemination of:

- a) Possibility to obtain the visualisation of digital images of the Archives documents on a PC screen, at home or at work.
- b) Access to Web pages specialising in information about the Archiving Services and Systems of the different administrations, official bodies and private entities.
- c) Access to Databases about archival bibliographies, catalogues of documents, drawing up of archive electronic guides and documentary collections.
- d) Distribution lists for different archived subjects and communication by electronic mail.
- e) Possibility to connect on line the centres of an Archive System.

In this new context, the digitalisation of documents and their dissemination on the Internet represents a large challenge for the Archives of all of Europe. The new on-line offering gives rise to a new reality: virtual access to the documents entails access to the databases with digitized images that make the existence of the new “Virtual Archives” possible.

## **3. Access on-line to documents and archives**

Access to the digitized documents on the Net means that the originals will be protected from excessive manipulation. The dissemination of information about the Archival Systems and the documents themselves has an influence on the greater increase in value of the European Documentary Heritage.

The legislation also recognises the new electronic documents through the application of new technologies in administrative management. The dissemination on the Internet makes it necessary to harmonise legislation about the Archives and to resolve the problems about author rights, especially in the case of iconographic documents (photography, posters, maps and blueprints).

The preservation of the Documentary Heritage also have an important resource on the Internet through the dissemination of the Electronic Guides of the documentary Archives and Collections, through their control and the possibility of constant updating.

Access to the documents on the Internet means that scientific, cultural and technical research can be facilitated and promoted. On-line access allows researchers from throughout the world to be attended without interruption 24 hours a day throughout the entire week.

The impact of on-line access on the archival resources involves an increase in the number of researchers and users that will use the Archival Services. The number of daily visits is spectacular for Web pages with content related to Cultural Heritage and especially those projects like CHIM, AER and MINERVA.

#### **4. Dissemination on -line of documents and archives**

On-line access also makes it necessary to establish priorities at the time of disseminating the documents on the Internet. In all the European projects, the image banks and descriptions normalised the Net are principally made up of:

- a) The documentary collections that are most highly demanded by researchers.
- b) Collections that are the objective of a Common History, for example, documents of great value for several countries or regions at the same time.
- c) Documents that are extremely old, whose loss or destruction would mean an unrecoverable loss.
- d) Documents that are difficult to manipulate and with a high level of destruction in their medium like maps, blueprints, posters, photographs on old mediums or parchments, principally.

#### **5. Virtual access to documents and archives**

Virtual access allows three different types of services and controls simultaneously:

- a) Identification and authorisation of the user.
- b) Drawing up of user statistics (user profiles, research lines, most requested documents, frequency of access, etc.).
- c) The Virtual Research Room allows a new on-line space to be generated with the resources from many different Archives.

Copies of the documents make up an essential tool for the research and dissemination of knowledge. On-line research reaffirms the role of the Reprographic Services of the Archives. The new “virtual Archives” will provide two types of reproductions to researchers and users:

- a. *Virtual reproduction.* Consists of accessing the digitised image of the archival document and its manipulated form (highlighting of colours, cleaning of backgrounds, zoom) on a PC or Network terminal. In this case, the user cannot obtain the digital copy of the document, thus avoiding the uncontrolled use by third parties.
- b. *Physical reproduction.* The researcher can obtain a copy of the document on any medium (photocopy, microforms, digital, photograph) as is becoming habitual on all the Archival Systems.

On-line access also makes internal management of the different Archives in the System possible, as they will be connected by an Intranet. An Archive management system makes it possible to work on-line: through the description of the documents and the simultaneous management of the information between all the Archives in the system.

The access to the digitised documents on the Internet may require complementary elements to contextualise the information, like online finding aids and research databases. With these complementary resources, an overview is obtained of the Archival Systems and valuable information is obtained for navigation, especially at the time of carrying out searches of the databases that are accessible on the Internet.

Dissemination on the Internet means a further advance towards the freedom of access to information, and also promotes a genuine democratisation of access to archives.

## **2d INTERNET GATEWAY TO DOCUMENTS AND ARCHIVES IN EUROPE AND EUROPEAN NETWORKING PROJECTS**

### **Proposed concrete actions:**

- 1. To create and maintain an Internet Gateway to documents and archives in Europe to be hosted by the National Archives Service of one EU-Member State, in collaboration with the National Archives Services of the other EU-Member States and EU-Institutions.**
- 2. To establish an ad hoc working group, comprising experts from Germany, France, United Kingdom, Spain, Poland and Hungary, which will coordinate the creation of the Gateway and regularly report on progress, to the proposed official Archivists Committee of the EU-Member States and EU-Institutions.**

### **Future orientations:**

- 3. To enable all citizens in the EU-Member States to carry out searches on the Internet for information held on digital form across national boundaries and to access and download copies of the digital documents of interest to them, as far as copyright legislation allows.**
- 4. An indicative estimate would be € 1.6 million for hardware, software and specialist staff (5 people) will be required for the first phase of the project in its first two years.**

### **Introduction**

With the rapidly growing number of archives services using the Internet for the dissemination of their holdings and their growing competence in using the new technologies, the creation of an Internet Gateway, which pools efforts and expertise at the national and European levels, becomes a top priority for concrete actions on archives in Europe. Many EU-Member States have already established national portals and there are a number of supra-national programmes in existence, which will considerably facilitate the creation of the Gateway and provide it with rich sources of content.

### **Aim of the Gateway**

The fundamental aim of the gateway is to provide EU citizens with a common portal, which will enable them to find out for themselves about Europe's archives and about archival material which is relevant to them, wherever they live in the European Union.

This will mean that archives across the European Union are fully accessible to EU citizens for the first time, and should improve public understanding of the diverse strands of European history and culture. The Gateway will connect previously disparate archival networking initiatives in EU Member States and will act as a powerful catalyst in breaking down the remaining barriers to easy access to information in the European Union. It will provide citizens with a convenient and user-friendly "one-stop" shop for online information about

archives in the enlarged European Union and the important and authentic material which they hold, including a virtual catalogue for archives in the European Union.

To achieve this fundamental aim, the Gateway will need to meet the following conditions:

- It will have to fulfil the expectations of citizens throughout the European Union by providing a critical mass of important and interesting information when it is launched and in this way capture their imagination and by achieving high standards of service which stand favourable comparison with the functionality of the most successful commercial web services
- The Gateway will have to fulfil the expectations of contributing EU-Member States through the free provision of any necessary tools, which are in the public domain and based on open standard, and through the long term sustainability of the site, irrespective of technical and personnel charges, which will be supported through collaboration with the DLM Forum.

### **First Steps towards the Creation of an Internet Gateway**

1) An analysis will be carried out of the most advanced national and collaborative websites presently available which will inform the development of authoritative guidance as to how to carry out the first phase of the project successfully.

2) A sustainable management and business plan, including provision for central technical support, decentralised content delivery and multiple access points for public users, will be developed.

3) A National Archives service of one of the EU Member States, which is willing to host the Gateway in collaboration with other National Archive services, will be identified.

4) The feasibility of a virtual exhibition, comprising a few documents of wider European significance from all the EU Member States, and its likely effectiveness in promoting the use of the Gateway, will be investigated.

5) At the end of the first phase of the Gateway after two years, its overall development will be evaluated, so that it can demonstrate its full potential in succeeding phases.

### **Structure of the Gateway**

The main part of a European gateway should be formed by a union finding aid with several layers. In the centre all data from archival web presentations should be presented for cross border searching in deliberately selected combinations. As the integration into the union finding aid needs the use of common data standards a link lists to other online finding aids as well as databases for instance of manuscript collections may joint it with a sort of google search. The outer layer could be built of links to union catalogues of printed finding aids and other guides thus offering at least information about other forms and channels. This combination of three layers offers a central access point to all published archival descriptive information irrespective of the medium used. It should be complemented on the one hand of information on the contributing institutions, their opening hours and addresses as well as their history and special working condition, thus explaining their holdings. On the other hand there should be an area for help and training-tools for visitors of the web site, where they might

prepare themselves for a visit in an archives. Here digitised images can be used to show examples of the archival material, present galleries or offer digital learning on archives, public or private records and history for users.

### **Archives Online**

With the rapidly growing number of archives using the internet for the display of their holdings, together with the experience and competence in using the new technologies which they gained, many archive services are now well placed to become competence centres for gathering, administrating and presenting structured content. Archival repositories in Europe offer holdings ranging from recent papers, providing transparency of contemporary events, to records going far back into the very distant past. The Internet has helped to position archives as irreplaceable professional providers of information about the past and the roots of the common identity of communities. It has furthermore reinforced the professional debate about best practices in a supranational dimension. But most remarkable are the achievements that can already be seen on many websites. Many archival websites and regional or national gateways have been installed, which give information about the archival institutions or allow searching the descriptive information delivered by different institutions in a joint search engine.

### **International standardisation**

Archive services have made considerable progress in the development of international standards, which have ensured that the structured retrieval of information is now well within the grasp of citizens. In recent years the XML-based standard EAD has proved to be best applicable for these purposes. The United Kingdom has used EAD to create the Access to Archives (A2A) database as part of the UK National Archives Network, with nearly 7 million records and more than 350 contributing repositories. In France finding aids of the historical centre of the National Archives are converted to EAD to be presented on the archives' website and the regional archives are advised to start their IT-introduction with EAD. In Germany the Federal Archives present 90 online finding aids on their website. A tool is used that converts finding aids into EAD and a national gateway is being prepared using EAD as an internal exchange format. In the Netherlands, in Sweden and in Switzerland initiatives to start with EAD have begun. A central motivation for using EAD consists in its capability to provide structured description without redundancy on different levels. It is applied in archives, libraries and museums whenever context bound description should to be offered and it thus creates a harmonisation of the three domains in a new way. EAD provides encoding analogues that make conversion into other standards like ISAD(G) or MARC easy and is therefore open for data interchange with search engines. EAD encoded finding aids can easily be presented with a standardised surface of a gateway. They can offer easy to use layouts that have to be learnt once and can be reused. (cf. Minerva WG5: *Handbook for quality in cultural Web sites: improving quality for citizens*)

Applied as a standard format for a joint archival gateway to European archives, EAD is flexible enough on the one hand to make description work comparable and to allow on the other to present individual characteristics of contributing record centres. The data encoded in EAD can be presented in different ways with the help of style sheets and thus a presentation on this basis can offer different search strategies for the same material. Visitors can choose to use hypertext navigation inside the structure of a finding aid, use it like a book or search for

key-terms as in a database. EAD is furthermore developing to an international standard for the exchange of archival description data and it will be helpful to create relations to other national or supranational gateways.

## **European networking projects**

The main aim of the following list of European networking projects is to illustrate the specific contributions of archives to the ongoing developments in the European information world. Without being exhaustive, this list clearly shows the advantages of the creation and maintenance of an Internet Gateway to archives in Europe with the view of pooling diverging efforts and sharing resources in this field.

### **CZECH REPUBLIC**

#### **Archival Fonds in the Czech Republic**

[www.mvcr.cz/archivy/peva](http://www.mvcr.cz/archivy/peva)

The PEvA program is a unique database, containing information on 144,475 archive fonds (726,394,84 shelve meters of documents) and 109, 593 finding aids. The archive fonds (archive groups) concerned are stored in the Central State Archives in Prague, in 7 regional archives (in 2002 72 district state archives were integrated in regional archives while retaining their names), 5 township archives, selected archives of special importance and several dozens of cultural institution and company archives. The database consists of entries with name of the fond, name of the archives, where the relevant archives fond is deposited, footage of the fond, places of origin of the fond, name of the creator in the original language and wording, time span of the fond and finding aids available at the archives where the fond is stored. The data may now also be accessed in English, German and French, but the database proper cannot be, due to technical reasons, translated into other languages. The search must therefore proceed according to words in Czech. Special enquiries should be addressed to [arch@mvcr.cz](mailto:arch@mvcr.cz).

### **ESTONIA**

#### **The Estonian Archivar Register**

<http://arhiiviregister.ra.ee/index>

[Information about the public documents and archives kept in the government agencies and public archives can be found on this site.](#)

### **FINLAND**

#### **VAKKA – The Archival Database and Online Finding Aids of the National Archives Service**

<http://www.narc.fi/atengl.html>

The database VAKKA – the Archival Database and Online Finding Aids of the National Archives Service of Finland – is an online reference database containing information of the holdings of the National Archives and the provincial archives; the database program functions also as a tool for description of archival materials. The database VAKKA has a multilevel structure in accordance with the standards ISAD (G) and ISAAR (CPF) and will, when completed, contain the descriptive information of the archival materials down to the unit level and additional information. The database project was launched in 1992 and the database was made operational online via the Internet in 1997. From the unit level of the database there is a linkage to the Digital Archives containing digitized analogous materials in image format. From the units level of the database VAKKA there is a direct link to the digitized content of the same unit – if it is digitized. The Digital Archives is accessible via the Internet: <http://digi.narc.fi>.

### **The National Register of Private Archives**

<http://narc.fi/yksark.html>

The National Register of Private Archives (Finland) is a reference database containing authority information about the fonds creators and basic information of the fonds. At present the database contains information relating to private fonds preserved in the National Archives, the seven provincial archives and a dozen of central repositories for private archives. The scope of the database will continuously be broadened with the holdings of new institutions.

## **FRANCE**

### **National Historic Archives Centre (Centre historique des Archives nationales, CHAN)**

<http://222.archivesnationales.culture.gouv.fr/chan>

On the CHAN website, in the on-line search tool section, there are already links to XML/EAD encoded search tools. The seven electronic search tools are: summary of private archive resources, Napoleon Archives, Pablo Picasso resources, the National Association of Deportees and the Families of the Mauthausen Disappeared and their Kommandos, Dampierre Archives, Jean-René Bernard Resources and the Le Rebours Resources. The versions shown are in HTML format and are equipped with an index. On the CHAN website it is already possible to run queries, separately or several at a time, on nine of the databases of the National Historic Archive Centre. The CHAN has compiled a documentary database for the research of naturalization records for the period 1814-1853 (NATNUM Project). The application ETANOT (ETAt des NOTaires de Paris) is a computer application containing information on nearly 3,000 Parisian notaries recorded on a documentary database, converted from formatted text to XML format. These XML entries conform to the EAC (Encoded Archival Context).

### **BORA (Archive Orientation and Research Database)**

<http://www.archivesdefrance.culture.gouv.fr/fr/> Page database/BORA

The management of the *Archives de France* is implementing an Archive Orientation and Research Database (BORA), designed ultimately to become a national information portal for the description, in accordance with the international description standard ISAD (G), of all the

archive resources of the French public services, making it possible for researchers to locate contents of interest directly over the Internet. BORA currently comprises two sub-elements, private archives and photographic resources, due to be merged in the next version of the application. BORA could also be extended to other types of files (land registers, civil registers, notarial archives). The database is progressively supplied with files, after validation, transmitted by the cultural and financial institutions storing these resources (2,000 descriptive entries of resources stored at two national archive centres and in sixteen regional archives). The BORA application is developed on the SDX software platform, a tool for the consultation of XML documents using the Lucene search engine. The entries are structured in EAD 1.0.

### **The Franco-Canadian archive administration cooperation portal**

<http://www.archivescanadafrance.org>

Launched in November 2003 as part of the commemoration of the 400<sup>th</sup> anniversary of the first French settlement in North America, this portal offers researchers a virtual exhibition and a database that already contains more than 20,000 descriptive entries, structured in SML/EAD, documents drawn from French and Canadian resources (National Historic Archives Centre, Overseas Archives Centre, Library and Archives Canada, National Archives of Quebec), as well as images from pages of documents. The descriptive files have been exported from a database and are for the moment technically independent. There are links between the documents, since these form part of resources and organic series. A new version of the database should enable the contextualisation of a digitised unit after a search, in order for it to be possible to know in which resource or organic series it is located, and identify the other units of these groups.

### **The institutional portal of genealogy**

<http://www.France-genealogie.fr>

The management of the *Archives de France*, in partnership with the French Genealogy Federation, wishes to develop the institutional portal of genealogy in France. This portal will give direct access to all of the resources available in the area of genealogy and should also include multi-database query options. The initial phase of the project has enabled the portal to be equipped with ZOPE/CPS3 content management technology, in order to facilitate the management and updating of data. A second phase will consist of the development of a prototype using the OAI-PMH protocol (Open Archive Initiative Protocol for Metadata Harvesting), in order to centralise the metadata referencing various resources without moving these resources from their original location.

### **Overseas archives centre (Centre des archives d'outre-mer)**

<http://www.archivesnationales.culture.gouv.fr/caom/Djazair/pages/etatCivil/etat.html>

This is a large-scale collaboration between the Overseas archives centre and the central service of the registry office of the Foreign Affairs Ministry to digitise and index the so-called « European » registry office microfilms compiled in Algeria between 1830 and 1962. The aim is to offer users of both services a computer programme that would enable searches to be run on the name of the town, the year, the type of certificate, the names and forename on the databases of images of certificates. Internet access applies to the database only (names, forenames, towns, dates, certificate types). The data is put on line during the course of the operation now underway (currently, 1,010,000 certificates are on line). The database will be completed at the end of 2004.

## GERMANY

### **Kabinettsprotokolle der Bundesregierung (Minutes of the Council of Ministers of the Federal Government)**

<http://www.bundesarchiv.de/kabinettsprotokolle/web/index.jsp>

This is an online version of the printed publication series, currently covering the years 1957 and 1958 and completed back until 1949 by this autumn. In accordance with the 30 year rule the printed series will be further completed each year by a new volume which will be presented online 18 months after. The digital manuscripts for the printed books were converted into XML, stored as files and made searchable with the free search engine Lucene. They are presented in a structured hierarchical form for navigation, including all footnotes and references with fully interlinking functionality. The authoring tool will be made available for other text digitisations projects.

### **Deutsche Wochenschauen im Internet (German News-Reel in the Internet)**

<http://www.wochenschau-archiv.de/>

Video streams of more than 5700 German news reels can be viewed free of charge and are delivered with a bandwidth of 56 or 250k/s. The clips can be searched according to year, titles or categories like place, time, subject or persons. The films are part of the holdings of the film archives of the Federal Archives. The digitisation project is carried out in cooperation with the several partners like the Defa-Foundation. Copies can be selected for ordering.

### **Nachlässe in deutschen Archiven (Private Papers and Manuscript Collections in German Archives)**

[http://www.bundesarchiv.de/findbuecher/stab/db\\_nachlass/index.php](http://www.bundesarchiv.de/findbuecher/stab/db_nachlass/index.php)

A central database of private papers in German and German language archives has been established to replace a reworked edition of the published inventory, first compiled in 1971 by Wolfgang Mommsen. A survey brought together new information on newly acquired collections. Now the database contains information about 21 000 collections. The research leads to the archives services that provides access for users and refers to eventual use restrictions. A tool is under development that will allow contributors to the database to add and update their information by themselves. The database is hosted by the Federal Archives.

### **NRW-Archive im Internet (Archives of North-Rhine-Westfalia in the Internet)**

<http://www.archive.nrw.de>

A database with information about and from all archives services in the Land NRW at all levels of administration as well as business, church, media and private archives. It offers a key term search over the holdings guides of all participating archives as well as geographical access using different maps. The hits are presented with a complete list of the upper hierarchical levels of the holdings structures. The database includes general information about opening hours and locations of the repositories and about special events. All editions of the professional journal "Der Archivar" since 1999 are included the site.

## **Online-Findmittel der Staatlichen Archivverwaltung Baden-Württemberg (Online-Finding aids of the State Archives Administration of Baden-Württemberg)**

<http://www.lad-bw.de/fr-olf.htm>

Access to all online finding aids on fonds level as well as holding guides of 7 state archives in Baden-Württemberg all presented in the same form for structured navigation in the hierarchical grouping of descriptive units according to intellectual or provenance based order. Each archives service presents a guide across the complete holdings with links to the finding aids on fonds level when appropriate. Besides the hyperlink navigation the finding aids can be searched individually or in combination. The online finding aids are created with MIDOSAonline and presented on the fly from a MySQL-database using PHP-scripts.

## **ITALY**

### **Guida degli Archivi di Stato Italiani:**

<http://archivi.beniculturali.it>

Another project worth mentioning is the database, which has transferred into digital format the four volumes of the Guida degli Archivi di Stato Italiani, published between 1981 and 1996 and containing short descriptions of all the fonds kept in more than 100 Italian State Archives. PROJECT IMAGO II

The on-line services are reachable by the ARCHIVI portal <http://archivi.beniculturali.it>

In the IMAGO II Project the State Archives of Cagliari (already on-line), Firenze, Lucca, Perugia, Roma, Torino (already on-line), Venezia and Milano are involved; and it offers the digitisation of original documents complete with records and implementation of virtual consulting, local or online. Most of the State Archives involved in the IMAGO II project are planning the on-line publication of IMAGO results, as far as their budgets allow.

### **Project the Archivi Portal**

The **ARCHIVI portal**, continually updated, has been operating since 1997 and provides information on the Italian archives administration, acting as a portal providing access to the sites of archives operating on Italian territory and offering numerous continuous on line services. A new version is in progress, following as closely as possible interoperability and preservation standards. Since 2003 a weekly incremental backup of servers has been preserved, burned on optical holders conserved elsewhere. *ARCHIVI* works as an orientation node for access to the pages dedicated to central and local organs of the archives administration .

**Archivi e Soprintendenze** provides access to the database of the 144 State Archives and Sections of State Archives and the 19 archival supervision agencies operating on Italian territory. In this sense, *ARCHIVI* also acts as a provider for the network of archival bodies, which update the database and can set up their own autonomous sites, freely hosted in the central server.

## **Archivio di Stato di Firenze (Italy)**

<http://archiviodistato.firenze.it/Welcome.html>

The web page of the Archivio di Stato di Firenze offers information about its organisation, projects and documentary funds, and also about a series of Internet archive resources. On the one hand are the services and information of the Archives on the Net, in particular the management of the reproduction requests of documents through the necessary forms and the information needed for copying agreements. On the other hand there are the pages with links to different web pages containing Net resources of the Archivio di Stato (Gli strumenti della ricerca). The page of Lists of contents (Elenco dei fondi) facilitates consultation to the Archive contents through an index or alphabetical list of the contents, as well as lists of typologies and navigable functions through a Net index-tree. The online Guide is a project underway to describe the different contents, series, producers and other internal and external elements of the documents. Access is presented in a differentiated manner, in English and Italian, to a search engine with four fields: contents, producer, political context and archives or collection coming from the documents. The Net inventories (inventari on-line) offer a list of 16 links to various documentary contents. The contents page of each inventory consists of an introduction to the content, to its navigation and access to the inventory. The page of “digitised archives” (archivi digitalizzati) offers access to two documentary contents referring to the History of the Médici Family offered in digitalised format. (Mediceo avanti il Principato y Acquisti e doni, 383). This “electronic archive” is accessible through entries in its specific inventory. It needs a “plug-in” download in order to visualise the digitalised images and the investigator’s prior online registry. The subject guide (guide tematiche) is a resource that at present offers access to the web page about the Catasto Generale Toscano. The page of Banks of external data (Banche dati esterne) offers a link to two online information projects external to the Archivio di Stato di Firenze (Catasto of 1427 y Tratte of Office Holders 1282-1532). Finally, a page is offered with online publications of different documents relating to publications by its personnel, administrative documents, activities of the Archivio di Stato di Firenze or contributions by its archivists. On the page of archival institutions a structured list is offered to links to different archives services and other institutions throughout Italy that keep archival documents.

## **Regione Lombardia, Archivio di Stato di Milano and Soprintendenza Archivistica**

<http://plain.unipv.it/>

To connect, to communicate, to link: these are the keywords to the Lombardia Storica portal, resulting from an experimental project carried forward by Regione Lombardia, Archivio di Stato di Milano and Soprintendenza Archivistica: these two being branches of the State Archival Administration. Many other institutions are involved, to share information resources.

The main informational resources available in the site are: the actual archival description project, hosting descriptions about archival fonds (VIIIth - XX centuries) stored in the *regione's* district and in the Archivio di Stato di Milano; descriptions of local and ecclesiastical institutions (XII-XXth centuries); transcripts of documents (following an XML DTD) from VIIIth to XIIth centuries (Codice Diplomatico della Lombardia medievale); transcripts of some documents pertaining to witch persecution in XV-XVIIth century Valtellina. The web site puts together, links and effectively integrates these different descriptive resources, allowing for cross-searches and retrieval. The archival information

system itself has been built in accordance with the archival standards ISAD (G) and ISAAR (CPF) and the national standards related to the SIUSA national project. The archival descriptions have been migrated into the database from different previous projects. To make searching and retrieving information more efficient, procedures and devices (as authority lists) are being built, which are able to relate to other information systems (about art history and from other heritage institutions).

### **Historical Archive of the Banca Intesa**

<http://gea.bancaintesa.it/archivio/index.htm>

The Historical Archive of the Banca Intesa, which keeps fonds and records produced by three of the biggest Italian private banks, has recently delivered on the web a data base which contains full and accurate descriptions of the documents of the three banks along with digital reproductions of the images of all the documents of important fonds such as the Raffaello Mattioli papers.

## **LITHUANIA**

### **Lithuanian Archives Department under the Government of the Republic of Lithuania**

<http://www.archyvai.lt>

The Lithuanian Archives Portal (<http://www.archyvai.lt>) has an English version providing information about National Archives System in Lithuania and its administrative structure, access terms, services, national legislation on archives, etc. Through this Portal access to the National Archival Database is available. The Database is comprised of data about the documentary fonds held in the Lithuanian state archives and their structure as well as information about the creators of documents belonging to the Lithuanian National Documentary Fond. The primary database, data from which is being transferred to the newly established National Archival Database, covers descriptions of two levels: 21 411 fond level descriptions and 47 823 subfond (inventories) level descriptions. The description is based on international standards – General International Standard Archival Description, Second Edition [ISAD(G)], 2000, Ottawa (ISBN 0-9696035-5-X) and Encoded Archival Description (EAD) Document Type Definition. Version 2002 Society of American Archivists Chicago 2002 (ISBN 1-931666-00-8).

Such initiatives, as thematic exhibitions of the digitized materials, ran by single archives also could be found in the Lithuanian Archives Portal. The Lithuanian Archive of Image and Sound in Vilnius (lately incorporated into the Lithuanian Central State Archive) is digitizing collections of photographs, audio and video documents which will be accessible through the portal in future.

## **THE NETHERLANDS**

### **Archieven.nl**

[www.archieven.nl](http://www.archieven.nl)

A common search interface to holdings of almost all major archives services in the Netherlands. Also browsing possibilities.

### **DTNA (Digital Finding Aids Nationaal Archief)**

<http://www.nationaalarchief.nl/collectie/zoeken/Default.asp>

The Nationaal Archief wants to digitise all the paper finding aids now available in the Reading Room – about 5000. This will provide a better overview of the collection. And the improved consistency will enhance data management. EAD has been selected – more specifically, its XML version – as the digitisation format. One important aspect of this project is to further develop knowledge about the use of EAD and XML. Till now 40 digitised finding aids are available on the website.

### **Genlias**

[www.genlias.nl](http://www.genlias.nl)

For almost 200 years the Dutch authorities have been recording births, marriages and deaths in the Civil Register. Genlias provides information from these official records. The Civil Register covers the period since 1811, so the information about ancestors goes back as far as about 1780. Genlias is a joint product of the regional history centres and the Nationaal Archief.

### **TANAP (Towards a New Age of Partnership)**

[www.tanap.net](http://www.tanap.net)

A major project based upon the archives of the Dutch East India Company (VOC), kept in Indonesia, India, Sri Lanka, South Africa and the Netherlands. The Nationaal Archief carries out this project in collaboration with Leiden University and with archives and scholars from Asia and Africa. It involves using digital applications to improve the availability and accessibility of the VOC archives. It also encompasses several other objectives and activities.

### **de Woonomgeving**

<http://www.dewoonomgeving.nl/index.cfm>

De Woonomgeving ("The Living Environment") has the data and maps of the Land Registry from 1832 as a starting point. Funded by the Ministry of Culture it will be possible to link this with much more information about the historical environment of everyone's own residence in the Netherlands.

## **POLAND**

### **State Archives of Poland**

<http://www.archiwa.gov.pl>

The main National Archives website provides the integrated on-line access to national archives electronic services:

### **SEZAM (Archival Holdings Registration System)**

The SEZAM database contains information on the national archival holdings of State Archives, archives of the scientific institutions (Polish Academy of Sciences in Warsaw, Mikołaj Kopernik University in Toruń, Warsaw University Library) archives of the Polish

institutions abroad (Pilsudski Institute of America, Polish Institute of Arts and Sciences of America in New York) and other public holdings (The Society of Solidarity Archives, Museum of the Piast Dynasty on Lednica). The archival description in the SEZAM database is harmonized with the International Standard of Archival Description ISAD [G].

### **INVENTORIES OF ARCHIVAL FONDS**

Integrated database includes 3 bases containing the electronic inventories of the 12741 fonds: IZA - The inventories of the fonds from 65 archives and from the First Piasts Museum at Lednica, the Mikołaj Kopernik University Archives in Toruń, the Pilsudski Institute of America, the Polish Institute of Arts and Sciences of America in New York, the Society of Solidarity Archives.

SCRINIUM - The register of documents produced before the end of XVIII c. from the State Archive in Kraków, the State Archive in Toruń, the State Archive in Wrocław and its branches in Kamieniec Żąbkowicki and Lubań.

KITA (Computer Technical Information) - The register of the technical documentation from the State Archives in Bydgoszcz, the States Archive in Siedlce and the First Piasts Museum at Lednica.

### **PRADZIAD - Records from Parish and Public (civil) Registers**

The database comprises data on parish and civil registers preserved in all State Archives and archives of the Stanisław Staszic Pomeranian Library in Szczecin, the Archdiocesan Archives in Łódź, of the Archdiocesan Archives in Poznań, from the holdings of the Diocesan Archives in Drohiczyn, of the Diocesan Archives in Włocławek and on Jewish and Roman Catholic parish registers preserved at the Civil Registration Office for the capital city of Warsaw.

### **RECONSTITUTION OF THE MEMORY OF POLAND**

The “Reconstitution of the Memory of Poland” Programme was started in 1998. The objective is to provide information about the sources on the history of Poland and the Polish nation over the period 1772-1945, preserved outside of Poland. The archives researches have been carried out in the Austria, Belarus, France, Moldova, Germany, Russia, Ukraine, Italy.

National archives participate in the most important nation-wide projects concerning creation of the digital collections.

### **The Polish Internet Library (PBI)**

[www.pbi.edu.pl](http://www.pbi.edu.pl)

PBI contains the scan version of literature masterpieces publications and most important historical documents. The Polish archives are the largest provider of the sources to the PBI.

### **The Treasures of Polish Archives**

[www.polska.pl/archiwa/index.htm](http://www.polska.pl/archiwa/index.htm)

Presents the most valuable documents related to the important and interesting events of Polish history. The items are accompanied by detailed comments, depicting the content and the historical context in which the documents arose.

### **The Polish Cities in the Archival Documents**

[www.polska.pl/miasta/index.htm](http://www.polska.pl/miasta/index.htm)

Contains about 1000 items of the digitised historical materials concerning the history of the various Polish cities.

## PORTUGAL

### **IANTT-Instituto dos Arquivos Nacionais. Torre do Tombo**

<http://www.iantt.pt/>

This web site provides information on the National Archives and on archival matters for professionals and owners or custodians of archival documents. In the web page FUNDOS E COLECCÇÕES on line access is allowed to a database of the holdings of the Torre do Tombo (National Archive). This database provides information on the archival documents mainly at the fonds level, on their extent, dates and finding aids and, as far as standardization progresses, on their contents, arrangement, related units of description and publications. TT ON LINE is a project to digitise records kept in the Torre do Tombo, co-sponsored by Programa Operacional da Cultura (POC) which manages EU funds. The archival documents were selected in accordance with their information value and cultural interest and the digitised images will be accessed through the IAN/TT web site.

### **Arquivo Distrital do Porto**

<http://www.adporto.org/>

The Arquivo Distrital do Porto developed DigitArq, a project co-sponsored by POC and the National Archive of Portugal, whose main goals were: to convert old finding aids to archival standards; to build an information repository to receive and manage the deliverables obtained during the previous process; to develop a search engine on a web interface that allows queries within the built repository; and to develop an informatics application, as well as new business processes, in order to manage digital objects and associate them to the mentioned repository.

## SLOVENIA

All public archives have databases of fonds and collections available on the Internet (Guide books of fonds and collections) that are not created uniformly. They are available on each archives' web page, links are on: <http://www.gov.si/ars/6a.htm>.

### **Fonds and Collections of the Archives of the Republic of Slovenia**

<http://www.gov.si/ars> , <http://sigov3.sigov.si/arhiv/>

The database contains three holdings complexes and they are available in the Slovene language. The first and most important are the data on Fonds and Collections kept by the national archival service of Slovenia, composed of 1,797 fonds and collections and comprising more than 15,334 metres of archives on paper. The fonds descriptions are based on ISAD(G) standard elements. Besides the title, time period and extent of individual fonds, a short content description, fonds' history and related literature, the descriptions contain a detailed history of fonds' creators. The search is possible on the basis of catalogue of all fonds and collections, on the survey of fields of activities – contents classification (public

administration, justice, defence, economy, culture, associations, etc.) as well as on key terms (full text search).

The second complex comprises digitised maps of the Cadastre from the 19th century, which included 2.406 cadastral communities with 28.000 cadastral maps. Map images are connected with data on: the name of the “*Kreis*”, serial number of cadastral community and the geographical names in current and original form (field: the second name “k.o.”).

The third complex comprises the data on archival films kept by Slovene Film Archives. The collection of which consists of numerous films from 1905 onwards. The search elements are title and creator of the film (director, producer, actor, etc.), the year of its making and key words (full text search).

## SPAIN

### **AER (Archivos Españoles en RED)**

[http://aer.mcu.es/sgae/index\\_aer.jsp](http://aer.mcu.es/sgae/index_aer.jsp); <http://www.aer.es>

The AER Project (Spanish Archives on the Net) is a world wide pioneering project whose fundamental purpose is to make the content of Spanish Archives available over the Internet, incorporating both descriptions and digitised images of documents kept in the main Spanish Archives. The AER platform provides instant free access to over 14 millions images of documents, it links archival descriptions to a digital image of the document. The virtual access to documents leads to some major changes in the sphere of research: in Archive-user identification and accreditation by a ‘virtual’ National Researcher Card and in a ‘virtual’ researchers’ room which has allowed the development of a new space on the Net where resources from eleven different Spanish State Archives can be consulted. Archive information is structured in a hierarchical manner applying a multilevel rule describing the most general to the most particular in line with (ISAD(G)). Contextual information is fundamental to archival description and, furthermore, standards have been established (ISAAR (CPF)) to deal with the problem of context. The AER portal has taken the concepts of the fundamental challenges of the Web about the contextualisation of objects and integration of these contexts within information structures. One of the basis aims of the AER project is to facilitate and promote research. The AER application has two options for search criteria: ‘Simple search’ aimed at the typical Internet user most interested in general search areas, and ‘Advanced and specialised search’ aimed at researchers and archivists, it allows more complex and in-depth consultations combining different criteria. The AER Project has tools such as the Researcher’s Diary that has been developed to facilitate research by specialised groups of users. This allows researchers browsing through AER to manage their searches for documents and images over time. The tool “Documents and images digitised” provides to users a full guide of documents, funds and collections that are available for consultation. Users have also a links page with complementary information to search in AER and a “Searchers forum” where any user can hold his free questions and answers of any topic. AER Project has been developed in synergy with other major European projects such as the Lund Plan offering an advanced (in terms of quantity and quality) digitisation.

## **Electronic Guide to Spanish and Latin American Archives**

[http://aer.mcu.es/sgae/index\\_censo\\_guia.jsp](http://aer.mcu.es/sgae/index_censo_guia.jsp)

The Electronic Guide to Spanish and Latin American Archives is an Archives Directory and a Guide of documentary contents and collections looked after by the said Archives which provides information on the Archive Centres and on the description of the documentation held at each centre, on the Contents and Collections level. Currently accessible over the internet are more than 40,000 archives from Spain and from Latin America: Colombia, Argentina, Bolivia, Costa Rica, Chile, El Salvador, Guatemala, Nicaragua, Paraguay, Venezuela, Brazil and Mexico; Cuba being incorporated at the moment. From the registry of each Archive in the Electronic Guide it is possible to link to other Internet resources (e-mails, web pages or description instruments in electronic format). It is possible to update the information online, and furthermore the information is in SGML / XML language so as to help with the exchange of data.

The EAD (Encoded Archival Description) has been used for the description of the contents and collections and for the description of the Archives the State Archives Department has developed a DTD, the EAG (Encoded Archival Guide) that regulates the electronic tag of the general information about archive centres and which is currently in its Alfa 0.2 version. The Electronic Guide is a Cultural Contents promotion instrument in Spanish about Archives on the Net. It is also an interrelated information Portal about Archive Centres and documental contents that offers a global vision of the Hispanic archive situation, facilitating more detailed references. It is an effective instrument for the normalisation of the archive descriptions and for the consolidation of the international standards among the community of archive professionals.

## **Sources Guide**

<http://www.cultura.mecd.es/archivos/jsp/plantillaAncho.jsp?id=5>

This consists of a series of independent and linked databases. Each of them contains information on documents relating to the same subject and kept in different Archives, both from Spain as well as from other European and Latin American countries (Argentina, Cuba, Chile, Costa Rica, France and Italy; with Colombia soon to be incorporated). The registries cover both the level of document or documental unit, as well as higher levels (Section, Content, Series) and the information is structured in accordance with international archive description standards. The Sources Guide integrates 191,753 registries, the amount of which is monthly increased, distributed by the following databases: History of Spain, History of Europe, Spanish Civil War, Exile and Workers' Movement, History of America and Science and Technology. Access is through the State Archives website of the Spanish Ministry of Culture), accessing a consultation formula which allows for general searches through the fields most used by the Archive investigators. The searches offer results pages, the registries of which allow for one to link to descriptive files. The researcher can locate documents using sixteen formula fields, in a single or combined manner.

## **Exhibitions and virtual visits**

<http://www.cultura.mecd.es/archivos/jsp/plantillaAncho.jsp?id=7>

This is a diffusion resource of the SGAE (State Archives Deputy Directorate), which consists of seven exhibitions and three virtual visits to three of the most important General Archives (Archive of the Crown of Aragon, General Archive of Simancas and General Archive of the Indies). They are coherent journeys through the virtual image of different types of documents (maps, plans, stamps, noble miniatures, photographic documents, manuscript documents and forms). The subjects are very varied: reading and interpreting a medieval stamp, photographs of the Spanish Civil War, the process of the colonisation and urbanism in the New World; the importance of the Mediterranean as a cultural crossroads; the development of the art of illumination in the 16<sup>th</sup> and 17<sup>th</sup> Centuries; the period and the figure of the Emperor Carlos V. Through this website, the visitor can get closer to the Archives in all of their dimensions; to their buildings, to their environment, to their history and to their documental contents. Technically it presents a meticulous expositive language or graphic design, which allows for surfing and clear and easy journeys through each route. The information is always explained through charts and maps, being put into context at all times.

## **Archives Bibliography**

<http://www.cultura.mecd.es/archivos/jsp/plantillaAncho.jsp?id=6>

This link is accessible through the web page of the Ministry of Culture State Archives. The page contains information about this specialised section of the CIDA Library (Archive Documental Information Centre) and a database allowing online access to its bibliographical catalogue. The users can access about 35,000 registries coming from periodically published magazine articles and miscellaneous ones as well as monographs of archival interest; of them, 9,000 relate to guides, catalogues and inventories from the Spanish archives, as well as main ones from Europe and America. The information is constantly updated. The database allows for searches by different entries (general search, author, title, material, place of publication and publisher) and offers a list of results. Each result allows the link to a file with detailed information about the content and the typology of the publication through subject and descriptors.

## **SWEDEN**

### **NAD-National Archive Database (Sweden)**

<http://www.nad.ra.se>

The Riksarkivet (National Archives of Sweden) set up their National Archive Database (NAD) in 1990, covering the holdings of the national archives and the provincial archives in Sweden as well as the National Registry of Private Archives. From 1993 to 1998 NAD was published on CD-ROM. During that period a format compliant with the MARC-AMC as an exchange format was adopted. For the management of archival collections within the national and regional archives the system ARKIS I was introduced in 1993. It has now been succeeded by ARKIS II, which allows for multi-level descriptions in accordance with ISAD(G) and EAD. It has been designed to cover all archival activities, including, for example, locations of documents. Both ARKIS I and II were designed with an authority file for corporate bodies and persons, and they thereby also comply with ISAAR(CPF). NAD on the Internet contains

now only information from the national and regional state archives. A new system for harvesting information on private archives is developing that will adopt EAC as an exchange format. NAD will hence primarily be an index of archival creators in Sweden with links to archival descriptions either within or outside the ARKIS II system.

## UNITED KINGDOM

### **The National Archives (TNA)**

<http://www.nationalarchives.gov.uk>

The main website of the UK's National Archives gives access to a broad range of electronic services. Core to these is the Catalogue of TNA's holdings – the archives of UK central government, courts of law and other national bodies. The Catalogue is a powerful and sophisticated information retrieval tool that was made available on the Internet in March 2001, as part of a wider strategy to develop online access to public records. It currently holds descriptions for 9.5 million records. It is a web-based application in SQL which uses EAD for data import and export. It is compatible with ICA's *ISAD (G): General International Standard Archival Description*, with the *International Standard Archival Authority Record for Corporate Bodies, Persons and Families, ISAAR(CPF) 2004*, and with the *National Council on Archives, Rules for the Construction of Personal, Place and Corporate Names, 1997* and with the *UNESCO Thesaurus* for subject indexing.

The Documents Online service, available on TNA's website, gives access to a growing selection of records, including Cabinet minutes and memoranda, the entire collection of wills proved in the Prerogative Court of Canterbury and the index to awards of World War 1 campaign medals. Other original records available online include the UK Government Web Archive which represents a selective collection of government websites archived at regular intervals, starting from August 2003.

TNA's website also provides access to the National Register of Archives (NRA) index of corporate bodies, persons and families. This acts as a finding aid to over 44,000 unpublished lists and catalogues that describe archival holdings in the United Kingdom and overseas copies of which are held at the TNA's reading rooms in Kew near London. The NRA was one of the first archival resources to be networked, accessed via the web and linked to other resources, as they were made available. The connected Archives Online (ARCHON) Directory database provides information on some 3,000 repositories, record offices, libraries, museums and other archive holding institutions world wide. It contains names, addresses, URLs and other contact information, opening hours and other access information.

### **Scottish Archive Network**

<http://www.scan.org.uk>

The Scottish Archive Network (SCAN) has brought together descriptions of over 29,000 collections from 52 Scottish archives and provides a fully searchable database, together with contact details and opening times for each archive. The site also provides a Knowledge Base focusing on record types, subjects and places. The Network also maintains the [www.scottishdocuments.com](http://www.scottishdocuments.com) website which gives access to digitised copies of wills and

testaments of Scots from 1500 to 1901 and offers palaeography tutorials through [www.scottishhandwriting.com](http://www.scottishhandwriting.com).

### **Access to Archives (A2A)**

<http://www.a2a.org.uk>

Access to Archives (A2A) is the English strand of the developing UK national archives network. Based at the National Archives, the project has enabled not only the retroconversion of finding aids of local English archive repositories and libraries and museums holding archives, but also new cataloguing projects. Currently, over 350 archive repositories are represented in A2A resulting in some 6.9 million catalogue entries. The database has been searched 3.8 million times resulting in 8.4 million catalogue downloads.

Building on the success of A2A, *Linking Arms* is a project promoted by a partnership consortium of national, local and community archival organisations led by the National Archives. Depending upon funding, it aims to realise the vision of the UK's National Council on Archives (NCA), which in 1998 looked toward the formation of an archive service providing access to all archive resources in the UK through one common gateway. The NCA's *Interoperability Protocol* (2003), which recommends archival and technical standards to facilitate interoperability and data exchange, has been adopted as a baseline for functional development of the *Linking Arms* initiative.

### **Archives Hub**

<http://www.archiveshub.ac.uk>

The Archives Hub provides a single point of access to descriptions of archives held in institutions of higher education in the UK. These are primarily at collection level, but where possible are linked to complete catalogue descriptions. The distributed Archives Hub, which provides the functionality underlying this online system, is compatible with EAD and XML.

### **Moving Here**

<http://www.movinghere.org.uk>

Moving Here is a database of digitised photographs, maps, objects, documents and audio items from 30 local and national archives, museums and libraries which record 200 years of migration to England. The site mainly looks at the Caribbean, Irish, Jewish and South Asian communities but continues to grow. It includes exhibitions and user-contributed stories and photographs and a collection of over 150,000 digitised and catalogued records. A search engine allows for the whole site to be interrogated, delivering results from the catalogue, exhibitions and stories.

## ➤ OTHER EUROPEAN PROJECTS

### The CALIMERA project

[www.calimera.org](http://www.calimera.org)

Calimera is a co-operative project of cultural institutions (public libraries, museums and archives). It builds upon the achievements the PULMAN Network of Excellence that has already set the scene for promoting best practice among local institutions throughout Europe and will provide a basis for the CALIMERA agenda. The project will also develop synergies with related activities in the area of Heritage for All and recently agreed networking ventures [CHIMER](#), [CIPHER](#), [COINE](#), FP 5 projects and networking actions such as [ACTIVATE](#), MUSICNETWORK, [TRIS](#), [BEASTS](#), SEIN, and recently agreed networking ventures under FP6 such as BRICKS, [DELOS](#), EPOCH ,and [PRESTOSPACE](#). CALIMERA will also benefit from the recommendations and guidelines on digitisation that [MINERVA](#) is developing to address the needs of local institutions.

The summary of strategic objectives:

- Ensure that local cultural institutions benefit from and contribute to the goals of the Information Society Technologies RTD Programme 2002-2006 by developing their capacity and competence. Go to [RTD FP agenda](#)
- Encourage local cultural institutions to participate in future calls for proposals by coordinating the strategies developed by local authorities, identifying research issues, establishing joint working groups and facilitating discussion for a, bringing together stakeholders including professional networks, national and local authorities and industrial players.
- Coordinate and mobilise local cultural institutions for their new role as key players in transforming innovative technologies into helpful services for ordinary citizens, including all types of user from children, to employees and pensioners, into the Information Society, putting European cultural heritage at the service of the citizen. Go to [Citizen's Charter](#)
- Promote the position of local cultural institutions as intermediaries between technological modernisation and end-users, creating and delivering access to environments for intelligent heritage and cultural tourism, identifying a framework for focused research on usability and ease-of-use. Go to [e-Europe 2005](#)
- Contribute to strategies for preserving the European collective and community memory in all its variety, contributing to a knowledge-based economy in Europe.
- Increase sharing of best practice among local institutions by producing guidelines and benchmarking tools and preparing high-impact dissemination activities.
- Participate in the extension of the European Research Area, especially by nurturing the involvement of the countries of South East Europe that may be the next candidates for EU membership.

### **The SEPIA Project**

<http://www.knaw.nl/ecpa/sepia/home.html>

The Public Record Office (now The National Archives, TNA of the United Kingdom) was one of the original partners in the SEPIA project, Safeguarding European Photographic Images for Access, which ran for one year as a pilot then for a further three years, ending in September 2003. The SEPIA project was led by the European Commission for Preservation and Access (ECPA) in Amsterdam, which is supported by the Royal Netherlands Academy of Arts and Sciences (KNAW). Besides ECPA and TNA, the project had partners in the Netherlands, the UK, Spain, France, Germany, Denmark, Sweden, Finland, Norway, Poland and Ireland. The project sought to ensure the preservation of original photographic collections held in European institutions (archives, libraries, museums, art galleries, research institutes) and at the same time to encourage their availability to the public by means of computerised cataloguing systems, digitisation and Internet dissemination. The project held two international conferences (in Kew and Helsinki) and several meetings of experts on specialist topics (including cataloguing, in Stockholm and Madrid, preservation issues involved with the digitisation of photographs, in Paris, and the ethics of digitisation, in Kew). It organised training for trainers on the preservation of photographic materials and published an on-line exhibition of photographs drawn from partner collections on the theme 'Constructing Europe'. It also published (on-line and on paper) SEPIADES, a set of recommendations for the cataloguing of photographs; resource materials for the training of trainers; a book on the care of photographs; and proceedings and conclusions of the various conferences and expert events. ECPA still maintains the SEPIA website at:

<http://www.knaw.nl/ecpa/sepia/home.html>

### **EUAN-European Union Archive Network**

<http://www.euan.org>

Is a project funded by the INFO2000 program of the European Commission whose members are: National Archives of Scotland (co-ordinator), National Archives of Sweden, National Archives of Italy, International Institute of Social History in Amsterdam, and the Scottish Archive Network Ltd. The EUAN project examined both centralised and distributed means of exchanging data from archive catalogues and concluded that using fonds level descriptions as the basis for advertising archive holdings to users and potential users is a valid one. The project built a simple working model based on harvesting XML descriptions at fonds level and presenting them on a single server. This showed how a system might work as a means of resource discovery.

### **EAN project**

<http://www.european-archival.net/>

European Archival Network (EAN's) site creation was initiated on May 15, 1998 at the European Summit on Archives, in Berne, Switzerland, organized by the European Board of the International Council on Archives (ICA). The Swiss Federal Archives are the site's webmaster. EAN provides an information host for all European archives, a search platform for and about archives, and exchange and contact platform for archives throughout Europe and the world.

The EAN currently embraces 49 European countries and three other countries (USA, Canada, Israel). Archival institutions are listed in accordance with the recommendation to have basic

information about the institution in a standard form (The Swiss Federal Archives submits a proposition in this matter). Each National Archives is encouraged to adopt the standard ISAD(G) for the description of its record groups on the Internet.

### **LEAF- Linking and exploring authority files**

<http://www.crxnet.com/leaf> and <http://www.library.yale.edu/eac/>

The LEAF project started in March 2001, co-funded by the European Commission Information Society Technologies Programme and is developing a model architecture for a distributed search system harvesting existing name authority information aiming at automatically establishing a user needs based common name authority file. The three major objectives of the LEAF project are: a) provide shared access to authority information for all involved (cataloguer, reference librarians, end users, etc.); b) improve the quality of existing authorities; c) improve search and retrieval functionalities of a variety of applications. The methods/steps chosen to reach these objectives are: upload distributed authorities to a central system; link authorities which refer to the same entity; annotate authorities to improve content and provide additional information; support external services; save search results in a pan-European "Central Name Authority File". When the user finds an authorized name in the LEAF-database and wants to know more about the information connected to the authority record he or she follows a link to the repository where the information can be seen in context. An important part of the LEAF-project is the XML application Encoded Archival Context (EAC) for "describing the circumstances under which records have been created and used. This includes the identification and characteristics of the persons, organizations, and families who have been the creators, users, or subjects of records, as well as relationships amongst them.

### **ERPANET:**

[www.erpanet.org](http://www.erpanet.org).

A virtual clearing-house and knowledge base for the preservation of cultural heritage and scientific digital objects. Partners: University of Glasgow; Institute for archival and library science, Urbino; Schweizerisches Bundesarchiv; Nationaal Archief of the Netherlands).

### **OAI-Open Archives Initiative**

<http://www.openarchives.org>

The Open Archives Initiative develops and promotes interoperability standards that aim to facilitate the efficient dissemination of content. The OAI has its roots in an effort to enhance access to e-print archives as a means of increasing the availability of scholarly communication. Continued support of this work remains a cornerstone of the Open Archives program. The Open Archives Metadata Harvesting Protocol consists of six requests or verbs. The protocol is carried within HTTP POST or GET methods. The intention is to make it simple for data providers to configure OAI conformant repositories by using readily available Web tools such as libwww-perl9. The structure of all OAI requests are base-url and keyword arguments. The actual version of the OAI protocol (OAI-PMH V2.0) supports Dublin Core as the exchange format. The OAI initiative has been especially focused on bibliographic metadata, but the potential to use it also for the exchange of authority metadata has been in the agenda.

## **2e PRACTICAL ASPECTS OF ACCESS: READING ROOM STANDARDS**

**Proposed concrete actions :**

- 1. To examine and coordinate proposed reading room standards for archives services throughout the European Union**
- 2. To co-ordinate measures preventing the theft of archival documents**

**Future orientations:**

- 3. To examine the possible establishment of comparable reading room standards and the introduction of a general user card for archives in the EU-Member States and at the European level.**
- 4. To examine the establishment of a virtual reading room (see also chapter 2 b).**
- 5. To reinforce the educational use of archives onsite and online**
- 6. With regard to the development of an action plan for coordinated measures against theft of archival documents, it is estimated that € 30.000 (specialized staff for 1 year) will be required.**

### **INTRODUCTION**

Providing access to documents and archives is one of the most important functions of public archives services; access to public archives is a right for everyone. Traditionally consultation of archival documents takes place in reading rooms. The reading room is in effect the public face of the archives service, and almost all back office activities have their effect on the reading room service. It is therefore important that this part of the service receives attention, and is made as professional as possible.

More and more access to documents and archives includes making use of the Internet. This is especially the case when searching for quick answers to (relatively) simple questions and in preparation of research. Despite the fast growing amount of finding aids and archives offered on the Internet, the in-person visit to a reading room will still be necessary for a considerable time to come, as it is not realistic to expect that enough budget to digitalise all older paper archives will become available. Making use of the possibilities of the Internet can however greatly facilitate the access.

## **I. READING ROOM STANDARDS**

### *a. First orientation*

In all the EU-Member States the National Archives have a website with general information for the public. The content of this information varies highly. On some website most attention is given to the history of the institution, other websites offer a full range of information and services. Almost all websites also provide some information in another language than the official language of the country. For visitors from other countries it would be helpful if at least certain basic information were offered in more than one language. Depending on the region where the archives service is established this information should be offered in English, French and/or Spanish.

To facilitate use it is advised that a common format be developed for presenting information on practical matters such as the address and opening hours of the archives, the access formalities, the reading room regulations, the availability of certain services (research, reproductions, sale of publications etc.) and the (existence of a) repository guide. A step further would be an on-line European archives guide for all European Archives services with their holdings.

### *b. Opening hours*

Opening hours and the hours during which documents are produced for consultation vary greatly. In the report *Archives in the European Union* of 1994 a minimum of 40 hours a week was recommended for National Archives. This is however not everywhere the case. At the moment the opening hours of National Archives in the 25 EU-Member States vary between 26 and 61 hours a week; in six countries National Archives are open less than 40 hours a week. During all opening hours qualified staff should be available to guarantee professional service.

### *c. Access formalities*

For visiting archives reading rooms there are certain access formalities to fulfil. It saves time of visitors and of archives staff when this kind of information is found on the Internet. Although this is already the case for most National Archives and other large archival institutions, this information is not always easy to find on their websites. The formalities are also far from identical.

It is common practice to register visitors. The registration systems, be they manual or electronic, should be protected under privacy legislation. The use of these registrations for statistical reasons should be clearly communicated to the visitors. A common policy on statistics (what to register and how) is recommended

It is advised that a study is made of possible harmonisation of access rules throughout the European Union and that a common format for presentation of practical user information on the Internet be developed

### *d. Limitations to access*

In matters of access to archives it is very important that all users should be treated equally. Preference to any category of users on the basis of nationality, education or type of research

should in all cases be avoided. As far as can be seen there is now only one Member State in which a certain group of archives is excluded for consultation by foreign visitors.

In all archive services there is a growing number of archives with limited access. This can be because of official rules, privacy legislation, but also for reasons of preservation of original documents. It is important that the rules regulating this, as well as the possible ways to obtain an exception to existing limitations, are made clear to all users. It should be made clear that permission to consult does not automatically involve permission to obtain reproductions. Therefore the use of digital cameras, hand-held scanners, GSM cameras etc, should be forbidden. In some circumstances a special safe room for consulting documents with limited access is recommended.

#### *e. Consultation of documents*

A good record should be kept of the documents ordered by visitors, preferably electronic; this registration has to be available for some time after consultation, in order to trace missing documents.

For practical and safety reasons many archives services limit the number of items visitors can request at one time. In 1994 a minimum of three items per consultation was recommended. In general it is however better not to limit the number of items per consultation, but to limit the number of documents a visitor may have on his desk at the same time (this should never exceed three documents). As this is a great handicap for certain types of (serial) research, there should be criteria or rules for exceptions.

At all, or at least almost all, of places in the reading room electricity should be available in order to enable visitors to make use of their laptops.

#### *f. Protection of original documents*

Consulting original documents may damage them. There are a number of special measures which can be taken when visitors are working with original documents, such as writing with pencils only or using a laptop and wearing gloves. Also more and more archives services are excluding fragile or widely used documents from consultation in the reading room and are instead providing a user copy on microfilm. In these cases attention should be paid to quality control of the reproductions. From preservation point of view photocopying of documents should be discouraged and replaced by scanning. Apart from these measures attention should also be given to climate in the reading rooms.

It would improve the awareness of the importance of long term preservation of documents if the same rules were generally used in all reading rooms in the European Union.

#### *g. Guides and research tools*

To work with archives a finding aid is required. The absence of a finding aid should never be used as an excuse to deny access to the documents. It greatly helps users when finding aids can be consulted in other places than the reading room of the archives services only, for instance in a library or preferably on the Internet. For important archival holdings, as well as for important archives services the availability of a bilingual or multilingual user guide is recommended.

Access to electronic archives is a new problem for visitors of the reading room. It is advised that reading room staff is able to give instruction on the practical side of consulting these

archives. On European level a study can be made on harmonisation of the instructions for the user.

#### *h. User services*

Traditionally archives services provide the information service and produce reproductions on request. With the introduction of internet and e-mail these services have to be re-evaluated. Requests for information are more and more sent by e-mail, the questions are often not very specific and users expect the answers quickly. Under these circumstances it is wise to reach consensus on how far the archives services can and should go.

Reproductions (traditional products, as well as digital copies and scans) can be ordered at all National Archives. The on line information on the possibilities, on prices, on the ways to order reproductions and on the time of handling can be greatly improved. Information about the reasons why money has to be paid in case of publication of reproductions is hardly ever given. Opening times of the reproduction services should preferably be the same as those of the reading rooms. It is advised to have criteria and a procedure for the handling of really urgent reproduction orders.

## **II. MEASURES AGAINST THEFT**

More and more archival documents have a commercial value and although most archives services have improved their safety measures, theft remains a serious problem.

There are several reasons for this phenomenon. On the one hand there is the considerable increase in the number and the nature of the readers using archive material over recent decades. On the other hand, the market value attained by such documents encourages criminality. The prices realised by certain documents at public auctions can only encourage the development of a trade in autographs now that they have an investment value.

In addition, in recent years, specialist networks have developed. These networks whose existence has only just come to notice, bring together thieves, receivers of stolen goods, and professionals of doubtful reputation who can provide a commercial outlet for documents removed from public collections. Recent cases have shown that the theft of documents, clearly listed as being in public archive services, can be carried out to order for corrupt professionals.

#### *a. Reading room security*

It is possible to make improvements in security by means of appropriate reading room architecture and stricter security measures. Apart from asking for proof of identity from all visitors and providing duplicates instead of original documents, there are various precautionary measures that can be taken in reading rooms like camera observation, not allowing bags or folders in the reading room, providing the visitors with special paper, weighing the amount of paper taken in and out of the reading room (but note that the weight of paper can vary depending on the environment conditions), etc.

It is recommended that visitors always identify themselves with their archives card (with photograph) when getting documents and that careful registration of all requests for consultation of documents is kept, so that even after a longer time it is clear which documents were consulted by which visitor. Reading room staff should keep close observation. A

detailed description of archival holdings is helpful when proof of ownership of stolen documents has to be given.

### *b. Prevention of theft and illegal trade of archival documents*

For the prevention of theft there are a number of measures that can be taken, such as:

- an obligation for antiques dealers to keep a register of their objects and the provenance of these;
- a request that notaries report the existence and whereabouts of (important) private archives, found in heritages;
- the formation of a specialised police force, as already exists in certain countries;
- the monitoring of catalogues of antiques sales;
- registration of the consultation of valuable archives in reading rooms of archives services;
- immunity for bona fide people who have come into possession of stolen archives and bring these back to the archives service.

It is urgently recommended that a comparative study of the effectiveness of the various measures is carried out. Between archives and libraries the exchange of information on theft and thieves can be improved.

A special danger threatens private archives, which are not always meant to be kept in public archives services. In some countries there is a market for trade in private archives. At these antiques fairs also documents stolen from public archives can be found.

The struggle against illegal traffic in old documents whether at national or at European level has scarcely begun. Experience with various reclaiming processes, for instance those by the Directorate of French Archives, show the current lack of preparedness of most archive services when faced with a theft or with the need to make a claim.

It would appear from recent experience that national archival administrations have only limited means at their disposal for the recovery of these constituent parts of their national heritage. In practice these documents, even if they are of an indisputably public nature cannot be reclaimed if they are put up for sale abroad. Even though the European Union directive allows the exercise of such a claim in the case of documents which left their land of origin after 1993, it would seem practically impossible to determine as a matter of fact the date on which the document left the country, except in the case of obvious theft.

The danger is that in order to avoid the process of claim in the country of origin, unscrupulous traders will put documents up for sale abroad, and that this practice will expand for lack of means on the part of archive administrations to do anything about it.

### *c. European co-operation*

It is desirable and even urgent in these circumstances that there should be Europe wide co-ordination in drawing public attention to such practices, so as to enable countries to regain possession of heritage items which have been removed from public collections.

This co-operation could include the following elements:

- a sharing of precise information about arrangements in place in each member state of the Union for reclaiming such material,
- creating a European database of stolen documents, comparable to the database of stolen works of art,
- greater co-ordination between archive services, and judicial and police authorities so as to counter the setting up of networks of receivers,

- a collective approach to the different governments in Europe with a view to drawing their attention to this worrying situation, and to investigating ways in which the national heritage can be better protected.

### **III. A EUROPEAN USER CARD**

Almost everywhere visitors have to give proof of identification before they can visit the archives service. Often they have to get a user card. In most cases these cards can only be used for visits to one archives service. Experiments in some countries with a national archives card, which can be used at a great number of public archives, should be closely followed. It would be worthwhile if a European group could be set up to examine the possibility to have comparable minimum standards for a user card for archives in the EU-Member States.

### **IV. TOWARDS A VIRTUAL READING ROOM**

It is increasingly the case that users of archives start their research on the internet. A big step ahead in offering access to archives should be the establishment of a (European) virtual reading room, this term here being used in the broader sense, meaning consulting all archival holdings on line, not only access to electronic records. As a first step guides and finding aids have to be available on line, but in future it should be possible to consult the documents themselves. For this a European format would be helpful (see also chapter 2c "Access on-line to documents and archives and new research tools").

### **V. EDUCATIONAL USE OF ARCHIVES**

Depending on the cultural tradition in the country, Archives Services focus on educational activities like exhibitions, visits and guided tours, publications and courses. By making a distinction between the various user groups and by adapting the products to the interests of these groups a larger number of the public can be brought into contact with the archives. Especially young people with a general interest in history and/or in other research topics, can be reached by making use of the Internet. The schools can be helped with on line courses and documents for use in the class room. A step further would be to create a "historic market place", an interactive website where every professional and amateur researcher can insert their observations, transcriptions, indexes, references to other finding aids.

Reinforcement of education is much needed. It is an important way to bring the European citizen in contact with European archival heritage of the various EU-Member States.

## **2f APPRAISAL AND SELECTION OF DOCUMENTS**

### **Proposed concrete actions:**

- 1. To organize appraisal visits and periodic exchanges of information on the appraisal and selection of documents between the concerned Archives Services of the EU-Member States and EU-Institutions, with particular focus on EU-documents.**
- 2. To carry out case studies on the appraisal and selection of documents in different EU-Member States, based on a multidisciplinary approach.**
- 3. To disseminate expertise on documenting appraisal decisions at national and European level (for example, via INSAR European Archives News).**

### **Future orientations:**

- 4. To investigate the possible development of national and/or European model requirements (= procedural model) for the appraisal and selection of documents.**

### **Introduction**

In the area of appraisal and selection of documents significant differences exist in national legislations and regulations, especially the field of activity of the national archives service. At the time of crescent overlapping of administrative, social, economic etc. processes inside the European Union, European recommendations would be very helpful in increasing this field of activity, to improve the quality of appraisal and to adopt archives collection strategies based on a large and scientific study of the process of creation of documents.

In the majority of the EU-Member States policies for the collection of archival material is decided on a nationwide level while the European Union is determining its own policy. Cooperation between all concerned EU-Member States and with the European Commission in view of co-ordinating European strategy and national strategies would be very positive within the framework of the internet sites or with other methods.

All EU-Member States use sampling techniques, especially for (case files). However, nobody can affirm that this practice (with its so many different methods) is really effective or necessary. Research and discussion, within the framework of INSAR, would be very useful, as the stakes are high, especially for appraisal and disposal of electronic records.

### **Law and regulations in the area of appraisal and selection of documents**

In the majority of European countries, general principles of protection, preservation and archiving of records are governed by archive legislation. However, these legal provisions refer primarily, to the transfer of materials of historical value to national archives, for permanent preservation. They are generally not precise about selection criteria, nor about where responsibility lies and the process of appraisal and selection.

Moreover, the field of activity of the National Archives Service varies across countries:

- in some countries the National Archives Service is responsible for the whole life cycle management of public documents and archives, in others the responsibility rests with the creating agency or institution until transfer to the Archives Service; the latter has more or less power over the appraisal and disposal of these documents and archives.
- in some countries the responsibilities of the National Archives Service do not cover the entire country and concern only the documents and archives of the central government, local governments having their own laws and regulations (this is not only the case in federal countries) ;
- in some countries the principles and procedures of the appraisal of documents of legislative bodies are excluded from any supervision on the part of the National Archives Service ; it is also often the case for the documents of the Ministries of Defence and Foreign Affairs ;
- significant differences exist in national regulations on the appraisal and selection of documents created by bodies which exercise public tasks such as schools and scientific institutions or private entities, or political parties ;
- in some countries the practice of documents management, apart from Archives Services or in coordination with, is developed, in others not yet, which leads to big differences in the approaches and processes of appraisal ;

As well as the law on archives, which sets out standards of a general nature, various countries have other laws which regulate the principles of the preservation of different types of documents and which have to be taken into account by the National Archives Services, even though they were not involved in the developing the legislation. In all the countries special provisions cover public registry documents (births, marriages, deaths registers). More rarely, separate provisions relate to documents of a fiscal character, to documents about the natural environment, pension security, health insurance, employment, public statistics etc.

Likewise it seems that the National Archive Services were not always involved in the incorporation of the 1995 EU Directive on Data protection into national legislation, even though it was so essential to introduce the possibility of preservation of personal data for historical, statistical or scientific use.

### **Approaches to Appraisal**

Appraisal, the process of evaluating actual or potential acquisitions to decide if they have sufficient long term research value to warrant the expense of preservation in an archives, is fundamental because it determines what documents will be kept and what documents can be destroyed.

There are many approaches to appraisal. The main basic strategies that are used to manage appraisal are: inventory and scheduling, functional appraisal.

The first approach involves a thorough survey and description of all documents created by an administrative or equivalent entity. The description includes information about who created the documents and why, as well as information about the uses and contents of the documents. Once described, the information is analyzed in the context of primary and secondary needs to produce minimum retention periods and to identify documents of potential enduring value. The focus is typically on the documents themselves. This approach, largely developed in all countries, tends to ignore relationships among separate agencies and their documents.

With the second approach an effort is first made to assess the relative importance of the business functions and resulting activities of the government organization. Functional appraisal begins at the highest level of an organization and looks across the organization at functions regardless of administrative boundaries. The ultimate result is the identification of functional business units. The archivist then proceeds to identify and evaluate the documents created within the framework of these units. This approach was adopted by many European countries in a variety of forms. In some countries (in Germany, in France and in many Central and Eastern European countries for example) the functional approach was sometimes extended beyond functions of an organization to assess the importance of a function to society in general. This extended functional approach led to a greater attention to the informational value of the documents and archives.

In fact, in most of countries, the two approaches are used simultaneously. And, in some countries there are national strategies, which aspire, more or less, to include private institutions and individuals both in the administrative and legal area as well as in political, economic, social, religious, scientific, cultural, sports ... area.

However the existence of European programmes and institutions which concern all the countries and which inevitably impinge on national politics and on public and private activities at the national level, do not seem to have influenced the practice of appraisal of documents in the EU-Member States. Each country is developing its own strategy without understanding what is done in the same area in other countries and in European institutions. Coordination and harmonization in our strategies would certainly contribute to the constitution of a common European archival heritage, and result in an harmonious coexistence between archival holdings in the National Archives Services and those in the EU-Institutions.

### **Sampling of documents / Appraisal of electronic records**

Sampling is a form of appraisal/disposal which is used especially in connection with large series of documents. Sampling aims at securing a sample of, with regards to the whole population, inferences (whether using statistical methods or not) about the document creator, its duties and tasks, its operational setting as well as about the form, functions and content of documents.

A sample is meant for permanent retention and it is supposed to serve as a basis for inferences about the characteristics and content of the totality of documents; it is judged to be appropriate as regards the objectives and methods of future research and to be generally interesting from the research point of view.

The basic problem of sampling is to choose the right technique and to determine the size of sample. Most common sampling methods applied are:

- systematic (or numeric) sampling method, referring to a technique where the first piece of a sample is determined at random and after that one proceeds by using intervals which are in proportion between the sample and the base ; this method is one of the most used sampling methods because of its mechanical simplicity. ;
- chronological sampling method, employing the date of documents as a principle ;
- random sampling method, based on the use of tables of random numbers or some such methods

Other sampling methods are :

- alphabetical (for personal files) sampling method ;
- topographical sampling method, including sampling based on the types of archives and series as well as techniques based on areas (creators, territories etc) ;
- birthday sampling method, used in the Nordic countries, based on the principle that the documents connected with people born on certain days of each month are retained for permanent preservation ;
- qualitative or purposive or selective sampling method, characterized by subjectivisation.

In the appraisal and disposal of documents one can use more than one method at the same time or in succession.

Sampling is an option when

- the information content of records is relatively thin and/or the amount on unique information is small ;
- the documents are relatively uniform as regards formats and partly as regards contents ;
- the volume of records is great

In this last case the question of the necessity of sampling is coming out when most of the files which give rise to sampling are transferred to electronic environment. Until now appraisal theory has only started to consider the appraisal and selection of electronic documents. Many archivists seem to think that a different approach for appraisal of the latter is not really necessary, except the timescale in which effective action can be taken to select and preserve records.

However, in this field, there are a lot of studies to do, concerning the sampling of paper documents and concerning the appraisal and sampling of electronic documents.

## **2g DOCUMENT AND ARCHIVES MANAGEMENT**

### **Proposed concrete actions:**

- 1. To support European cooperation in the field of document and archives management, in particular DLM-activities (see chapter 5b "Interdisciplinary cooperation on electronic archives: DLM-Forum, norms, best practices").**
- 2. To promote training in document and archives management for administrative services and users, with particular emphasis on the document life cycle.**
- 3. To propose measures which will promote a better understanding of the different administrative traditions in Europe.**

### **Future orientations:**

- 4. To examine how professional networking activity in the area of document and archives management may be progressively increased.**

### **1. Why do we need coordinated Document and Archives Management?**

Coordination and efficiency of document and archives management, is essential for administrative efficiency, transparency, legal accountability, efficient information service and preservation of the European archival heritage.

#### **1.1 Definitions**

There are a number of definitions of document (and archives) management. The International Standard on Records Management (ISO 15489) has a definition that contains the following essential elements :

field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records.

Archives management traditionally covers the historical part of the documents' life-cycle. Archives management takes care of the documents which have been determined to be preserved permanently and thus transferred to archival institutions. Before the transfer of these documents to an archives service takes place, the duty of looking after them has to be carried out by the creating administration. The concept of archives management usually includes arrangement and cataloguing of archives, information service connected with them, building matters, equipment etc. In countries where the concept of archives covers also current documents, archives management may include functions that are in fact document management functions.

The concept of life-cycle is important in connection with document and archives management. The life-cycle comprises four basic phases: creation or receipt, maintenance, use and disposal (i.e. destruction or transfer to an archival institution) of documents. Instead of life-cycle the term continuum is sometimes used in order to emphasize the interrelatedness of the phases.

It should be emphasised that in many countries archives management is (with or without document management duties) part of the functions of administrative agencies and not just those of archival institutions.

## 1.2 Needs and Benefits

There has been a tendency to see document and archives management as distinct functions the tasks of which are fundamentally different. This division is not tenable today.

The advent of electronic information systems and materials emphasises the need for coordination. If archival considerations are not taken into account while planning and creating systems, the long-term preservation and use of electronic documents may prove impossible. Appraisal and disposal, techniques for long-term preservation of information in electronic form and the possible need for printouts (paper, microfilm) for long-term preservation are among the issues that must be dealt with already in the planning phase. If they are left to be dealt with at some later stage, the solutions available then can be very complicated and expensive.

It should be emphasized that electronic form does not render appraisal and disposal of documents unnecessary. If unlimited and indefinite growth of information in databases, document management systems etc. is allowed, it will affect the preservation and usability of the information on the long run.

In spite of the IT revolution the amount of archives in traditional media (e.g. paper) is growing steadily, too. If there is no coordination between document and archives management, the consequences can be catastrophic. The way documents are registered and preserved during the active phase has a fundamental effect on access and disposal later on. As regards appraisal and disposal, the way documents are kept throughout the life-cycle is of crucial importance. If documents that have different retention periods are preserved together in a mixed way it can be very labour-intensive to identify and separate the permanently valuable material for archival preservation. Record-keeping systems should take this point of view into consideration and structure document series and other wholes of recorded information accordingly. The guiding principle should be that the basic structure of an archive be created during the early phases of the life-cycle when document management is in charge. Business classification schemes (fileplans) can be used to reach this goal. Besides making appraisal and disposal easier this has the additional potential benefit that costly rearrangements can be avoided during the historical phase of the documents.

There are some definite benefits that result from coordinated document and archives management. They are connected with

- transparency, freedom of information, legal accountability :  
Document and archives management have a major role in realizing administrative transparency and the principle of the freedom of information. If documents and archives are in poor condition the right to consult them can become a dead letter. The same applies to the legal accountability of agencies, too. Accountability is based, to a large extent, on documents. These considerations are relevant in all the phases of the life-cycle of documents which means that coordination of document and archives management is of vital importance.
- administrative efficiency, well performing information service, reduction of costs :  
Carefully planned and concerted document and archives management enhance administrative efficiency and reduce costs. Information is found more easily from archives (both current and historical) which are in good order, which have sufficient finding aids and which have been disposed of documents whose retention periods are expired. The enhanced performance of the information service benefits both internal and external customers i.e. the administration itself and the citizens. The reduction of costs is connected with quicker service, reduction of the masses of documents (disposal) and better management of electronic systems and materials (costly retrospective measures can be avoided). Document and archives management must work closely together if these goals are to be achieved.
- European archival heritage :  
Cooperation between document and archives management is necessary also in order to safeguard the European archival heritage. Part of the documents produced by administrative agencies and other organisations constitute archives that will be preserved permanently for scientific, legal and cultural reasons. The whole life-cycle of the documents must be planned in advance in order to be able to identify the documents and archives which will be transferred to archival institutions according to predefined rules either in paper, electronic or multi-media form.

## **2. Situation of document and archives management in the EU-Member States**

The situation regarding the relations of document and archives management in the public sector varies considerably in the EU-Member States. Also the role of the National Archives Services with regard to guiding and supervising administrative authorities in the area of document management is different. This is due to different administrative and archival traditions which are reflected in the legal framework of the respective countries.

In some Member States archival legislation and related laws contain direct stipulations on document management. Besides this, most archives laws contain elements that are relevant with regard to document management although direct references to it are lacking. The different archives legislations usually authorise the respective National Archives (or similar authority) to guide and supervise administrative authorities in archival matters, including often also document management or some aspect of it. Document management can also be regulated by special laws, decrees or ministerial regulations. In some countries Freedom of Information legislation emphasizes the importance of document management.

There is a great variety in the Member States regarding the legal and statutory basis of document management. There is a clear tendency, however, to strengthen the position of document management and define its relation to archives management. One can maintain that even the existing legal frameworks, varied as they are, give possibilities to develop document management and coordinate it with archives management.

Also in the field of the education and training of document and archives management there are many differences between the Member States. Archival education and training are well established in most countries. The status of document management seems less well established. It is often included, in varying degrees, in archival training programmes, but in different countries it still seeks its place in the educational field; this is especially true in higher education.

Coordination of document and archives management has to play an important part in educational and training programmes. The basic principles and methods should be shared between the two related professions of archivists and document managers in Europe.

### **3a. THE ROLE OF THE ARCHIVIST AS THE GUARDIAN OF THE MEMORY OF SOCIETY**

#### **Proposed concrete actions:**

- 1. To promote the principle that archivists in the 21<sup>st</sup> century should cover the full continuum of the Document Life Cycle.**
- 2. To organize study visits and/or traineeships of archivists in EU-Member States and EU-Institutions.**
- 3. To develop further the role of the archivist as the guardian of memory of society, in accordance with professional ethics, throughout the EU-Member States and EU-Institutions.**
- 4. To support actions which will enhance access to the collective memory of society in Europe.**

#### **Future orientations:**

- 5. To strengthen the part played by archivists in Europe-wide collaboration with other disciplines, including ICT-experts and other information specialists.**

#### **1. Society and the archivist in the 21<sup>st</sup> century**

As discussed in Parts 1 and 2 of this Report, Archives Services play a fundamental role in society, through four key functions, specified by the XXXVIth International Conference of the Round Table on Archives CITRA 2002:

- (a) They guarantee the sound functioning of public and private, administrative and commercial organisations
- (b) They preserve the memory of society by constituting the sources of its individual and collective history
- (c) They provide individuals and states with the evidence that enables them to justify their rights
- (d) They enable citizens to exercise their right of access to official information and governments to account for their actions

From opinion polls and other sources we know that members of the general public, in many countries of the European Union, value archives highly, associating archives with Memory and History. Paradoxically, for most people this positive perception is not based on first-hand experience with visiting an archival institution. The public considers archives as part of the collective memory and as a source to learn about the past. Important as these functions of

archives are, they constitute only a part of the mission of the archivist. The archivist in the 21st century has to ensure not only that documents and archives are created and managed as evidence to serve accountability and memory, but also that documents and archives are secured, so that Society can be confident of the future. Archiving - all the activities from creation and management to the use of documents and archives - means: transmitting authentic evidence of human activity and experience through time.

To what extent is one entitled to speak of the role of the archivist, rather than of the role and functions of Archives Services? Archival legislation generally makes no specific reference to the role and duties of the archivist. In most countries the role of the archivist can only be inferred from the regulations concerning the National Archives or National Archivist. The International Council on Archives' Code of Ethics, however, and several manuals and documents from professional associations do specify or imply expected functions or roles of the archivist. They may be summarized as the roles of the archivist as the guardian of the memory of society (linked to the above mentioned key functions a and b) and as provider of authentic information and his relations with the public: towards more democracy, accountability and good governance (linked to the above mentioned key functions c and d).

## **2. The role of the archivist as the guardian of the memory of society**

This role encompasses more than acting as a trustee for the archives created by public administration, and the activities associated with governmental archives (see chapter 1c). The memory of society is not only located in archive services, but in a host of resources, constituting a framework of local, regional, and national memories and histories but also of the histories and identities of political, religious and other social groups, as well as the living histories of individuals and families. People collaborate in collecting, preserving, describing, and enriching cultural memories. In these collaborative communities the role of the archivist in the 21<sup>st</sup> century will develop into one of a broker and co-designer of cultural memories.

## **3. Professional associations of archivists in the 21<sup>st</sup> century**

Because of the specificity of documents and archives the archivist is faced with ethical challenges resulting from conflicting interests of government and citizens (access, data protection, etc. – see Part 2). In coping with these challenges, the archivist has to rely on and to account for his actions to professional associations. These associations should be self-governing and independent from public archival authorities. The establishment of such professional associations in all EU-Member States and co-operation between professional associations should be promoted. Archival legislation (see Part 2) should include specific reference to the societal roles of the archivist. Provision has also to be made for resolving professional ethical questions, by stressing the archivist's point of view and by calling, when required, upon the support of archivists associations in the EU-Member States.

### **3b. THE ARCHIVIST AS PROVIDER OF AUTHENTIC INFORMATION AND HIS RELATIONS WITH THE PUBLIC: PROMOTING DEMOCRACY, ACCOUNTABILITY AND GOOD GOVERNANCE**

#### **Proposed concrete actions:**

- 1. To organize study visits and/or traineeships of archivists in EU-Member States and EU-Institutions.**
- 2. To encourage the exchange of professional information and expertise by means of conferences, seminars and meetings on accountability and good governance.**

#### **Future orientations:**

- 3. To examine how the archival profession can contribute to the implementation of social, economic and human rights throughout the European Union.**

#### **1. The role of the archivist as provider of authentic information and his relations with the public**

Providing information from archives transcends providing data that can be retrieved by pushing buttons. People are looking for information that may connect them to other people. They use the Internet to connect with 'serious content', to give meaning to their own past or present or future. The archivist is challenged to demonstrate that archives in this respect are not inferior to the Internet and can offer even richer possibilities. Archives services provide a public sphere, where people meet, contest, discuss, exchange information, and use information in their critical dialogue with the dominant discourse within civil society.

Archives, libraries, museums and other memory institutions, they all connect with the minds and the memories of people. But what distinguishes archives from all other memory institutions is that the individual, organizational and collective memories they preserve are not defined in terms of a cultural heritage: they are situated on the evidential axis of the Life cycle continuum. Documents and archives embody the nexus between evidence, accountability and memory.

#### **2. Promoting democracy, accountability and good governance**

Without evidence no accountability and no memory. Accountability and memory reside in documents and archives, because documents and archives are evidence: not only evidence of transactions, not only evidence in the legal sense, they are also evidence of some historic fact that

is either (a) part of the transaction itself or (b) that may be traced via the transaction or (c) that is otherwise embodied in the documents and archives, and their archival characteristics. Documents and archives serve as evidence of a transaction and as evidence in an external corporate or individual memory. Both are evidence, with one side supporting accountability, the other memory. Archivists and Archives Services should emphasize in their public programmes these double evidential qualities of archives because they are less well understood by society than the cultural values of archives.

Openness is a prerequisite for accountability and good governance (see chapter 2a). As the European Parliament states “Openness enables citizens to participate more closely in the decision-making process and guarantees that the administration enjoys greater legitimacy and is more effective and more accountable to the citizen in a democratic system.” One of the ways to achieve openness is opening documents and archives, which, as stated in chapters 1c and 2a, makes retraceable what was done and why. Archivists should promote access and respect privacy, especially the privacy of individuals who are the subjects of documents and archives.

### **3. Challenges for the archivist in the 21<sup>st</sup> century**

In EU-Member States the role of the archivist is expanding. New social priorities and the new technologies are the main factors that lie behind this expansion of the archivist’s role in the 21<sup>st</sup> century. Changing societal expectations of the roles of the archivist in the 21<sup>st</sup> century are activated by the increasing irrelevance of constraints of place, time, and medium in “the age of access”, made possible by modern information and communication technologies. These facts increase citizens’ expectations of free access to authentic information 24 hours a day, seven days a week, wherever they happen to be.

In nearly all the new EU-Member States thousands of citizens have discovered public archives recently as a source of evidence enabling them to justify and exercise their civic and human rights. This role has, however, been less visible in other countries and is not yet sufficiently acknowledged by society as a prominent function of the archivist.

The challenge for archivists, particularly in the new EU-Member States, who are using their recently gained societal prestige (as provider of evidence to sustain human and civic rights), is to strengthen and develop their other roles. Moreover, since they were formerly identified with the regime and the State, they have now, under the rule of law, to refigure themselves into custodians of archives ‘of the people, by the people, and for the people’. The specific duty of the archivist is to provide the appropriate content and context so that citizens can be guaranteed that the information they receive is authentic.

Archivists in the other Member States, while taking advantage of the experience of their colleagues in the new Member States, should at the same time put their expertise in fulfilling the role of guardian of the memory of society at the disposal of the new Member States. Thus mutual assistance among archivists should be promoted and facilitated at the European level, enhancing the flow of information, by establishing a clearing house, by developing guidelines, by publication of best practices, business models, marketing strategies, etc. This should be accompanied by workshops, seminars and other training facilities, both on site and via distance

learning. Dissemination of knowledge should make use of modern information and communication technologies.

The DigiCULT report published by the European Commission in 2002 strongly advises memory institutions to go beyond mere access to, and provision of, source material. They have to offer “services that also relate to people’s lives”. One of the key issues identified in the Report is creating new tools, not just enhancing existing products and services. The knowledge and expertise of archivists, librarians and museum curators on holdings and collections have to be used “to build knowledge-rich multimedia information resources that provide explanation and guidance as well as additional context” (see also chapters 2b, 2c and 2d). The archivist will be involved in local, national and, more and more, international partnerships with librarians, museum curators and other “memory keepers” and content-providers. The public will be global too, visiting virtual search rooms and repositories 24 hours a day.

New information and communication technologies (see also points 7 and 8 (b) of the Council Resolution of 6 May 2003) offer new possibilities and pose new challenges. The archivist should fulfil his/her roles by exploiting more extensively modern information and communication technologies. This, however, does not entail changing the archivist into an ICT-specialist. The archivist has to know how to use modern technologies (see chapter 3c) but, more importantly, he or she has to understand the strategic implications of modern technologies for the roles of the archivist and his or her relations with society in the 21<sup>st</sup> century and to continuously adapt these archivist roles accordingly to provide wide-ranging access to authentic information for the European citizen.

### **3c ARCHIVAL TRAINING WITH PARTICULAR EMPHASIS ON FUTURE NEEDS**

#### **Proposed concrete actions:**

- 1. To organize archival training and to improve awareness for the benefit of administrative decision makers and other administrators.**
- 2. To elaborate a basic scheme of archival competences for the 21<sup>st</sup> century and to examine the possibilities for the establishment of a European competency model in this field.**
- 3. To provide training for archivists in accordance with the priority actions indicated in the Executive Summary and other chapters of the present Report.**
- 4. To organize European Conferences, Seminars and Meetings in order to disseminate available competences, best practice guidelines and other archival expertise throughout the EU-Member States and EU-Institutions.**

#### **Future orientations:**

- 5. To examine the possibilities for setting up a European centre for continuing archival training, which should report to the proposed official Archivists Committee of the EU-Member States and EU-Institutions.**
- 6. To encourage the mobility of archivists between EU-Member States.**

#### **Introduction**

The importance of the development of professional archival training, and the desire to strengthen European co-operation in this area were strongly underlined in the Report *Archives in the European Union*, published by the European Commission in 1994. Ten years have gone by and these issues still remain a burning question. They are in fact closely linked to a number of developments, which were on the horizon or approaching with increasing speed, and which make the work of the archivist a set of constantly changing skills: the development of the information society and all that flows from it; the culture of digitisation and new technologies; the variety of skills required by professionals in the area of culture (which means technical skills linked not only to their particular specialism, but also to management and communications); the development of inter-disciplinary approaches; and the growth, both in quality and quantity, of requests by archive users, to name only a few factors amongst the most important.

Through their involvement in the world, archivists are aware of all of this, but sometimes find it difficult to encompass change, while trying to define their place in society, and to make society aware of the key role that they can and should play in it. There is a paradox that archivists, in

whatever country, have increasing difficulty in carrying out all the duties that come their way, and at the same time ensuring that society acknowledges that they are indispensable if it is to function effectively. They are everywhere, but are recognised nowhere.

Is this paradox not one of the causes of the significant differences among archive training systems in Europe – to take just the case under consideration? It is as if this lack of consistency was the reflection of a certain uneasiness as to what an archivist today actually is. Even in those countries with an ‘archival tradition’ of long standing, local training structures are neglected, and only at a basic, not to say traditional level, meet the needs of a rapidly developing profession. This partly explains the variety of training systems within a single state; they are each an attempt to meet the recognised and increasing needs of professionals who have the ability to rise to a high level of specialisation.

In these circumstances can and should the European Union play the role of catalyst, of a unifying force or of support in setting up well thought out and realistic professional training systems, always bearing in mind local traditions and peculiarities?

## **1. Preliminary training.**

### *1.1. The variety of systems*

As emphasised in the introduction, there is no consistent model, even at local level, in spite of real efforts made by a number of states. The available preliminary training can be classified according to different approaches or traditions: the ‘historical’ approach which focuses on the teaching of subjects associated with history; the administrative approach which takes particular account of management considerations; the professional approach based on practical study and the development of standards; on-the-job training acquired as a trainee within an archive service itself (generally a national service); the ‘integrated’ approach in which archives are one of the information sciences; and an approach linked to the totality of the lifecycle of a document, emphasising the management of administrative documents (or current archives). One also finds ‘archive’ training in organisations - such as libraries - with other specialisms.

Some of these approaches are combined into one system (Finland), perhaps completely recast in a more practical, centralised and co-ordinated way (Netherlands), or perhaps the result of adding bits onto the old existing system (France). In other places the system is more deficient (United Kingdom), recent (Greece) or little developed (Malta, Luxembourg). However in most EU-Member States there is a clear awareness of the problem, which has given rise in some countries to reflection and enquiry, and in others to fundamental reform (Netherlands, 1996). Each Member State in the context of its administrative traditions, of its existing systems of higher education, and of the funding available, is trying in different ways, and with varying success, to develop basic archive training.

The following characteristics indicate a certain development – or the continuation of a trend – over the last ten years:

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- In some countries one can see a tendency towards decentralisation, where, in different guises, archival education is offered at regional and not exclusively at national level.
- Different levels of training can take from a few weeks to a few years, and give future professionals variable qualifications from 'registered archivist' to 'qualified assistant'. In most countries however a university degree is a requirement for entry into an archive service as an archivist, particularly in the public sector.
- In most countries where systems have developed over the last ten years a university education is preferred to that of an archive school, the latter being seen as specialist or post-graduate training.
- Links between archival science and particular disciplines vary from one country to another, their nature dependant on funding or on negotiations with university or governmental authorities. A link with humanities (history) because of the content of what is taught (including supporting subjects) is the commonest. However, there is now a definite effort being made to create chairs in archives studies as such, attached to courses in information and communication sciences, that is to say a new orientation.
- There is also an increasing difficulty in some countries in recruiting students for post-graduate or specialist courses. They prefer to look for a job as soon as they have obtained their degree. Grants are rare, and paradoxically are more readily offered to students who already have six months or more of practical experience.
- As a consequence of the need to develop practical skills alongside the theoretical teaching provided by the universities, or where there has been no basic training, public archive services (national archives) have developed internal training schemes.
- Some countries have already, though to varying degrees, turned to international co-operation to build up or to fill gaps in training. However in the area of international co-operation very few countries make use of European mobility programmes such as Erasmus. It would seem that archivists are unable to get on to these programmes. One may ask whether this is as a result of problems of an administrative sort, of the inadequacy of the programmes, or of a lack of preparedness on the part of archivists to make use of them.

### *1.2. Development of Archival Training Programmes*

As far as programmes of basic training are concerned, the tendency to bring them into line with the practical realities of archives has continued. However it has to be recognised that teachers and programme planners often find themselves in an uncomfortable position. The problem is to combine the need to meet the requirements of employers, and of job descriptions, while at the same time giving a high level professional education which will satisfy the university that it can be given the same status as other disciplines. The following observations are relevant now:

- In most countries there is difficulty in maintaining a balance between theory and practice in training programmes. In some instances candidates for posts as archivists are historians, librarians, philologists, or graduates in other disciplines. They have been trained on the job, and have acquired their professional skills through practical work. By contrast young newly qualified archivists are recruited with basic theoretical knowledge which they have never had the occasion to apply. It is worth noting that a certain number of countries (including those where the archive services are 'prosperous') give little opportunity for practical experience in areas such as electronic records, EAD, or records management.

- There is a very clear need in Europe for well trained professionals at assistant level, but there are rarely training courses at this competence level.
- It is difficult to find a correct balance between academic courses focussed on ‘historical’ subjects, and those offering new training to meet the needs of a developing profession and the requirements of employers: management of electronic documents, use of EAD, legal matters and communications etc. Some countries have already and with some success integrated these subjects into their teaching programmes.
- This probably shows that there is still room for further discussions amongst employers, trainers and professional associations, though in some member states courses are the result of course development undertaken together by schools or universities and professional associations.
- It should also be noted that the Bologna Declaration, as a unifying factor in programmes, has figured in the thinking of only a minority of countries so far.

### *1.3. A Special Area: Restoration and Conservation Training*

A certain number of member states now have special courses either public or private in the area of restoration and conservation. These courses are given either in a university setting (Fine Arts) or else in specialised institutions. Sometimes a basic version of the course is offered to archivists themselves. The levels of training and the resulting diplomas are also of varying quality, and some countries can only offer basic or intermediate level courses. The majority of national archive services have conservation departments and restoration workshops, and thus recruit specialised staff. There is however a perceptible tendency towards giving this work to private companies.

Besides, it should be noted that archivists themselves do not always have the basic knowledge necessary to apply the simplest conservation measures, such as checking environmental conditions and assessing their consequences for the documents.

## **2. In-service Training**

The organisation of in-service training, just like that of basic training, lacks coherence, and varies a lot from one member country to another. In some cases it is an employer’s responsibility; sometimes no organisation is responsible for it. Professional associations are often very active in this area. Some universities offer in-service training sessions, while public archive services, particularly national archives, offer in-service courses, though mostly to their own employees. As a last resort one can approach a neighbouring country. Thus the French Archives Directorate, which offers a complete in-service training course to public service archivists in France, recently opened this training to EU partners, though with little success it has to be admitted, no doubt for funding reasons, and also because the courses are in French. In-service training nearly always takes the form of short sessions (which makes practical work impossible to organise), focussed on specialist subjects.

### **3. The expectations of EU-Member States for professional training in the context of European co-operation.**

While on the one hand the information presented above indicates wide diversity in the systems and methods of professional training, on the other hand there is a certain similarity in the needs expressed by member states:

#### *3.1. At the level of course structure and delivery*

Member states amongst their particular desires emphasise the following points:

- there is a perceived need for a definition, and a common monitoring, of standards of competence while still maintaining diversity within the Union.
- National experts should be trained as potential teachers. The training of trainers used as a means of disseminating knowledge seems a fundamental, and eventually a cheap means of providing training.
- Many states would like to see the development of study opportunities, seminars or workshops abroad (or international) in areas little or not taught, or opportunities to exchange experiences.
- The setting up of a network of shared experiences, although its nature is never exactly defined, appeared several times on the lists of desiderata. However in view of the variety of systems at local level, or of their lack of development, it would be difficult to envisage their harmonisation at European level, certainly in any systematic way, even if one could imagine a central core of skills which could be taught to all.

#### *3.2. At the level of course content and delivery*

In most countries, teaching programmes present gaps and are insufficient. There is a clear need for standards or for systems which will guarantee the archivist the acquisition of competences appropriate to modern society.

Requests focus on two main points:

- an interest in subjects which relate mainly to management, the role of the archivist in society, legal and legislative subjects (notably access to archives, data protection and copyright...), that is to say to subjects which lend themselves more readily to discussion, and to the exchange of experiences based on case studies and comparative analysis.
- specialized training of archive staff in the following subjects: appraisal and acquisition; archival description; records management; standardisation, especially ISO standards; and in a general way all subjects linked to new technology and to its influence on archival practice (conservation of electronic archives, electronic information management, subjects related to digitisation etc). Conservation and restoration should also be mentioned, as, in the opinion of a great number of member countries, it is the area where collaboration in professional training would be easiest to achieve: the problems as well as the techniques are for the most part the same from one country to another.

In this case the link between theory and practice is indispensable: it would be nice to see the presentation of successful solutions to problems, and of organisational schemes set up for national projects.

As for the form and methods of teaching, the formula consisting of seminars and short workshops abroad, or with the participation of foreign experts, is what is most in demand. These training sessions should be aimed at a specific public, taking account not only of the specialism concerned, but also of responsibilities exercised. One might even, for greater efficiency, develop subjects to suit the audience.

**On-line training** is much advocated by some countries as a means of passing on experiences and ways of doing things, as well as basic knowledge and standards. It would be useful however to give some thought as to how such training might be put in place, taking account of the target audience, the level of training provided, and the possibility of its leading to a diploma.

### **Conclusion: what are the competences needed by the archivist of the 21<sup>st</sup> century?**

The role of the archivist as described in the chapters 3a and 3b of the present Report must be embraced in all its diversity in the development of training programmes which will allow European professionals to acquire the skills needed for their duties.

Thus the profile of the 21<sup>st</sup> century archivist could be drawn up on the following principles:

- Full knowledge of the basic requirements for the management of documents throughout their lifecycle, including preventive preservation.
- Ability to make use of new technology in computers and communication.
- Administrative knowledge of the structures, procedures, administrative systems and documents produced by an administration.
- Knowledge about the History of Institutions and the evolution of Administration.
- Continuous improvement in communication skills.
- Language competence in two or more official languages of the European Union.
- Openness to Europe-wide interdisciplinary collaboration with experts in other disciplines and professions.

### **3d RECOGNITION OF ARCHIVAL DIPLOMAS THROUGHOUT EUROPE**

#### **Proposed concrete actions:**

- 1. To organise a fact-finding project which will collect up to date information about document and archives management qualifications in the EU-Member States, covering the following issues in particular: the level at which these qualifications are offered (Diploma or Masters), entrance requirements for the courses, lengths of programmes, course content and core modules for document and archives management, and the different providers.**
- 2. To carry out a study of existing programmes of Continuous Professional Development for archivists in the EU-Member States. This study should also provide information on the existence of certification/registration schemes and how these are managed and assessed.**
- 3. To compare the recognition of archival diplomas with the recognition of diplomas for other professions in Europe.**

#### **Future orientations:**

- 4. To encourage the formulation of common criteria and requirements for archival diplomas or equivalent qualifications throughout Europe.**
- 5. To examine the possibilities for career development for archivists through continuous professional training and the certification of additional qualifications.**

#### **1 Background information**

The term archivist/records manager shall be used throughout this section to cover the whole sector.

##### **1.1 Initial qualification**

The systems for obtaining a qualification as an archivist/document manager vary greatly throughout the European Union. Not all Member States require those working as archivists/document managers to have any formal qualification. Some Member States offer the qualification at Diploma level, and some at Masters level. Some Member States offer two levels of training: for those doing academic duties, and for those doing non-academic duties.

Where formal archive courses exist, conditions of entry vary from one state to another. Most Member States require entrants to have a first degree, and some Member States (Germany,

Belgium, France) stress the importance of this degree being in history. Others, like the United Kingdom, while still recruiting the majority of archivists from an historical background, increasingly accept students from different disciplines (law, IT, languages for example). Some Member States have specialist institutes (the Escuelas de Archivos para España e Iberoamérica and the Escuela Taller in Spain, for example), while others offer archive courses through Universities, as in the United Kingdom where courses are offered within Departments of History, and Departments of Information Studies, where some elements of the courses can be taught in conjunction with library or information studies students.

The duration of courses can vary from 1-3 years for students attending full time. Part time courses offered by distance learning are becoming increasingly popular in the United Kingdom, where courses on archives and records management are offered by the University of Wales, and one on records management alone is offered by the University of Northumbria.

In addition, in some Member States document and/or archives management are sometimes taught as part of library programmes, as in Greece which offers joint programmes in library and archive studies, or in the United Kingdom, where some universities offer document and/or archives management as a course unit or module within programmes in librarianship/information science.

The curricula offered by the courses should be flexible and be able to change and develop in response to the needs of the archival community within the country in question. In the United Kingdom, for example, all courses now have a compulsory module in document and archives management. Not all Member States that have formal archival training offer document and archives management as part of basic training, although all recognise the increasing importance of such training. Most Member States also now recognise the role of the archivist as covering the whole cycle of document and archives management., and believe that this will continue and develop as ICT continues to develop. In some Member States, management (personnel, budgets, projects) is taught as part of the initial qualification, while others do not address this.

## **1.2 Post qualification training/Continuous Professional Development**

An important element in the career of an archivist/document manager is access to post-qualification training, to update their skills. These programmes have to be continually reviewed and kept fully up to date, to ensure that archivists/document managers are equipped to face the challenges that arise wherever they are employed. Most Member States recognise the importance of Continuous Professional Development for archivists/document managers after the initial qualification has been obtained, although not all have fully established programmes. Some follow schemes instituted in other countries, such as those offered by the Archiefschool in Amsterdam, or the Stage International in Paris. Others follow programmes devised and run by their professional associations, such as in the United Kingdom, where the Society of Archivists offers a structured programme leading to registration. Where programmes exist, they cover new developments in the profession (electronic records, Freedom of Information, Data Protection etc), management skills and so on, but not all states have as yet a fully developed programme.

### **1.3 Certification/registration**

Some associations, such as the Society of Archivists of the United Kingdom and Ireland, offer an additional level of membership, that of registered archivist/document manager which is obtained by following a structured programme of Continuous Professional Development and building up a portfolio of work and experience, which is examined by an appointed Panel. Registration is increasingly seen as the pathway to promotion within the profession, but is not yet compulsory for all qualified staff.

The Section for Professional Records Management and Archival Associations within the International Council on Archives (ICA/SPA) has recently initiated a project to collect information on the level of qualification required to work as an archivist/document manager in different countries, and whether certification /registration schemes exist. Although this project is an international one, a specific project could be established for the European Union.

### **1.4 Role of professional archivists associations**

Where professional archivists associations exist, their role can vary enormously. In some Member States, the archivists association is very involved in both initial and post qualification training, in others the input is at post qualification level only. In several Member States the updating of the curricula at the schools/universities that offer document and archives management training involves collaboration between the institutions and the professional archivists associations. In the United Kingdom, this has been organised on a more formal basis, where the archivists association visits each course on a five yearly cycle, to accredit them. Only students obtaining their qualification from an accredited course can enrol on the registration scheme operated by the Society of Archivists. The role of the professional archivists association can thus be crucial at all stages.

### **1.5 Recruitment into the archival profession**

Some Member States are currently facing a shortfall in archivists/document managers for a variety of reasons. In Italy it is due to a fall in the numbers of those being recruited into the State service, whereas in the United Kingdom the problems can be attributed more to the difficulties of recruiting enough students onto the initial training courses for a variety of reasons, including changes in the levels of funding for students. Other methods of delivering training, such as expansion of the existing Distance Learning courses, and of recruiting staff need to be investigated. This could involve employing those trained in other countries, and the difficulties in doing so are examined below.

### **1.6 Opportunities for future development**

This chapter deals specifically with recognition of archival qualifications throughout Europe. A fact-finding mission on the existing document and archives management qualifications in the EU-Member States could be done in two ways:

- by compiling a list of diplomas and other equivalent qualifications which each country recognises as a national professional entry qualification. This would be relatively easy to achieve.

- by compiling a more detailed list than that outlined above, which would include information on entrance requirements and course content. This would allow potential education providers or employers to make a comparison of qualifications; so that for example a potential employer in France would know that an applicant with a Masters from a course in the United Kingdom would be qualified as an archivist/document manager, whereas an applicant from Germany would have a different education in document and archives management. Additional information could be sought on post qualification certification/registration schemes to allow potential employers to know exactly what, for example, a registered archivist/document manager from one EU-Member State will have achieved in addition to their initial qualification.

However, if the Bologna process is seeking to move towards harmonisation of qualifications, rather than either of the two recognition options outlined above, then the difficulties are greater, and the national environments would have to be taken more into consideration. The major difficulty in harmonising training, and thus the qualifications throughout the European Union remains the fact that much of the training is based on knowledge of the history, culture, legislation and language of the country in which the training is based. Additional factors that would need to be taken into consideration would include the different types of provider, different entrance requirements, different outcomes expected by employers or professional associations, different lengths of programmes and different levels/sources of funding in each Member State.

A system which enabled effective comparisons between archival qualifications obtainable in the different EU-Member States would be very useful, whereas, at present, formal harmonisation of qualifications in this field seems to be more complex. However, the mutual recognition of archival diplomas or equivalent qualifications would bring numerous benefits for the archival profession, for career improvement, mobility and better understanding of different administrative traditions in Europe.

#### **4a MEASURES TO PREVENT DAMAGE TO ARCHIVES BY NATURAL AND OTHER CATASTROPHES**

##### **Proposed concrete actions:**

- 1. To follow up the Declaration of the 25 Countries, agreed at the meeting of the National Archivists in Athens in June 2003, on measures for damage prevention to archives in Europe.**
- 2. To reinforce coordination measures and the exchange of expertise in order to establish a European Protection and Rescue Programme on damage prevention and restoration of damaged documents and archives in Europe (cf. Council Resolution of 6 May 2003, point 8c 2).**
- 3. To set out a concise description of this European Protection and Rescue Programme and the relevant action plan, including specialist staff, technical workshops and specific equipment. A tentative estimate would be € 2,8 million over 3 years.**

##### **Future orientations:**

- 4. To establish Rapid Response Teams for damage assessment and other relevant measures.**
- 5. To examine the possibilities for setting up specialist central laboratories for trans-border emergency interventions in the case of damage to documents and archives, brought about by catastrophes such as flooding, earthquakes, terrorist attacks, war disasters, security risks and other damaging events.**

##### **Introduction**

In recent years floods caused by overflowing rivers have occurred in Europe with ever increasing frequency, rapidity and growing destructive impact. Floods do not stop at national borders and the ravage inflicted by them has long ceased to be a purely national matter. Increasingly, public attention has also focused on cultural artefacts affected by flood disasters including architectural and artistic artefacts of the past. Progressively, however, the focus is placed on measures for the prevention of damage to the authentic written and audio-visual documents and archives, constituting an important and irreplaceable part of the European cultural heritage.

The last massive flood disaster, which occurred in the summer of 2002, caused enormous damage to the holdings of archives and libraries, which to this day, cannot be adequately quantified. This makes it nearly impossible to give a proper estimate of the immense follow-up costs. It is, therefore, an indispensable, preventative measure for those archives in Europe, which are located

in flood-prone areas or threatened by penetrating water in any other way, to deal with questions associated with

- prevention of flood damage in archives and in other buildings, where current documents and archives are kept for the purpose of government, justice or administration
- measures to salvage affected documents and archives and to limit damage in the event of a disaster
- the removal of flood-incurred damage to documents and archives by means of conservation treatment

### **Objectives and specifications for the establishment of a European Protection and Rescue Programme for Archives**

Given the severe damage to the European archival heritage mentioned above, it is necessary that archives in Europe have to be better prepared for disasters like the extensive floods of 2002. Initially, opportunities are required to pass on experience and expertise, for instance in workshops, lectures and conferences.

The objective has to be to draw lessons for the future from common knowledge and shared expertise, in order at least to minimise the incomparably higher costs of flood-incurred damage by investing in damage prevention in good time, and preferably to avoid this damage completely.

The best way to avoid loss and damage caused by overflowing rivers and other disasters is to store archives in archive purpose buildings respecting national and international standards (see also chapter 4c "Archives purpose Buildings": standards and specifications at the national and European level") which are based in suitable places where the danger of flooding and other catastrophes can be prevented as far as possible.

In addition, the reports also stress the necessity for archives services to pass on their expertise in disaster control to document-producing authorities in the form of advice. Precautionary procedures have to be in force not only in archives, but also in the registries of ministries, courts of law and other public administration services, because damage to active documents, which have the potential to be appraised archival documents, has to be averted. Thus in recent years the floods of overflowing rivers in Europe, which caused substantial losses in the registries of the public administration or judiciary, could have certainly have been avoided, if their buildings and storage areas had been designed in a similar fashion to those for purpose built archives buildings.

In view of the unpredictability of any coming calamity and the potentially enormous scale of destruction it may cause, it seems logical to introduce programmes for the protection of documents and archives and rescue that not only follow guidelines of a particular country, but also those covering larger European regions. There is a need for closer co-operation of experts in this field. Therefore there is also a requirement for the establishment of a European Network for the presentation and the management of such disasters including options for the restoration of

damaged documents and other archival objects. Such a European initiative should immediately start, preferably via Internet, with the exchange of the following topical information:

- a register of experts with their contact details
- information about appropriate measures and best practices in case of disaster
- a register of disposable equipment and devices which might be directed to the place of disaster
- information about the nearest location of available useful devices like cold stores, drying facilities, lyophilizing cabinets, vacuum drying and fumigating chambers.

Continuing research into appropriate measures of damage repair is still imperative as well. In particular it would be worthwhile to search for both a low-cost and efficient method of drying holdings of archives and libraries that would reduce undesirable, detrimental side effects to a minimum.

To undertake the necessary activities mentioned above as promptly and effectively as possible, a European Protection and Rescue Programme has to be established. This programme should stress the need for the development of a European Network for the protection of documents and archives and to examine the possibilities for the creation and financial endowment of at least four regional, cross-border competence centres in four European regions, which are usually threatened by floods. These competence centres, connected with existing efficient laboratories for archival conservation, should be equipped with trained staff and special devices and should be able to mobilize rapidly experts and specialist personnel with suitable equipment. One of these competence centres should also perform the function of a coordination centre in the framework of the European Union.

### **Start-up phase (3 years): European Protection and Rescue Programme for Archives**

A tentative estimate for the start-up phase (3 years) of such an European Protection and Rescue Program for archives would amount to € 2.800.000, including the carrying out of a feasibility study, the establishment of and equipment for the competence centres and the coordinating centre, the employment of one specialist at each of the competence centres, the training of the staff, and the installation of an internet based network for information, cooperation and coordination in this field.

## **4b PRESERVATION AND RESTORATION OF DOCUMENTS AND ARCHIVES**

**Proposed concrete actions :**

- 1. To reinforce coordination measures and exchange of expertise in order to establish an European Protection and Rescue Programme , with particular reference to the restoration of damaged documents and archives in Europe (cf. Council Resolution of 6 May 2003, point 8c 2 ; see chapter 2a "Measures to prevent damage to archives by natural and other catastrophes").**
- 2. To compile an agreed set of standards and specifications for archives propose buildings, with particular reference on measures on the authenticity, long term preservation and accessibility of electronic documents and archives (see also chapters 4c, 5a and 5b).**

**Future orientations :**

- 3. To develop a model action plan for preventing and recovering from catastrophes: to examine the possibilities for setting up specialised central laboratories for trans-boarder emergency interventions in the case of damage to archives through catastrophes, such as flooding, earthquakes, terrorist attacks, war disasters, security risks and other damaging events ; and options for the establishment of Rapid Response Teams for damage assessment and other relevant measures.**
- 4. To carry out a study on the impact of climate variations on the preservation of documents and archives in Europe.**
- 5. To carry out a study on the restoration of damaged documents and archives on paper, electronic and multi-media support.**
- 6. To examine special measures on security storage of documents and archives (see also chapter 4c).**

### ***INTRODUCTION***

Preservation of archives belongs to the fundamental tasks of all archival institutions. It is the basic precondition for access to documents as the realisation of the right for free access to information, contribute to transparency and thus also the efficiency of policy. Despite the preservation and restoration of archives covers very broad range of activities, the common effort of countries in the enlarged European Union should be concentrated especially on the following topics:

## **1. Co-ordination of conservation treatment of archives damaged in disasters, risk analysis and disaster planning**

### ***a) Co-ordination of conservation treatment of archives damaged in disasters***

Recalling the Council Resolution of the 6 May 2003 on archives in the Member States and in consideration of their responsibility with regard to the protection and preservation of the cultural heritage of archives in Europe, the National Archivists of Member States and Candidate Countries of the European Union have discussed, in their meeting in Athens of 5-6 June 2003, the protection of archives in Europe against catastrophes such as flooding and the application of measures removing and limiting incurred damages of archives, they declared necessary the following:

- To store archives in archives purpose buildings in such a way that the danger of flooding and the other catastrophes (quick damage processes) would be prevented as much as possible.
- To take all existing technical measures and organizational steps to prevent or to limit the loss or damage of documents and archives.
- To prepare and educate the archive personnel in the field of prevention of such catastrophes through special training courses in order to speedily and adequately deal with such situations.
- Through use of the Internet to establish and updated Europe – wide exchange of relevant knowledge and experience between experts in this field. Furthermore, to enhance best practices, to purchase adequate equipment and to cooperate with public and specialized institutions dealing with the management of such catastrophes and the restoration of damaged documents and archives.
- To stress the need for the establishment of a European Network for the prevention and the management of such catastrophes and to examine the possibilities for the creation of a coordination centre, which could rapidly mobilize archival experts and other specialized personnel in this field.

### ***b) Risk analysis and disaster planning***

At the same time everyday actions should be taken to minimize the possible threats to the collections. Although risk can never be completely removed, many disasters that happen can be prevented or their effect considerably reduced, if a full and efficient risk assessment procedure is carried out and the findings acted upon with the objective of eliminating or reducing any threats identified. Based on the results of risk assessment the disaster plan should be composed, also regularly reviewed and revised if necessary to keep it up to date. Despite of the different high-quality guidelines published (also issued by the ICA Committee on Disaster Prevention in December 1997) and several conferences organised on this topic, the disaster prevention planning does still not deserve the appropriate attention in the archival services of many countries.

Taking into consideration the increasing risk of terrorists attacks in different parts of the world nowadays, risk analysis, disaster planning and prevention against such phenomena should be assessed very seriously.

The possibilities for cooperation with Blue Shield activities in this field should be examined. The Blue Shield is the cultural equivalent of the Red Cross. It is the symbol specified in the 1954 Hague Convention for marking cultural sites to give them protection from attack in the event of armed conflict. It is also the name of an international committee set up in 1996 to work to protect the world's cultural heritage threatened in particular by war disasters. The International Committee of the Blue Shield (ICBS) covers museums and archives, historic sites and libraries. Its mission is to work for the protection of the world's cultural heritage by co-ordinating preparations to meet and respond to emergency situations (<http://www.ifla.org/blueshield.htm>).

## **2. Proper storage conditions and safety of archives as fundamental requirements for their preservation**

Proper storage conditions and safety of archives are fundamental for their preservation. There exists many examples that documents even after conservation treatment kept in unsuitable conditions become endangered again, e.g. by microbiological contamination.

Therefore study of the impact of climatic variations to the preservation of archives and especially impact of “micro-climatic” conditions within the storage areas – e.g. air quality and pollution (oxides of sulphur), temperature, relative humidity, boxes, covers, volatile organic compounds – is of a great importance. External degradation factors and climatic variations can be excluded and limited in a large scale by proper inside storage conditions.

Despite many existing guidelines and recommendations in this field in different countries, only the British Standard BS 5454 (revised in 2000) and ISO 11799 Information and Documentation – Document storage requirements for archive and library materials (which is actually based on the above mentioned BS and in some way is less strict) - are devoted completely and comprehensively to recommendations for storage and exhibition of archives. Therefore dissemination of the proper international standard and its practical application could create a legal base for quality improvement of archives purpose buildings and premises in the countries of the enlarged European Union and thus provide the basic precondition for preservation and safety of archives and archival services.

As it is obvious that proper storage condition, safety of archives and preservation in general are closely connected and determined by proper archival buildings, a special part of this report is devoted to them as well.

## **3. Master and study copies – microfilming / digitisation as methods for preservation of originals**

Preservation of original archives by making of their master (safety) and study (duplicates) copies mostly on microfilms has a long tradition in all European archives. Newspapers, books, manuscripts and archives have been microfilmed for decades in order to protect them from the endogenous deterioration of paper or from other causes of damage which threaten archives and to ensure the permanence of the information they contain. Duplicate microfilms are produced and provided to researchers instead of endangered originals while master copies are stored separately from originals in proper conditions. Image conversion of endangered archives to other media, for protection and/or for the permanent replacement of the originals requires systems which produce, over very long periods of time, the highest possible reproduction quality, availability and access, together with economy. Microfilm has the advantage, in comparison with other modern

information media, that the material undergoes no fundamental technical transformation, the analogue-stored information is directly accessible, with relatively little effort, and can be also efficiently digitized with microfilm scanners.

The hectic developments in information, network and data technology with constantly improving capacity for the transmission of document images, opens the way to new forms of use. Digitization is no doubt the issue that more than anything else continuously increases its use also in archival services. The possibilities seem to be limitless, the advantages are obvious and from all sides there is a pressure to exploit the new media also for preservation purposes.

The advantages and disadvantages of both techniques should be considered thoroughly for their best and effective use in preservation of archives.

#### **4. Study on the restoration of damaged documents and archives on paper, electronic and multi-media support**

From material point of view paper supported documents create a vast majority of archives in archival services. Historical documents endangered especially by metal-tannin (iron-gall) ink corrosion as well as already damaged documents represent a great part of cultural heritage. However, variety of documents in archives brings the necessity of preservation also other types of documents on electronic and multi-media support. Research, scientific evaluation and application of suitable methods, treatments and materials for preservation, conservation and restoration of endangered and damaged archives therefore should be supported by concentrated effort of the Member States in the enlarged European Union.

#### **5. Support of research and scientific evaluation of technologies and equipments for mass deacidification treatment and application of suitable methods for preservation of acidic paper documents and books**

Despite numerous developments in the field of preservation, one of the biggest problems, still waiting to be solved successfully, is represented by the self-degradative effect of acidic paper in archives all over the world. "Time bomb" as it is often called the limited lifetime of machine-made paper with acidic rosin sizing, produced since half of the 19<sup>th</sup> century up to nowadays, has been threatening the great part of the cultural paper heritage of the human civilisation. Problems of acidic paper degradation are well-known to the experts and have been well documented by a large number of scientific, research and other publications, conferences, etc. Therefore research support and scientific evaluation of technologies and equipments for mass deacidification treatments and application of suitable methods for preservation of acidic paper documents and books must become one of the crucial points of concentrated and coordinated preservation efforts of the Member States in the enlarged European Union.

This problem is very closely connected with the creation of new paper documents at present. It is very obvious that use of permanent and durable paper for documents would provide the best solution and the way how to preserve paper cultural heritage of present for the future generations.

## **6. Encouragement of document creators to use permanent paper in the process of documents and archives formation for those (paper) ones which can become potential archival documents**

Already recommendations from 1992 Montreal ICA Congress encouraged document creators to use permanent paper in the process of documents and archives formation. Developments in the paper industry have brought to market commercially available alkaline paper which meets the requirements of ISO 9706 for permanent paper, in some cases also ISO 11108 for archival paper. Some countries also reported in their legislative provisions possibilities to impose on document creator requirements for use of permanent paper in the process of documents and archives formation for those which become potential archival documents after their appraisal and transfer to Archival Services. Such activities can considerably help to resolve problems of modern paper documents preservation and are crucial from the point of their future long-term storage.

## **7. Problems of long-term preservation of electronic documents and archives which have to be resolved; authenticity and content have to survive intact regardless of preservation technology, technique or method**

Problems of long-term preservation of electronic documents and archives have to be resolved; authenticity and content have to survive intact regardless of preservation technology, technique or method – it results unanimously from the answers (question 40) to the questionnaire of the Member States in the enlarged European Union. There are only a few specialists in this field in archives and despite some regulations concerning the subject existing in some countries and several on-going projects the results do not provide satisfactory solutions adequate to the complexity of the whole problem. On one hand, new information and communication technologies offer exciting new opportunities, on the other hand they create and cause problems with regard to the preservation of electronic documents and archives which cannot be – at this state of knowledge and technical conditions and equipment – satisfactorily solved in most of the archives of the EU-Member States. This problem is also very closely connected with the lack of facilities for digitisation of documents and archives on classical support (paper, parchment) in order to improve access to them through new information and communication technologies.

Given the rapid development of ICT, the gap between their use in practically all spheres of human activities and the urgent and pressing need to successfully resolve their long term preservation problems in archives is still widening. This situation will demand concentrated and coordinated efforts of all EU-Member States to jointly develop, test and implement appropriate solutions and concrete measures in this field.

## **8. Development of photographic materials preservation**

Since its beginning in 1839, the photograph significantly influences human knowledge. Photographical documents in archives can be divided into two groups: 1) documents presenting originals (negative or positive) which are kept in archives as historical documents; 2) documents which were created by the own activity of archives as safety microfilming, microfilm copying, etc. It is known that the proper storage conditions of photographic materials – which differ from those for “classical” documents – can considerably increase the lifetime of photographic

materials. On the other hand, conservation of photographic materials is rather complicated process demanding also knowledge in chemistry and photochemistry. A significant contribution to solving the problem is the ECPA Sepia project on preservation of photographic materials (<http://www.knaw.nl/ecpa/sepia>) and the book of *B. Lavédrine et. all: Les collections photographiques – Guide de conservation preventive. ARSAG, Paris 2000*. As there are not many institutions and preservation specialists doing real preservation and restoration of photographic materials it would be very desirable to develop and coordinate Europe-wide preservation treatment in this field as well.

## **9. Elaboration of recommendations and standards for exhibiting of archives**

The principal aim of Archives Services is to acquire, professionally process and make archival documents accessible for public purposes as well as to preserve and conserve them at the same time. Exhibitions are a very powerful tool for providing access to selected documents to a large public. They should be educational, enjoyable and safe. Although they can complicate preservation efforts, it is nearly impossible to avoid exhibiting original documents. Therefore it is necessary to take and apply some measures and precautions to minimise risks or their damage in the course of exhibitions of original material on all levels from the local to the international. At present, the only standard fully devoted to the exhibition of archival documents is the French standard *"Preservation requirements for exhibiting graphic and photographic materials" published in June 2002 (Norme NF Z 40-010 Prescriptions de conservation des documents graphiques et photographiques dans le cadre d'une exposition. AFNOR Juin 2002)*. In order to avoid discrepancies concerning different provisions in different countries it would be desirable to elaborate recommendations which would unify policy in this field. This is also a conclusion of the International Symposium *"Exhibiting archival and library material and works of art on paper: standards in preservation"* held in Ljubljana on 5 – 6 June 2003.

## **10. Elaboration of minimal (basic) curriculum requirements for conservators which should be included in all existing specialized schools and courses in different European countries in this field**

According to the questionnaire for the present Report and answers of the National Archives Services in the EU-Member States it is possible to conclude several facts. Although most of the National Archives Services and many public archives in the European Union indicate that the public archive services are equipped with their own preservation facilities and with specialized staff, in some countries physical facilities (workshops) do exist but at present are unstaffed. There are also countries with no conservation services and facilities.

It is interesting to learn that most of the EU-Member States provide different types of conservators training and education: from specialized schools at secondary or university level to different courses and in-house training. There are also Member States with no possibilities of conservator's education.

In this connection it might be useful to elaborate minimal (basic) curriculum requirements for conservators which should be included in all existing specialized schools and courses in different European countries in this field. The certificate in this field would then guarantee the minimum

required quality of conservator training in the Member States of the enlarged European Union and will facilitate to fill in gaps in unstaffed facilities.

However, not only conservators are responsible for care of documents. It should be stressed that preventive care and almost daily manipulation with documents and archives is foremost the responsibility of archivists. Therefore training of archivists in the field of preservation of documents and archives should become a regular part of their systematic education.

#### **4c ARCHIVE PURPOSE BUILDINGS: STANDARDS AND SPECIFICATIONS AT THE NATIONAL AND EUROPEAN LEVEL**

##### **Proposed concrete actions:**

- 1. To set up an interdisciplinary Working Group, comprising archivists, architects, engineers and geologists, with the remit of establishing and developing standards and specifications for the construction of new archive purpose buildings. Approximately 8 meetings of the interdisciplinary Working Group would be needed in order to establish standards and a typical/modular schedule of specifications for new archive purpose buildings. A detailed project plan is in preparation.**
- 2. To devise regulatory procedures for the application of these standards and specifications at the national and European levels, covering security and protection against flooding, earthquakes, terrorist attacks, war disasters and other damaging events (cf. Council Resolution of 6 May 2003, point 8c 1).**

##### **Future orientations:**

- 3. To investigate ways in which these standards and specifications should be applied to the updating of existing archive buildings and/or other archival accommodation in government buildings.**
- 4. To ensure that the interdisciplinary Working Group provides regular feedback and progress reports to the proposed official Archivists Committee of the EU-Member States and EU –Institutions.**
- 5. Publication of the standards and schedule of specifications for new archives purpose buildings (Working title : DUCHEIN 2) in the different official languages of the European Union.**

##### **1. Introduction**

The preservation of documents and archives and the prevention of damage to them, begins with the buildings in which they are housed. To achieve good conditions for storage one can take existing buildings and adapt them for use as archive repositories or alternatively one can build those repositories right from the scratch. In both cases archives services and concerned administrative decision makers should follow some firm principles. Although the adoption of these principles entails greater investment in the short term it represents the most cost effective solution in the long run, since documents and archives require preservation not merely for a short period but for all time. Furthermore, the proper storage of archival material means that it is necessary to invest less in active preservation and restoration. Thus the construction of archive purpose buildings is widely considered as a necessary investment for the a) long term preservation of authentic documents and archives and b) transparency and better information of the citizens.

There are some archival construction principles that are known and agreed:

- The site of the building should be solid and free from any danger of earthquake, flooding, subsidence or contamination and the surrounding atmosphere should be as free from pollution as possible.
- Storage, operational and public functions should be clearly designated and separated from each other.
- The repository area should be constructed to provide a stable environment that will minimise the need for artificial intervention to maintain temperature and relative humidity.
- Power services to strong rooms should be capable of isolation to prevent the danger of electrical fires, and the passage of water through the repository is not permitted.
- There must be a coherent approach, in both architectural and organisational terms, to fire prevention and detection. The need of active fire suppression has to be also addressed.

These principles are part of the standards and guidelines discussed in the present Report, though in real terms, these standards and guidelines are much more detailed and specific.

The Europe-wide survey of building practice, standards and programmes indicates just how divergent are the administrative approaches to the matter of archive construction within the different EU-Member States. However, the need to equip public archive services in most countries of the European Union has given rise to a continuing discussion of the regulations which would encourage better conservation of and access to archival documents. At the European level, there is a movement towards a harmonisation of the various existing regulations into basic European standards which would lessen the disparities between national practices, while at the same time taking account of different geographical, climatic and administrative conditions.

## **2. Standards and Guidelines for archives buildings**

The United Kingdom and Germany have their own national standard for archive buildings. The United Kingdom has British Standard 5454: 2000, which is perhaps the commonly cited standard internationally for the construction of archives buildings, being used as a touchstone not only by the United Kingdom, but also by other countries such as Cyprus and Denmark; an earlier version of this standard is referred to by Michel Duchein in his publication *Archive Buildings and Equipment* (Paris 1988). Duchein's work *Pratique Archivistique Française* (Paris 1991) also forms the basis of French standards for archive buildings (a project is under way to bring this work up-to-date leading to the publication with the working title: DUCHEIN 2), and one may assume that both the British Standard and 'Duchein' form the basis of what several countries, such as Hungary and Poland, refer to as 'professional literature' – reference works to be consulted when embarking on a archive building project. Germany's national standard, *Anforderungen an die Aufbewahrung von Archiv- und Bibliotheksgut*, is a customised version of the other major standard, International Standard ISO 11799 *Information and Documentation – Document Storage Requirements for Archive and Library Materials*.

Also, in Spain, there is a guide-line for Building of Archives, edited by the Ministry of Culture as a technical recommendation (SIMONET BARRIO, J. E.: *Recomendaciones para la edificación de archivos*. Madrid, Dirección de Archivos Estatales, 1991). In 2003, it has been

published the *Archive Buildings in a Tropical Climate and with Low Resources*, in cooperation with the Asociación Latinoamericana de Archivos (ALA = Latin American Archive Association).

Many countries – such as the Czech Republic, Estonia, Finland, Greece, Latvia, Cyprus, Italy, the Netherlands, Poland, Slovenia, Slovakia, Spain and Sweden - have developed, or are in the process of developing, general standards and regulations of their own for the construction of archives buildings. A number of these national guidelines appear to be advisory only. In Sweden however, all archival facilities within the state sector are bound by regulations, set by the National Archives, on the planning, construction and maintenance of storage facilities (1994:6 with later amendments) and local authorities usually observe these also. The National Archives Service of Finland has similar regulations, shortly to be revised, for the construction or adaptation of buildings for archival use, which apply to all authorities. In Poland, the National Archive Service has guidelines on the requirements of archive buildings, based on national legislation, national and international standards, and professional literature. These guidelines refer to both construction and function, and also to equipment (especially that required in storage areas). Slovakia has similar, very demanding, requirements applicable to new archives buildings, defined in the Act on Archives and Registries and the Decree following upon it.

### **3. Construction Programmes for archives buildings**

There is great variety in the nature and extent of programmes for the construction of archives buildings. In some countries – Greece, Hungary, Italy, Latvia and Slovakia – there are as yet no such national programmes. In others, such as Germany, the Netherlands and the United Kingdom, there is no overall programme, though a number of archives purpose buildings have recently been built. In Germany, the *Bundesarchiv* has among other things completed new repositories for record centres in Dahlwitz-Hoppegarten in Brandenburg as well as a new archives building and the adaptation of two existing buildings for the Film Archives Division in Berlin-Lichterfelde. Most of the German *Länder* and many cities have erected new archives buildings or are planning to do so. In the Netherlands in recent years, quite a number of new archives buildings have been opened, such as the *Zeeuws Archief* and the *Rijksarchief* in Limburg. In that country, most Regional Historical Centres have plans either for new archives buildings or for the adaptation of existing structures to meet new public needs. These include *Het Utrechts Archief*, *Historisch Centrum Overijssel*, and *Gelders Archief*. In the United Kingdom, building work has been carried out as and when resources permit. At the national level, an extension has been built at The National Archives of United Kingdom at Kew; an additional building, Thomas Thomson House, has been constructed for the National Archives of Scotland (1995), which is investigating the possibility of an extension. In recent years the Heritage Lottery Fund (HLF) has contributed significantly to the setting up of new local record offices (such as in Surrey, Oxfordshire, Denbigshire, and, most recently, Norfolk). Other HLF Schemes are in the pipeline. However, such funding depends on the success of individual applications rather than a coherent nationwide plan.

In other states, archive building programmes are confined to national archives alone. In some cases, as in Cyprus and Luxembourg, both of whom have projects underway, this is because the countries are too small to require anything other than a single state archive building. Slovenia, although it has archives in various parts of the country, has a programme confined to one

building for the National Archives - building II, in Roška Street in Ljubljana. This is the renovation and adaptation of an old structure for archive purposes, and the storage area will be finished in 2005. The rest, comprising the Slovene Film Archive, the Division for Restoration and Conservation, the Archival Centre for Professional Development, Record Department Branches I, II and III, and the Department of Government Administrative Records after 1945, will come into service in 2007.

Countries where most building activity appears to be at the national level include Sweden, where the *Riksarkivet* is planning future expansion of the state archival authorities in the face of the growing volume of modern documents transferred from executive agencies, and Denmark, where plans for new premises for the national archives are still under discussion.

Of the countries that do have a construction programme, Estonia has a 'Development Plan for Records Management and Archives 2002 – 2005', which projects construction or upgrading of three buildings for the National Archives over the period of 2002 - 2008. In addition, the National Archives have brought four buildings into service in different locations, three purpose-built and one upgraded, during 2000 - 2003. In France there is a model programme, published originally by Duchein and revised by Rosine Cleyet-Michaud in 1999. Finland has a plan for the years to 2010, including one new provincial archive building.

In Portugal in 1988, the *Instituto Português de Arquivos* (IPA – its successor today is the *Instituto dos Arquivos Nacionais/Torre do Tombo* (IAN/TT)) - launched a government initiative for a network of district archives (*arquivos distritais*). At that time only one district had a purpose-built building. Since then, 13 archive buildings have been built or adapted. Whenever possible the building chosen has possessed some aesthetic or historical significance, thus combining protection of the built heritage with functional use. PARAM, ('Assistance Programme for the Municipal Archives Network') a programme for local archives (*arquivos municipais*), was initiated by the IAN/TT in 1998, with the aim of helping municipalities to implement archive programmes of their own, involving not merely building construction, but all other necessary aspects of archive management - equipment, furniture, ICT.

In Spain there is also an ongoing programme for the construction of new archives buildings and the renovation of existing ones. At the present, it has been finished the buildings of seven Provincial Historic Archives and one Regional Archive, there are four new buildings under construction in three Provincial Historic Archives and one Regional Archive, as well as, the restoration and expansion of six General Archives. In 2003, the Provincial Historic Archive of León, was awarded in recognition of the plans for renovation carried out by the Archives based on the European Foundation for Quality Management (EFQM) model.

In the Czech Republic between 1990 and 2002, 21 new state and municipal archive buildings were built, 28 older buildings were renovated and eight listed buildings were rebuilt for archival purposes. This achievement, coupled with the work on standards noted above, made it possible to build one of the most modern archive buildings in Europe, the complex of Prague-Chodovec (for the National Archive service, regional and municipal archives of Prague) which was completed in 2001.

Finally, Poland and Italy seem to have no detailed plans for new buildings, but the former has set aside sums for the modernisation of existing structures, while the latter is following a time-honoured policy of seeking to refurbish its large number of old buildings and finding a modern function for them, including that of archives.

#### **4. Meeting standards and guidelines**

In Portugal, Slovakia, Spain and Sweden, all state storage facilities are said to comply with the standards that have been set there, or that were the norm at the time of construction. In France, about 75% of *départementale* archive buildings are said to meet the requirements, though only a small number do so at the communal level. Within national archives, the situation is variable. In Hungary the estimated figure given for compliance of archive buildings is ‘about half’. In the Netherlands, ‘quite a large number of the existing buildings conform to the standards and guidelines’; others have been given a deadline of five years hence to make the necessary improvements. In Finland, ‘only the stores for archive material’ conform to the standards though, given Finland’s standards in other directions, this would appear to mean a high level of conformity where required. In Slovenia, three out of the seven public archival institutions are in newly renovated buildings which meet the local standards. The only purpose-built archive building in the country is part of the storage of the Archives RS, on Zvezdarska street in Ljubljana, built in the seventies. Older buildings are adapted as well as is allowed by financial constraints.

Elsewhere the picture seems different. A limited number of buildings conform to the relevant standards in Belgium, Cyprus, Estonia, Latvia and the United Kingdom. The National Archives of Greece have moved in 2004 into their first archives building which meets modern specifications for archival use. The significance of these figures is difficult to evaluate, and is dependent to some extent on the rigour of the standards applied. Moreover, it is possible that a building deemed satisfactory in one country might fail in another. It is noteworthy that both Cyprus and the United Kingdom describe the standard that they use – BS5454 – as ‘very demanding’.

Different conditions apply in different countries. Portugal, with its 15-year-old programme of archive construction, is in a particularly strong position to meet modern guidelines. The direction of archive policy in Italy, on the other hand, with its policy of re-using existing buildings, is necessarily served by architects specialising in restoration.

#### **5. The standards applied to intermediate archive stores**

In Estonia, Luxembourg, Spain and Sweden intermediate archive stores conform to the same standards as archive buildings proper. In Finland this is also largely true, though a lesser degree of fire resistance is considered. In others, such as Belgium, Italy and, to a large extent, Portugal, there seem to be no special requirements for intermediate stores.

In France there are some recent examples of *pre-archives* among the archives of *départements* – for example that of l’Orne. In Germany, the recommendations of the German standard have been largely applied to the record centre buildings of the *Bundesarchiv*. In the Netherlands

intermediate buildings conform to the same general standard, but the rules within the standard for such buildings seem less strict. In Slovenia, Latvia, there are no public intermediate archive stores, but departments and other public institutions are obliged to provide storage to an approved standard for unappraised documents and archives. In the United Kingdom, intermediate stores may not always meet the standards of buildings used for the permanent preservation of archives, but principles of good archival practice are generally adhered to in such stores, with security against unauthorised access, defence against weather, fire etc. Thus it is necessary to focus on the application of national and international standards and specifications also to intermediate archive stores and other archival preservation rooms in public administration buildings.

## **6. Conclusion**

This survey clearly shows that throughout Europe archives services are engaged in constructing and erecting new archive buildings or in adapting existing buildings for archival purposes. In view of the fact that the correct storage of documents and archives is a prerequisite for the preservation of the national and European cultural heritage, the establishment and application of standards and guidelines for the construction of archive purpose buildings has become a matter of considerable urgency, especially as the number of archive buildings being constructed is increasing in Europe.

## **5a AUTHENTICITY AND LONG TERM PRESERVATION OF ELECTRONIC DOCUMENTS AND ARCHIVES**

### **Proposed concrete actions:**

- 1. To set up a Working Group on measures for the authenticity and long-term preservation of electronic documents and archives.**
- 2. To develop the further procedures necessary for document authentication, including their legal admissibility, in the EU-Member States and EU-Institutions.**
- 3. To co-ordinate with DLM priority activities and to present the long-term preservation of electronic documents and archives as a special issue at the DLM-Forum, Budapest 2005.**
- 4. To carry out a study of the application of the electronic signature and other equivalent measures in the EU-Member States.**
- 5. To establish a concise project plan, including the concrete actions under points 1 to 4 above.**

### **Future orientations:**

- 6. To develop procedural models and facilities for the transfer of electronic documents and archives.**
- 7. To ensure that the DLM Working Group on new technological developments and their application to documents and archives management provides progress reports and feedback to the proposed official Archivists Committee of the EU-Member States and EU-Institutions.**

### **1. Introduction**

The practical separation of form and content in electronic filing makes it necessary that great importance be attached to the context of electronic documents and archives. Measures to secure the authenticity of electronic documents and archives are, to a large extent, identical with measures to preserve them. The final part of this chapter surveys the most important practical steps that can be taken to prevent or reduce loss of formal aspects of electronic documents and archives when they are electronically filed.

A consideration of the question concerning authenticity of electronic documents and archives may take as its point of departure that in principle the problem is identical with the one

concerning documents and archives on traditional media (paper etc.). In both cases the form – i.e. the appearance in the widest sense – may undergo change through decomposition of the media in the course of time, conversion, preservation, copying or transcription.

Electronic documents and archives are subject to a particular condition: For their ability to "appear" at all – in order to be read – they depend, to a far greater extent than documents and archives on paper or parchment, on facilities which are themselves electronic (programs, media, machines); and these facilities are changing rapidly.

## **2. On authenticity**

By way of introduction it has to be clarified that "authenticity" within a context of IT-filing is not the same as genuineness, validity or truth. In this connexion authenticity "only" means trustworthy or reliable representation: Authenticity implies that we can rely on something to appear as that which it pretends or rather *pretended* to be.

In connexion with documents and archives there is a temporal dimension, which implies that authenticity is primarily a question of the textual reliability of the *description* of previous events and not a question of the genuineness or truth of such events.

An example: If somebody has forged a signature, the documents in question are not what they pretend to be; they are not genuine, but false. If later on these documents are transferred to an archives service, they will still be false, they will still be forgeries. On the other hand we can characterize them as authentic because they reliably appear as forged documents, as "genuine forgeries".

## **3. Absolute and relative authenticity**

If, in the present context, authenticity is a question of trustworthy or reliable representation of a description, a new question arises: one of *degree* of trustworthiness and reliability, as these qualities can hardly be attained in an absolute sense. Trustworthiness and reliability are not absolute entities, and consequently authenticity is something relative. Therefore it is to be expected that disagreement may arise: that authenticity will be differently assessed.

As an example of differing criteria of authenticity it may be asked when a metal can be termed "gold". Must it be pure gold, or will 24, 18, 14 or 8 carat suffice? In principle this question can be solved by a definition, e.g. in a law dealing with precious metal trade. Outside strict jurisprudence we must conclude that it is a question of linguistic conventions. Both laws and linguistic conventions are changing with the passage of time. The "authenticity" of gold, therefore, is relative.

Another example might be an old perforated parchment document with one corner torn off and a broken seal. Will it be a requirement that the document should be available in its original entirety? In practice we will hardly require that much. We take note of the incomplete form of the document, but accept the document as authentic.

However, the authenticity of the document can only be accepted if we know the connexion of the document with the surroundings: when it came into existence, and where it has been since then. But given such a known context, the authenticity of the document can be assessed on the basis of its content. On this condition it would not be decisive for the assessment of authenticity that the perforated parchment document no longer existed, but was only available in a later transcription

of the remaining text. This means that authenticity does not depend – or does not depend to any decisive extent – on the document's being the original document.

#### **4. Authentic or original edition: form or content**

But can we go further? Is it possible to argue that content is more important than form for the assessment of authenticity? In our opinion it is possible, if we consider that we ought to attach greater importance to the message than to its appearance. If, on the contrary, we maintain that in principle form and content are of equal importance for an assessment of authenticity, we shall tend to equate the authentic edition with the original one. However, a distinction must be made between authenticity and originality. Whereas a claim for original form is in the nature of the absolute – a question of either-or – authenticity is a claim for something relative.

#### **5. Separation of form and content**

The above, then, is leading to a discussion of the question whether a separation of form and content can be made without impairing the authenticity and the possibility of assessment. In our opinion it can often be done, i.e. in cases where the form is not decisive for the content.

The perforated document mentioned above, with one corner torn off and a broken seal, may be adduced as an example. If the document is restored so that it will mainly consist of new material, in our judgment it will still be authentic if the aim of the restoration has been to preserve the content, the text, rather than its form, i.e. if greater attention has been paid to the writing and the seal than to smooth quality of the parchment, straightness of its edges, and shine of the seal. If the text is readable, we will describe the restored document as authentic.

There are, however, other cases where the possible importance of form has to be considered in judging authenticity.

#### **6. Dependence on the surroundings regardless of a separation of form and content**

In addition to the consideration of content rather than form, the relation to the surroundings must be taken into account, i.e. it must be presupposed that those undertaking the separation have no conscious interest in influencing the outcome, but carry out the separation impartially. The authenticity is dependent on the connexion of the documents with the surroundings whether form and content are separated or not. But it must be admitted that the dependence is greater and more important when form and content is separated. Generally, few things in this world are independent of the surroundings; this also holds true of authenticity.

Let us return to the example of the old perforated document. Of course its authenticity may be said to be independent on surroundings to a certain extent. For instance it is possible to determine the age of paper and ink by chemical investigations. But who would answer for the authenticity of the document on the basis of physical and chemical investigations alone if the document was placed before him without antecedents and without relation to or dependence on the surroundings. On the other hand, the authenticity of the document will be acceptable to far more people if there is a context, such as other reference to the document in a contemporary situation, or the certain knowledge that it has been stored under safe conditions.

As stated above, security for authenticity will depend on context more often and to a higher degree when form and content are separated. In principle this applies to both documents on paper and on electronic support.

## **7. Paper documents: Separation of form and content**

An example may be a paper document in the form of an outgoing letter, which passes through the following states:

1. The document is written by the sender.
2. The document is filed by the sender.
3. The document is stored and used in the archives of the sender.
4. The document is transferred from the archives of the sender to another archives.

When the document is written and dispatched to the addressee, it has one appearance (State 1), but when it is filed by the sender, it often has quite another appearance, e.g. as a carbon copy or a black and white photocopy; or reversely: the sender has kept the original (State 2) whereas the addressee has got a black and white fax that can only be read with difficulty.

The document may be filed as a carbon copy, which after some time in the archives of the creator has become so difficult to read that it can be replaced by a microfilm version (State 3), if such a replacement does not take place as a standard procedure by the transfer to another archives (State 4).

In this example of a document on paper the fundamental problem of authenticity and of separation of form and content will arise in several cases.

When the document is created, a judgement must be made as to the degree in which the content can be separated from the form without any decisive loss of authenticity. May we do without the printed letterhead, contenting ourselves with a concept or a carbon copy? Or must we include the letterhead, using a photocopy? Are the red underlines and deletions so important that the document has to be in colour? Or is a photocopy in black and white enough? And is the paper and its watermark entirely unimportant? Or must it, on the contrary, be used for the photocopy?

When the document is kept and used by the body or unit that has created it, or when it is transferred to another archives, a judgement must again be made as to the degree in which the content can be separated from the form without any decisive loss of authenticity. May we allow ourselves to wear the document out in daily use, only producing of photocopy or microfilm before it falls apart? Or do we have to put it away with care and use a copy in its place except in cases where the authenticity is of great importance?

We admit that the example of the document on paper may seem a little far-fetched, but in principle the authenticity problem is identical with the one concerning electronic documents.

In practice, the authenticity of electronic documents is more deeply and more frequently dependent on context than is the case with documents on paper. This is due to the fact that electronic documents are dependent on facilities that are changing rapidly.

## **8. An example of separation of form and content of electronic documents**

Dependence on surroundings can be illustrated by the above example of an outgoing document, only an electronic one this time.

Suppose that the document is written in a word processing program and e-mailed as attachment (in the ordinary data format of the word processing program) (State 1). When the recipient reads the letter in his word processing program there is a considerable risk that it is more or less corrupt, i.e. presenting another appearance on the recipient's side than on the sender's.

The main reason is that the ordinary data format of the word processing program demands a great deal of interpretation in order to be reproduced correctly, and that all programs are not equally good at interpreting the data formats of others.

It might be thought that when a letter is filed (State 2), at the side of the sender (the creator of the archives), there will be no problem of authenticity as there will exist an electronic copy of the dispatched document. However, this is in fact rarely so, for if the electronic copy is of the ordinary data format of the word processing program, a display of the filed document on a colleague's machine only a few moments later might easily be corrupt in the same manner as was the case on the recipient's side. One of the reasons is that the dispatched document is dependent on data that are not present at the recipient's machine; it may be anything from a specific font to a linked spreadsheet being only available on the sender's side.

When the filed document has been in the archives of the sender for a few years or only for some months, there is a considerable probability that the sender has changed his word processing program, and so the risk of corruption will have increased (State 3); in fact, it is not even certain that the document in the earlier data format can be read at all by the new program.

But if the new program has a capacity of reading the older documents, additional problems of authenticity tend to arise if, in order to facilitate the daily use of the documents, the sender permits the letter to be saved in the new data format and thus to replace the original format by another one. When the document is handed over to another archives, e.g. a public archives institution, new problems of authenticity may arise if this institution, with a view to e.g. efficiency, can only receive the document in a data format that differs widely from the one used by the sender (State 4).

## **9. Details and Authenticity**

With some simplification the problems concerning the separation of form and content may be summed up in a consideration of the document's details. If it turns out to be difficult or impossible to transfer all details correctly to the other form – with the necessary consequence that form and content have to be separated – we must estimate how essential the details are for authenticity.

## **10. Electronic documents and their greater need for a separation of form and content**

The two examples are meant to show that fundamentally the problems concerning authenticity and separation of form and content are the same with documents on paper as with electronic documents, but that in practice the problems are often greater and more frequent with electronic documents because of their dependence on rapidly changing facilities.

This naturally suggests the question whether that dependence might be brought to the same level as the dependence to which documents on paper are subject – or, if not, it might at least be diminished. In practice the answer is no and yes respectively. A more detailed answer depends on the chosen preservation strategy for electronic documents.

Briefly, the three prevailing strategies can be described as follows:

*The museum strategy:* One abstains from separating form and content, attempting instead to keep up the old machines, media and programs with which the data are created.

*The emulation strategy:* One abstains partly from separating form and content, transferring instead the data to new media and machines and making programs that imitate the old programs with which the data were created.

*The migration strategy:* One separates form and content, transferring data to new machines, new media and new formats.

If we pay attention to authenticity alone, the museum strategy and, next to it, the emulation strategy are strongly preferable to the migration strategy. But it would result in an early abandonment of electronic documents if one of the first mentioned strategies were chosen, as neither of them can be used in practice: No matter how attractive they are, they are technically and economically impossible. We can hope that one day we will have attained such a degree of standardization in the IT-field that the emulation strategy will be viable, but as this may not happen for a very long time to come, it must at present be regarded as a Utopian vision.

In practice it is necessary to employ the migration strategy. Putting it somewhat teasingly: we have to change in order to preserve. We can, however, reduce the extent and frequency of the need for a separation of form and content if we, as far as possible, apply standards, preferably widespread official standards, or else accessible market standards.

## **11. The merging of authenticity and preservation of electronic documents and archives**

To a considerable extent initiatives taken in order to secure the authenticity of electronic documents and archives are merging with initiatives to secure their preservation.

Prevention is essential: to avoid the problems or to reduce them from the outset. When first they have arisen, they may be very expensive or impossible to handle. Especially one must be prepared for situations where it may be difficult to separate form and content, or to discern differences between the form that is carrying the content, and the form to which the content is going to be transferred. The above example of an outgoing document in four states may help to indicate what can be done:

### *Organize and adapt the application before documents are created*

Avoid applications and functions, which make it difficult to separate form and content, as such an impediment will cause problems in relation to authenticity. In the above example the sender can limit the use of functions and in this way render it simpler to reproduce the document (State 1).

Generally we ought to avoid functions that are dynamic or capable of taking several possible courses or of developing on different levels. It is easier to file a sound recording or a video recording than to file a spreadsheet or a word-processed document containing hidden notes. The reason is that a sound recording or a video recording is continuous and only intended for one single way of presentation. In contrast, spreadsheets usually can be presented as formulas, as numbers and as diagrams, and correspondingly, a text processed document can be displayed with

or without notes, or it may contain dynamic links (hyperlinks) to other parts of the document or to parts of other documents.

*Secure the data by filing them as soon as possible after their creation*

When the document of the example has been written, it ought to be filed as soon as possible (State 2). A later filing spells an increased risk of omissions or corruptions. By filing at once we take care that the document remains a unity, its content being encapsulated or embedded so that it does not consist in linked up parts beyond the reach of the archives. The document might perhaps include a linked up spreadsheet. By immediately filing the document we can eliminate the risk that content might be moved, deleted or altered by filing at a later date.

*Choose form with a view to purpose: authenticity, not daily use*

When the document of the example is stored and used in the archives of the sender (State 3), we should stick to the purpose of having a document and let this purpose be reflected in the form in which we choose to have the document. Here it is taken for granted that the purpose is one of safeguarding authenticity and not one of facilitating daily use. These purposes should not be mingled only because electronic documents, in contrast to documents on paper, easily can be reused for creating new documents. We ought not to accept a compromise as regards authenticity by choosing to have the document in a form which facilitates its reuse, but weakens the authenticity. When – what is often the case – no single form can answer both purposes, authenticity should be taken into consideration first, and reuse only next. We might also choose to save the content in different forms according to purpose, i.e. in one form with the purpose of safeguarding authenticity, and in another with the purpose of reusing the document. When reuse is the purpose, it is more important to consider editing, size and speed than constancy, representation, etc. If we choose also to keep the content in a form intended for reuse, we must remember to compare with the form intended for authenticity whenever we are creating something whose authenticity is of importance.

Thus the document from the example ought to be filed as a graphic presentation (e.g. the graphic format TIFF) with a view to authenticity. If there is a great need for reuse, the document can, as mentioned above, be kept in a word processing format.

*Provide for future transformations and future separations of content and form*

Generally one should not put data of one form into a system without considering how they can be taken out in another form.

Before the document is going to be transferred from the archives of its creator to another archives (State 4), it should be considered how the transfer should be carried out. We also ought to reflect upon the fact that in time more transformations and repeated separations of form and content will take place. It is exactly in this manner that the document will be preserved if the migration strategy has been chosen as preservation strategy.

As the transfer to another archives will take place at some future date, we have only limited possibilities of knowing what should be taken into account. By way of precaution we ought not to transfer the content to a form from which the content cannot be separated at this time, not even if we are expecting that the problems will be solved in future.

If, in addition, precise facts are known about the form to which the content is going to be transferred, these details should be taken into account. If we know that the document is to be transferred to another archives, i.e. a government archives institution or a company archives, we

ought to study the form that is employed by the receiving archives and adapt our procedure to this form. This ought to be done not only for reasons of economy, but also – and primarily – in order to secure the authenticity, as even the most careful transformation will endanger authenticity.

## **12. Developments concerning authenticity of electronic documents and evidential value of digital documents**

Apparently, there are several trends. The dominating one is that the same content is represented in a number of forms. Thus you may get your information, e.g. a statement of account, on paper, WAP, HTML, DjVu, Excel and PDF. This general, increasing separation of content and form ought to imply that lesser importance is attached to form and greater to content, including dependence on surroundings.

Reversely, it also happens that a few forms are singled out as the only ones that can be used for purposes where authenticity and evidential value is of importance.

## **13. Conclusion**

In practice, the greater need of separating form and content of electronic documents and archives will imply that great weight is attached to the context of electronic documents and archives and to practical steps to reduce loss of formal aspects. The description of the trend towards representation of the same content in many different forms is meant to show that the evidential value of digital documents and the authenticity of electronic documents and archives is not a fully clarified issue, but rather one that deserves further debate and interdisciplinary cooperation at the European level.

## **5b. INTERDISCIPLINARY COOPERATION ON ELECTRONIC DOCUMENTS AND ARCHIVES; DLM FORUM, NORMS, BEST PRACTICES**

**Proposed concrete actions:**

- 1. To co-ordinate the DLM Forum (Document Lifecycle Management) priority activities, in particular the further development of the MoReq project (Model Requirements), including the addition of non functional requirements, the review of metadata content, and the promotion and dissemination of versions of the new MoReq report in the official languages of the European Union.**
- 2. To prepare and organise future DLM Forum meetings and seminars.**
- 3. To plan and organise the next DLM Forum Conference on electronic documents and archives in Budapest (or another venue) in the autumn 2005.**
- 4. To establish a concise description of a European DLM-network action plan for the period 2005-2007, including the concrete actions under points 1 to 3 (tentative estimation : € 330.000 over 3 years) above, in order to further develop interdisciplinary cooperation on electronic documents and archives in Europe.**

**Future orientations:**

- 5. To examine certification procedures for the MoReq project, sharing practical experience and best practice, education, working on long term preservation and legal issues, and to establish priorities and goals for funding the DLM Forum.**
- 6. To reinforce the DLM Forum and DLM Network EEIG (European Economic Interest Group) and to provide regular feedback to the proposed official Archivists Committee of the EU-Member States and EU-Institutions.**

### **1. Introduction**

Electronic Government is a fact in Europe which means that we have increasingly to deal with electronic documents and archives. Legislation, standards and other norms make it necessary to cooperate at a supranational level within the European Union. To use each other's experiences, best practices and solutions in managing electronic documents and archives whether it concerns accessibility or long term preservation of authentic information is therefore necessary. The DLM Forum and Network has in this respect proved to be a success and has yielded important results (see <http://www.dlm-network.org>). This cooperation and coordination together with the management of priority projects within the framework of the European DLM-Network is now a reality. The development of the DLM-Network is thus in this respect filling a gap between the EU-Member States. To continue carrying out this interdisciplinary work at the national and

European level, resources are needed for various purposes as is indicated above.

## **2. DLM-Forum 1996**

The work with DLM started as a result of the Experts' Report *Archives in the European Union* and confirmed by the EU Council Conclusions of June 1994. It led to the first interdisciplinary European DLM- Forum in Brussels in December 1996. This conference was organised by the European Commission in close cooperation with the Member States and it hosted more than 300 experts and decision-makers from the public administration, archival services, industry and research. It was mainly preoccupied with the lifecycle concept of electronic documents and archives.

The DLM-Forum 1996 clearly demonstrated that the issues concerning the preservation of and access to electronic documents and archives are not only the task of archivists but also of other professions such as legal advisers, administrators, auditors and suppliers from the ICT-industry. The acronym DLM on this occasion was interpreted as "Données Lisibles par Machine" (machine readable data). At this conference ten follow-up points were adopted (see Proceedings DLM-Forum 1996, INSAR European Archives News, supplement II, 1997, pages 350-354; <http://www.dlm-network.org>), which formed the basis for the work for the coming years.

## **3. DLM-Forum 1999**

The second DLM-Forum was held in Brussels in October 1999 with the title *European citizens and electronic information: the memory of the Information Society*. Some 400 experts and decision-makers from public administration, archival services, research and industry gathered to examine how to safeguard the lasting memory of the Information society and how to provide the European citizen with improved and smooth access to electronic documents. The Forum was another important step towards genuine multidisciplinary co-operation at the national, European and international levels in the field of electronic documents and archives management. The conclusions of this Forum (see Proceedings DLM-Forum 1999, INSAR European Archives News, supplement IV, 2000, pages 340-343; (see <http://www.dlm-network.org>) emphasized the need to bring the users and the information and communications technology industry closer together. For this purpose a special DLM message to the ICT-industry was formulated by the Forum addressing the main issues (see Proceedings DLM-Forum 1999, INSAR European Archives News, supplement IV, 2000, pages 346-348; (see <http://www.dlm-network.org>). Secondly, the DLM-Forum made further progress on the development of a modular European training programme in electronic and records management (E-TERM) for administrators, archivists and other information specialists. Finally, the Forum asked the European Commission together with the interdisciplinary DLM-Monitoring Committee to reinforce the DLM-Action plan on electronic documents for the period 1999-2004.

## **4. DLM-Forum 2002**

The third DLM-Forum took place in Barcelona in May 2002 during the then EU-Presidency of Spain. With the large presence of the ICT-industry it was the first DLM-Forum attended by a new generation. The main objective was to bring forward the most recent expertise and

applications in this field, to focus in particular on the access and the preservation of electronic information and to present concrete results and best practices. The Forum hosted some 600 experts and decision-makers from public administration, archives services, research and industry. It was especially emphasized that public sector information plays a fundamental role in the proper functioning of the internal market. A new and specific characteristic of the DLM-Forum 2002 was the active involvement of the ICT-industry. The Barcelona Forum indicated that the ICT-industry has risen to the challenge issued by the DLM-Forum 1999 in its message to the industry. The positive reply and the commitment to address the issues at stake and discuss concrete solutions and best practices with the public administration and archives services was one of the main achievements of the 2002 Forum. Furthermore, six industry white papers, prepared by specialist companies and presented at the DLM-Forum 2002, dealt with issues such as user access and protection of information; long term availability and preservation; education, training and co-operation. These issues are of direct concern to the preservation and accessibility of documents and archives to the European citizen and coincide with the work within the public sector.

The conclusions of the third DLM-Forum 2002 concerned the following five main issues:

- The continuing reinforcement of co-operation with the concerned ICT-industry.
- The progressive application of specifications of European model requirements to the management of electronic documents and archives (MoReq).
- The progress on professional education and training on electronic document and archives management. In this context the ongoing development of competences, standards and knowledge profiles were stressed.
- The examination of possibilities for the coordination of legal regulations and standards concerning e-government at the regional, national and European levels, which affect the field of document and archives management.
- The launch of the European DLM-Network of excellence on electronic documents and archives as one of the major results of the DLM-Forum 2002.

The acronym DLM was now interpreted as “Document Lifecycle Management” to reflect the broadened scope of this initiative. See for more details the Proceedings DLM-Forum 2002, INSAR European Archives News, 2002, Supplement VII, pages 594-602; <http://www.dlm-network.org>).

## **5. Development after 2002: European DLM-Network**

Following the conclusions of the DLM Forum in Barcelona, it was agreed to establish the European DLM-Network EEIG (European Economic Interest Group) as a legal entity and the DLM Forum as the constitutional body. The establishment of the DLM Forum as an EEIG greatly facilitates making applications to the 6th Framework programme for example, as this joint venture facilitates funding applications without creating any legal liability associated with commercial contracts for the National Archives.

It is important to continue the successful series of INSAR publications. The most recent and important large studies are “Better access to electronic information for the European Citizen”

from 2001 and “Model requirements for the management of electronic records” from 2002. The INSAR series Information Summary on Archives, which is published by the European Commission in close collaboration with the EU-Member States, has proved to be of great informational value for archivists all over Europe. The comprehensive proceedings from the three DLM-Forums have been published soon after the conferences and are widely used.

There have been several meetings in order to establish routines and plans for the future work. A full meeting was held in Brussels in July 2003 so that the needs and priorities of each participating organisation could be tabled and understood. Since then this has been the basis for the work of DLM Forum. The format of the future meetings has been discussed and it was the wish of the members to focus on in-depth exchanges of information and expertise in the field of electronic documents and archives and thus organize more elaborate meetings (2.5 days) rather than one day meetings. This format has been tested at the DLM Forum meeting in Dublin in March 2004 and approved. The work has been continued in Dublin in four working groups with the following themes:

- Sharing practical experience, orientations, guidelines, best practice, education, needs of new Member States.
- MoReq - Further development and certification for model requirements for electronic documents and archives management systems.
- Long term preservation and legal issues.
- Priorities and goals for funding the DLM Forum.

The reports from the working groups showed a surprising convergence of views and this augured well for the future.

The main objective is to establish an operational network for information and content managers and users of electronic documents and digital assets. DLM will provide a platform for multidisciplinary cooperation between archivists, public administration, research and ICT-industry.

The constitution and membership arrangements had been put into place subsequent to the meetings and no queries have been raised. The constitution is now in place and about 25 organisations have joined. It should be particularly stressed that each of the National Archives Services of the EU-Member States has five votes compared to the single vote of other membership categories, which gives the National Archives Services effective control of the DLM Forum and puts them in a strong position from which to influence the future direction of the Forum.

The subsequent DLM Forum meeting will be held in the Netherlands during the Dutch EU-presidency. The National Archives of the Netherlands will host this meeting in The Hague, 18-20 October 2004. Moreover, there are continuing discussions with the Hungarian Government and the National Archives of Hungary to stage the next large DLM Forum Conference on in the autumn 2005. This will be in line with the three year cycle for the large DLM conferences. It is also considered to be great advantage to arrange the DLM-Forum 2005 in one of the new EU-Member States.

As already emphasized, the National Archives Services of the EU-Member States are the driving force behind the future DLM-initiatives. Archival principles and practices must form the basis in this work. To accomplish needed results, archivists must cooperate with other sectors and bodies, such as ICT-industry, public administration, legal experts, users, research. The tasks are great and demanding and this necessitates adequate use of resources. There has been a considerable diversity regarding documents and archives management in the past for several reasons. More recently, however, increasing convergence, not in the least in the legal area, has led to greater concordance and has necessitated growing inter-connections among the National Archives Services of the EU-Member States and EU-Institutions. Issues like authenticity and long term preservation of electronic documents and archives are also of high importance for the private sector and ICT-industry. The DLM Forum can function as an important player in fostering links between ICT-industry, public administration and the archival world, in presenting best practices and solutions, in coordinating developments in the areas of standardisation, legislation and education, and in serving as a continuous exchange of information and developing new initiatives.

There have been regular presentations of the progress of the DLM Forum and its conclusions at all European Board of National Archivists (EBNA) meetings since Athens in June 2003. In the work following the Council Resolution of 6 May 2003 on archives in the EU-Member States and in connection with the subsequent Report on Archives in the enlarged European Union, which has been presented by the European Commission to the Council of Ministers, the DLM Forum has made various representations about these activities and work is progressing well.

## **PART 6: ACTION PLAN e-EUROPE AND OTHER RELATED ACTIVITIES AT THE EUROPEAN LEVEL**

### **Proposed concrete actions:**

- 1. To draw up a project plan to make available images of significant historical documents and archives from each EU-Member State and EU-Institution as digital content on the proposed Internet Gateway to archives in Europe (see chapter 2d), in support of the Lund Principles.**
- 2. To promote the development of cross-border digitisation projects by archives services in the EU-Member States and EU-Institutions.**

### **Future orientations:**

- 3. To raise awareness of other related activities in this field such as the Minerva and ERPANET projects among the archives services of the EU-Member States, so that they can take full account of this work in planning future digitisation projects.**
- 4. To ensure that archives services throughout the European Union make an appropriate contribution to the development and execution of future e-Europe Action Plans and similar programmes.**

### **1. e-Europe and the Lisbon Strategy**

The e-Europe initiative was first proposed by the European Commission at the end of 1999 and endorsed by the European Council in Feira as part of the Lisbon Strategy to modernise the European economy. The objective of eEurope was an ambitious one: to bring every citizen, school and business online and to exploit the potential of the new economy for growth, employment, and inclusion. The first e-Europe Action Plan, 2000-2002, had three aims: a cheaper faster more secure Internet; investment in people and skills and stimulating the use of the Internet. It consisted of 64 targets and nearly all were successfully achieved by end 2002.

The second stage is the e-Europe 2005 Action Plan which was endorsed by the European Council in Seville. The 2005 objective is that Europe should have modern online public services (e-government, e-learning services, e-health services) and a dynamic e-business environment and, as an enabler for these, widespread availability of broadband access at competitive prices and a secure information infrastructure. For further information see: [http://europa.eu.int/information\\_society/eeurope/2005/index\\_en.htm](http://europa.eu.int/information_society/eeurope/2005/index_en.htm)

## 2. e-Europe Action Plans and digitisation

*"Europe's cultural and scientific knowledge resources are a unique public asset forming the collective and evolving memory of our diverse societies and providing a knowledge basis for the development of our content industries in a sustainable knowledge society." – Lund Principles: conclusions of a meeting of EU-Member States, Lund, 4 April 2001.*

This statement is the rationale behind the activities undertaken by the Commission and Member States to develop coordination mechanisms between digitisation programmes, particularly with respect to the content held in Europe's archives, libraries and museums. Digitisation is an essential first step to generate digital content that will underpin a fully digital Europe and provide the intellectual capital for the knowledge economy. Digitisation is a vital activity in preserving Europe's collective cultural heritage and diversity and in providing improved access for the citizen to that heritage.

The critical role played by digitisation was recognised by the e-Europe 2002 Action Plan. Amongst the objectives of that Action Plan was that of stimulating European content in global networks in order fully to exploit the opportunities created by the advent of digital technologies. One specific action stated that " Actions at national level will be complemented by **greater co-ordination of digitisation programmes across Europe** to ensure wider access to Europe's common heritage.

There is a considerable financial and human effort invested in projects and in a variety of digitisation campaigns across Europe yet these activities are highly fragmented and many obstacles put in jeopardy the success and economic sustainability of these initiatives over time. These obstacles include:

- the diversity of approaches to digitisation
- the risks associated with the use of inappropriate technologies and inadequate standards
- the challenges posed by long-term preservation and access to digital objects
- the lack of consistency in approaches to Intellectual Property Rights (IPRs)
- the lack of synergy between cultural and new technology programmes

Therefore, better awareness of what is going on in other countries (and within countries) at policy and project level, guidelines, development of best practice, and the promotion of standards which support interoperability contribute to providing a better access to digitised resources and to improving the effectiveness of digitisation initiatives.

The main conclusions at the meeting in Lund were that Member States should:

- Establish an evolving forum of coordination
- Support the development of a European view on policies and programmes
- Develop mechanisms to promote good practice and skills developments

- Work in a collaborative manner to make the digitised cultural and scientific heritage of Europe visible and accessible

The Commission could help achieve the e-Europe objectives by:

- Supporting coordination activities
- Enabling the creation of centres of competence
- Fostering the development of benchmarking standards for digitisation practices
- Encouraging a framework that would enable a shared vision of European content
- Assisting Member States to improve access and awareness of citizens by enhancing the quality and usability of content and the development of models to enable eEurope enterprises

In this framework, the MINERVA project was funded by the Commission under the Information Society Technologies (IST) Programme, as an operational instrument for implementing the coordination between Member States, through supporting bi-annual meetings of their representatives, and for managing the activities of the different workgroups needed to achieve these objectives. Its activities have recently been extended to include more intensively the new Member States and their existing digitisation activities in the initiative. MINERVA has published, with the Commission, a number of documents and reports summarising the work undertaken at European level and in the Member States, principally two annual progress reports.

Our cultural and memory organisations - archives, libraries and museums - all face similar challenges in exploiting the potential offered by the use of information and communication technologies. These challenges are both technical and organisational, requiring basic paradigms, concepts and workflows to be re-evaluated in order to adopt the right technologies, exploit commercial opportunities, ensure long-term sustainability and embed the skills needed to manage the process. Part of the work carried out includes the identification and promotion of best practices, the development of practical guidelines to support good practice, and guidelines on technical standards necessary to support discovery, interoperability and sustainability of the digitised content. These documents are discussed with Member States and with practitioners and are gradually being translated into the different national languages for use by archives, libraries and museums in implementing their digitisation processes.

### **3. Contribution of EU-funded research**

These activities are also supported by work undertaken in other research projects, funded under the IST Programmes, which explore more innovative applications or use of emerging technologies. A number of these provide support to the activities and functions of archives, whether in generating digital representations of their holdings or in providing new opportunities for access over the Internet, or using VR-driven interfaces to explore local archives. They cover such diverse topics as: scanning and recognition of handwritten or annotated typewritten records; advanced imaging for the restoration of degraded documents; information systems for accessing archive material; automatic generation of metadata from the scanning of printed documents.

A further contribution is being made from actions funded under the research programmes to the development and dissemination of knowledge of the issues surrounding the preservation of digital content. The importance of this for archives, libraries and museums is set out clearly in the Council Resolution of 25 June 2002 on preserving tomorrow's memory — preserving digital content for future generations. The project, ERPANET, has been working to make viable and visible information, best practice and skills development in the area of digital preservation of cultural heritage and scientific objects. It is led by HATII, University of Glasgow and numbers the Schweizerisches Bundesarchiv and the Rijksarchiefdienst in its consortium, along with the Università degli Studi di Urbino. It brings together memory organisations (museums, libraries and archives), ICT and software industry, research institutions, government organisations (including local ones), entertainment and creative industries, and commercial sectors in a series of awareness and knowledge generating activities, which include workshops and seminars, case studies, development of a knowledge base and good practices/guidelines.

## **PART 7: AUDIO-VISUAL ARCHIVES**

### **Proposed concrete actions :**

- 1. To follow up the Council Resolution of 24 November 2003 (OJ EU C 295/5, 5.12.2003) concerning the deposit of cinematographic works in the European Union.**
- 2. To develop criteria for the description and preservation of audio-visual recordings and archives in Europe.**

### **Future orientations:**

- 3. To promote common standards and best practice for the migration of existing audio-visual archives to modern digital forms.**
- 4. To develop common standards for film archives databases in order to make them interoperable.**

### **A. Introduction**

At European Union level, four texts linked to the protection of the film heritage have been adopted since 2000:

- The Council resolution of 26 June 2000 on the conservation and enhancement of European cinema heritage calls on members states to cooperate in the restoration, conservation et encourage the progressive networking of European archival data (2000/C 193/01);
- the European Commission communication of 26 September 2001 on certain legal aspects relating to cinematographic and other audiovisual works has examined the legal deposit of audiovisual works as one of the possible ways of preserving and safeguarding the European audiovisual heritage and has created an experts group in the field of cinema (COM(2001)534 final);
- the Council resolution of 24 November 2003 on the deposit of cinematographic works in the European union proposes the setting up of efficient systems of deposit and preservation of the cinematographic works forming part of the audiovisual heritage that have receive public support at national or community level (2003/C 295/03);
- the Commission communication to the Council, the European parliament, the Economic and social Committee and the Committee of regions of 19 March 2003 on the follow-up to the Commission communication of 26 September 2001 which includes a proposal for a Parliament and Council Recommendation on film heritage (COM(2004)171 final).

At the international level, the Council of Europe convention for the protection of audiovisual heritage of 8 November 2001 provides that each party has to introduce the obligation to deposit moving image materials, which have been produced or co-produced in their territories and form part of its audiovisual heritage.

During the last three decades, there have been several initiatives by UNESCO and other world-wide or European organisations to prepare international or supranational legal instruments and/or professional standards to ensure the best possible preservation of audio-visual archives. The main reason for these efforts was the deplorable loss of such materials in the past, and there are many reasons for this loss.

In former times, the most important factor would have been a lack of awareness, even among archivists, librarians, museum curators and other responsible professionals. The second one is the deplorable physical and chemical deterioration of materials due to improper preservation. The third one in several countries still is an insufficient legal basis. The fourth is the lack of professional co-operation between specialised institutions and traditional public archive services, libraries or museums at the national and international levels. The last reason, but no means the least, is the obvious lack of funding by governments as well as by responsible private and semi-private institutions.

This chapter does not aim at a new definition of what audio-visual archival materials all over Europe really are, but it should at least list those materials that may fall under the definition. The term “audio-visual” definitely excludes textual (traditional and electronic) documents and, in the broadest sense, comprises all other kinds of archival materials. This may lead to a definition of the term “audio-visual archives” which could include:

1. Maps, plans, drawings etc.
2. Still pictures
3. Sound recordings
4. Cinema films
5. Television materials.

These materials by definition are cultural goods which are part of our cultural heritage, but do not necessarily lie within the competence of an archive service, a library or a museum. They may be preserved by one or several of these institutions. Archive services, in principle, are responsible for materials which by their nature are unique, while libraries collect products which have been produced for distribution or have been reproduced and distributed among several receivers. Museums may collect both types of material, but are by no means restricted to art objects. Comparing this general distinction with daily practice, one has to admit that borderlines in this area, even within the same country or cultural tradition, are by no means clear.

Archive services, libraries and museums together are responsible as custodians for the permanent preservation of cultural goods, including audio-visual materials. In Europe, this joint responsibility is widely acknowledged to be a public obligation. Many of these “cultural institutions”, therefore, are run or subsidised by governments or other public authorities. They should avoid any rivalries amongst themselves, but combine their efforts so as to carry out their work effectively.

This chapter, therefore, offers at the outset this first conclusion: Irrespective of the cultural tradition and administrative structure in a given country, the public archive authorities, in co-operation with libraries and museums, have an obligation to make sure that these materials are well preserved, either in their own custody or in that of other institutions such as specialised

archive services, libraries or museums. If they do not succeed in doing so, they should draw their government's attention to the problem.

## **B. Purpose and specification**

Certain kinds of audio-visual materials are treated in more detail in this chapter.

1. From the perspective of a traditional public archivist, there are no major differences between responsibility for traditional paper documents on the one hand, and for maps, plans, drawings etc. on the other. Public agencies, and private institutions too, produce all sorts of material of this kind, which has traditionally been taken over by public and/or private archive services. This is why this chapter need not discuss the problems of the preservation of these materials.
2. In the field of still pictures one should distinguish between traditionally drawn pictures and photographs. Traditionally drawn pictures are archived in a comparable way to paper documents, while photographs need a technically different treatment. This difference led to the result that in a few European countries photographs, even though of public origin, are taken care of by film archives and not by the traditional public archive services. Since the difference between the method of preservation of photographs and that of traditional paper documents is a technical problem, the details of this problem also do not need to be discussed in this chapter.
3. Sound recordings are produced by government and other public agencies as well as by public or private broadcasting companies or other private institutions. The legal and technical problems of archiving sound recordings do not decisively differ from those of cinema films and television materials. On the other hand, it must be underlined that the problems of appraising sound recordings for Parliament or Government departments vary depending on whether they were produced by public authorities or by broadcasters. This leads to the result that materials of permanent value are not necessarily transferred to a single archive service in a given country, but according to their provenance may be transferred to different public or private archive services. However, even a government archivist could go one step further. If the bulk of sound recordings originating from a public authority, such as a government department, be less significant in quality and quantity than that being produced for example by public broadcasters, one could even transfer archival materials of governmental origin to other than public archive services as long as access to these public records (sound recordings) for researchers is guaranteed by archival legislation.
4. As far as cinema films are concerned they differ in three principal ways from traditional paper documents :
  - a) The paper documents taken over by a public archive service were and are mostly or totally government-produced, while the bulk of cinema films, in particular movies, were and are produced by private companies.

- b) The medium of filmed information (nitrate, acetate, polyester) needs special treatment different from that for paper documents.
  - c) In a large number of European countries, public archive services have legal power to get cinema films transmitted to them through legal or contractual deposit. Since experts, in particular film experts, soon came to realise the historical value of cinema films far beyond the profit to be made by later presentations or remakes, they established special film archives instead of co-operating with public archive services. Even in those countries where the government took the initiative to preserve films in a public institution, the services of the national archive service were not used nor offered. Sometimes, government-produced films, in particular documentaries, were transferred to public archive services, while privately produced films, especially movies, were not. There are even cases where for technical reasons government-produced films were deposited with or donated to private or special public archive services. Sometimes, the lack of archival legislation or archival legislation not covering cinema films did no harm, since legislation on legal deposit was satisfactorily introduced. On the whole, and especially up to the 1970s, the arrangements for archiving cinema films varied from country to country, but on the whole this does not mean that arrangements are satisfactory in all countries. The cases of Estonia, Germany, Lithuania, Slovenia and maybe others, where the National (Federal) Archives' institutions are responsible for privately produced cinema films as well, are the exceptions which prove the rule.
5. There are many similarities and common problems in the fields of cinema and television archives. The main difference is that in many countries television archival materials are archived only for the purpose of re-use by the television company and are, therefore, not easily accessible by the general public. In theory, there is a big difference between public and private companies. In practice, one cannot avoid the impression that some public broadcasters regard their television archives as private property without any obligation to grant access to third parties irrespective of their needs, be they scholarly or not.

In the light of these observations, it seems reasonable to discuss in more detail the responsibility of public archive services for the problem of cinema films and television materials.

### **C. Cinema films**

The aim of the European (Council of Europe) Convention for the protection of the audio-visual heritage of 8 November 2001 is “to ensure the protection of the European audio-visual heritage and its appreciation both as an art form and as a record of our past by means of its collection, its preservation and the availability of moving image material for cultural, scientific and research purposes, in the public interest” (Art. 1). The policy of the European Union is in full agreement with this Convention. However, only seven Member States (Austria, France, Greece, Hungary, Lithuania, Portugal, Slovakia) have signed the Convention so far, and only one (Lithuania) of them has ratified it. The Convention has not yet come into operation.

The Convention obliges the signatory powers to introduce, “by legislative or other appropriate means”, a legal deposit of “moving image material forming part of its audio-visual heritage”. Its scope of application is limited to “cinematographic works”.

“Cinematographic work” means “moving image material of any length, in particular cinematographic works of fiction, cartoons and documentaries, which is intended to be shown in cinemas”. This definition is professionally and economically satisfying, all the more so as the legal deposit is envisaged for the deposit of “moving image material forming part of its audio-visual heritage and having been produced or co-produced in the territory of the Party concerned”. It is better to tolerate the differing definitions between “moving image material” and “cinematographic works” than to try in vain to define the difference between the two terms. The decisive progress in all these definitions is the wording “forming part of its audio-visual heritage”, since it enables the member countries to define themselves what materials belong to their audio-visual heritage. In practice, the European Convention applies to cinematographic works only, but at the same time opens the legal door for the preservation of other audio-visual materials, since protocols may be drawn up to extend the application of the Convention, both in theory and practice, to moving image material other than cinematographic works. Such protocols would have the same legal validity as the Convention itself.

The obligations of the Convention in no way affect the provisions of international treaties on the protection of copyright and related rights. No provision of the Convention may be interpreted as prejudicing such protection. It is made clear, too, that national rights of this kind have to be observed. Archivists know that copyright and related rights never justify ill-considered archive policy, but are sometimes misused as an excuse for professional shortcomings.

In consideration of the differing legal systems of European countries, the Convention, therefore, wisely introduces the general obligation of legal deposit by giving the member countries of meeting this obligation either by “legislative or other appropriate means”.

Here lies the professional responsibility for the archive services of the member countries. They should feel the moral obligation to make sure that the best possible choice will be made. The political problem in more than one country is not lack of good will on the part of governments, but their reluctance to impose any burden on the shoulders of film producers. Archivists should explain that the cost of transferring a copy of any movie to an archive body in good time is much lower than the cost of restoration of damaged film later. It is economically more than unwise not to sign the Convention, since the pressure to produce or to pay for an additional copy of a cinematographic work will save a lot of money in the future. Archivists succeeded in convincing the Council of Europe that the decision as to what kind of materials belong to the audio-visual heritage of a given country should be made by the country itself.

The Convention does not designate the archive bodies which will take responsibility for this, but, in an admirably liberal way, leaves the decision to member countries which may designate “one or more” archive bodies to ensure the “preservation, documentation, restoration and availability for consultation of the deposited material”. It even allows the designated bodies to be either public or private, but specifies that they must not be controlled directly or indirectly by any natural or legal person principally engaged in profit-making activities in the media sector. This regulation allows all appropriate decisions to be taken in the framework of the legal and administrative system of a member country, whether federal or not, and whether its legal system is influenced by common law or Roman law.

On the other hand, there is an urgent need for the parties, in particular governments, to oversee the execution of the tasks assigned to archive bodies. This duty has to be taken seriously in order to make the system work.

Since cinematographic works can be preserved properly only if they are restored in the best possible way, it is clear that the Convention must oblige governments to ensure that archive bodies have the necessary means to carry out legal deposit functions especially for preservation and restoration. The deplorable loss of so many cinematographic works in the past has led to the need to make appropriate arrangements for the protection of the audio-visual heritage in cases where the materials are not protected by legal deposit. This means in simple words: the Convention is not applicable to those materials taken over by archive services in the past, but these materials are also exposed to imminent danger which threatens their material existence.

Since there always is a conflict between the obligation to deposit and the proprietors' rights, there may be cases in which an obligatory legal deposit would not work. The Convention, therefore, asks the Parties to encourage and promote the voluntary deposit of moving image material, including ancillary material, forming part of its audio-visual heritage. Any voluntary deposit should be secured by a contract with the rights holders including the conditions under which the deposited moving image material may be made available to the public.

When preparing the Convention, the experts of all kinds who assembled in Strasbourg (lawyers and professionals in different fields) were eager to avoid any waste of money. For example, the Convention allows parties to decide to establish joint archive bodies and voluntary deposit bodies so as to prevent governments from arguing that they are not in the position to run an archive service of their own.

From the experience of a traditional public archivist one should add some remarks on the need for international co-operation among the Member States of the European Union and outside. The difference between a film archive and a cinemathèque, a French word which is used in English terminology too, is sometimes not observed in the way an archivist would like. "Cinemathèques" collect all films they like; film archives usually have competence for a specified range of films. But since cinematographic works may be duplicated without difficulty, money and energy are wasted because there is not sufficient co-operation with, nor acknowledgement of the professional competence of, other institutions. The invitation of the Convention to co-operate not only within given countries, but also across national borders, should be accepted. It will lead to a sharing of the economic burdens, ensuring that all films of historical value are preserved and none are restored more than once. If there is a recognised need to preserve a given film in more than one archive service, a duplicate of the restored film is better than restoring the same film twice or more. The important role, which the International Federation of Film Archives (FIAF) ([www.fiafnet.org](http://www.fiafnet.org)) has already played in the past, should be strengthened in order to make best use of the shrinking means available to meet growing challenges.

Given the uncertainty as to future ratification of the Council of Europe Convention and the date of its coming into force, the proposal for a Council and European Parliament Recommendation on the protection of film heritage in the European Union, will play an important role. It recommends in particular that EU-Members States:

- Collect catalogue and preserve cinematographic works forming part of their audiovisual heritage that have received public support;
- Promote the harmonization of film archives cataloguing by using international and European standards;
- Authorize reproduction of films for restoration;
- Set up a voluntary deposit for moving images other than cinematographic works and commercial materials;
- Set up a standard for the networking of information data.

The European Commission will issue a standardization mandate to the European Committee of Standardization (CEN) in the first semester of 2005. The expected standard would allow the interoperability of the databases of film archives in order to permit the networking of information data. The draft mandate is being analysed by the cinema expert group before being submitted for opinion to the 98/34 directive committee.

The European Commission intends also to consider the funding of research projects in the field of long-term preservation and restoration of films, and to facilitate the negotiation of a standard contract between archives and copyright holders to facilitate access of the public to deposited works.

The Recommendation is expected to be adopted in mid-2005. Once adopted, EU-Member States will inform the European Commission every two years of action taken in response to the Recommendation. The Commission will monitor and assess the extent to which the measures set out in the Recommendation are working effectively, and will consider whether there is a need for further action.

The European Commission's Directorate General "Education and Culture" (EAC) would also like to stress the relevance of this Recommendation for helping to preserve the heritage represented by historical archives in Europe.

#### **D. Television materials**

Archiving television materials is even more difficult than preserving cinema films. The Council of Europe did not address problems in this field in the same legal instrument as for cinematographic works. In this sense, the Convention is just an umbrella which allows additional protocols to take care of moving image materials other than cinematographic works.

The Council of Europe prepared a Protocol on the Protection of Television Productions which defined the term "television productions" as "any moving image material other than cinematographic works, which has been produced for transmission via terrestrial transmitter, cable, satellite or other means, for reception by the public, with the exception of moving image material transmitted on individual demand and interactive moving image material". The obligation on each country to deposit all television productions forming part of its audio-visual heritage is limited to those productions, "which have been transmitted by broadcasters under its jurisdiction for the first time to the public after the entry into force of this Protocol". The economic wisdom of this limitation is underlined and professionally explained by an invitation to

each country to “provide for a system of appraising, selecting or sampling of television productions which are under the obligation of being deposited, in order to define and preserve the television elements of its audio-visual heritage adequately”. This article of the Protocol points to the need to appraise huge amounts of television materials according to traditional archival methods so as to avoid two dangerous developments: the unlimited and, therefore, economically unaffordable preservation of everything on the one hand, and on the other the reduction of the reasons in favour of archiving television materials to the needs of re-use by the television company.

There is no need to discuss all the elements of the Protocol on Television Productions, which are essentially similar or equal to those of the Convention, except for the need for much greater reduction by appraisal than is the case with cinematographic works. The decisive difference between the two is the designation of places of deposit. Unlike the Convention, it provides that one or more broadcasting institutions themselves may be designated as places of deposit. This exception from the principle laid down in the Convention that those institutions which profit economically from cinematographic works must not be designated as places of deposit, is essential for a lot of legal, financial and other reasons. In order to reach results which are legally possible, economically affordable and professionally satisfying, the Protocol requires that all necessary arrangements for the deposit of television productions in places of deposit shall be in accordance with the Protocol. This means in practice that one or several contracts between the parties, i.e. the government and the places of deposit, should be drawn up, to ensure that the public interest is best served. The possibility of concluding more than one contract is an advantage that should be used to provide for the differing legal conditions under which public and private broadcasting companies operate. Public interest includes the best possible accessibility for researchers. There were two main reasons for the efforts to draw up the Protocol: access as well as preservation.

In addition, it should be stressed that the Swedish Government received in May 2004 a Government Committee Report treating both legal and financial issues concerning the preservation and transfer of audio-visual recordings and archives.

## **E. Conclusion**

Many national or federal archive services in the European Union are not completely responsible for the organisational framework within which their countries’ audio-visual heritage is preserved. As a general principle, European legal instruments should be carried out in accordance with the organisation or distribution of competence within national administrations. There is no need for any uniformity, whether or not film or sound archives are part of a central archive authority, as long as the public interest is properly served. This is true for television archives in particular. Most national archive services would be overburdened, if they themselves were obliged to take care of television archives or broadcasting companies’ archives. From an archivist’s viewpoint there is no escape from a solution by which the companies themselves are entrusted with archival responsibility, while public archive services should be empowered to control the archival activities of such companies, whether public or private, in order to ensure that preservation and access are taken care of in a way that serves the public interest.

With regard to the protection of film heritage in the European Union, the European Commission continues to contribute to the follow-up to the Council Resolution of 24 November 2003 (OJ EU C 295/5, 5.12.2003) and to focus particularly on the above mentioned proposal for a Council and European Parliament Recommendation on the protection of film heritage in the European Union.

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**COUNCIL RESOLUTION OF 6 MAY 2003  
REPORT ON ARCHIVES IN THE ENLARGED EUROPEAN UNION**

**LIST OF PROPOSED CONCRETE ACTIONS AND FUTURE ORIENTATIONS :  
INCREASED ARCHIVAL COOPERATION IN EUROPE**

TOPICS	PROPOSED CONCRETE ACTIONS	FUTURE ORIENTATIONS
<b>1a. Archives and the European Institutions</b>	<ol style="list-style-type: none"> <li>1. To set up a common training programme and/or courses for the Archives Services of the EU-Institutions and Organs.</li> <li>2. To ensure the adequate protection of the archival patrimony of the EU-Institutions and Organs against damage through natural and other catastrophes: flooding, earthquakes, terrorist attacks, security risks and other damaging events (cf. also Council Resolution of 6 May 2003, point 8 c) and to apply national and international recognized standards and specifications for the updating of their archival repositories and other archival storage rooms with regard to the preservation and access to documents and archives on paper, electronic and multi-media supports.</li> <li>3. To proceed with a fact finding mission to facilitate cooperation and coordination between the Archives Services of the EU-Institutions and Organs in the field</li> </ol>	<ol style="list-style-type: none"> <li>7. The Archives Services of the EU-Institutions and Organs will contribute actively to the coordination of Europe-wide priority activities on archives, resulting in particular from the present Report, its different chapters and its Executive Summary.</li> <li>8. To support the creation of an official Archivists Committee of the EU-Member States and the EU-Institutions and Organs to ensure archival cooperation and coordination in Europe (cf. also Council Resolution of 6 May 2003, points 8c, d, e and 9).</li> <li>9. Specialist staff and funding will be needed to implement and further develop archival activities (see points 1 to 8 above)..</li> </ol>

	<p>of the modernisation of electronic documents and archives management (cf. also Council Resolution of 6 May 2003, point 8c).</p> <p>4. To strengthen further relations between the Archives Services and the public administration by promoting practical measures, such as the correct application of archival rules, specific presentations of archival expertise for administrative decision makers and other administrators of the EU-Institutions and Organs.</p> <p>5. To organize the regular exchange of information and expertise on the appraisal and selection of documents and files between the concerned Archives Services of the EU-Institutions and Organs and the EU-Member States, with particular focus on EU-documents.</p> <p>6. To further develop the Group for archival cooperation between the EU-Institutions and Organs and to continue strengthening close links between that Group and the National Experts Group of the 25 EU-Member States.</p>	
<p><b>1b. Public Archive Services in the 25 Member States of the European Union</b></p>	<p>In recognition of the importance of maintaining regular formal links for the exchange of information and expertise between the Archives Services of the EU-Member States, and with the Archives Services of the EU-Institutions and Organs, a standing official Archivists Committee of the EU-Member States and the EU-Institutions and Organs should be set up to ensure increased institutional and professional cooperation and coordination on archives in Europe (cf. also Council Resolution of 6 May 2003, points 8c, d, e and 9). This official Archivists Committee should focus in particular</p>	<p>8. The proposed official Archivists Committee should also draw extensively on the expertise of specialists from other disciplines (legal experts, information technology specialists, architects, engineers, geologists) with regard to specific archival issues and projects.</p> <p>9. The Committee should always bear in mind the principle of subsidiarity.</p>

	<p>on the following:</p> <ol style="list-style-type: none"> <li>1. Further development of standards, norms and best practice in the field of archives, in conformity with the specific requirements of the above mentioned Council Resolution of 6 May 2003, and the coordination of Europe-wide priority activities on archives, resulting in particular from the present Report, its different chapters and its Executive Summary.</li> <li>2. Maintenance and development of the essential interrelations and cooperation between archives services and administrators.</li> <li>3. Preservation and prevention of damages to archives in Europe through natural and other catastrophes, such as flooding, earthquakes, terrorist attacks, war disasters, security risks and other damaging events.</li> <li>4. Further development of standards, norms and best practice concerning the authenticity, transmission, long-term preservation, accessibility and dissemination of electronic documents and archives.</li> <li>5. Creation and maintenance of an Internet Gateway to documents and archives in Europe.</li> <li>6. Maintenance and continuing development of such existing initiatives as the European interdisciplinary DLM Forums on electronic archives and the periodical INSAR (European Archives News).</li> <li>7. Monitor progress on the above actions 1-6.</li> </ol>	<p>10. Furthermore, in order to increase the cooperation and coordination on archives at the national and European level, as requested by the Council Resolution of 6 May 2003, it is essential to provide the necessary resources.</p>
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<p><b>1c. Archive Services as part of Public Administration : interrelations and cooperation</b></p>	<ol style="list-style-type: none"> <li>1. To promote increased and continuous collaboration between the Archives Services and the relevant public administration, in particular the establishment of models for document and archives management. Special focus should be placed on the appraisal, description and transfer of documents and archives depending on the legislative and administrative traditions of the country concerned.</li> <li>2. To organize an European Conference on the interrelations and cooperation between Archives Services and the relevant public administration.</li> <li>3. To update and implement archival training for administrative decision matters and other public administrators.</li> <li>4. To establish a concise project description, including the concrete actions under points 1 to 3 above.</li> </ol>	<ol style="list-style-type: none"> <li>5. To further develop the essential link between archivists and document creators, especially in the area of electronic documents and archives management, covering the whole document life cycle.</li> <li>6. To further strengthen the role of the archivist in the establishment of e-government.</li> </ol>
<p><b>1d. Private archives</b></p>	<ol style="list-style-type: none"> <li>1. Archives services should give advice (standards, norms, best practice) with particular regard to the preservation of and access to private archives.</li> <li>2. To encourage cooperation between archives services and private archives in order to preserve, describe and disseminate information about archives as widely as possible.</li> </ol>	<ol style="list-style-type: none"> <li>3. To further examine the control of movement of private archives both within and outside the European Union, and of claims for the restitution of stolen or illegally exported archival documents.</li> <li>4. To address aspects of national and European legislation regarding the preservation and access to private archives.</li> </ol>
<p><b>2a. EU and national legislation relevant to management and access to documents and archives</b></p>	<ol style="list-style-type: none"> <li>1. To note and monitor draft legislation and related laws on documents and archives at the national and European level.</li> <li>2. To establish a coordinated monitoring function and</li> </ol>	<ol style="list-style-type: none"> <li>5. To translate archival and related legislation into English, French and German, as well as into the other official languages of the European Union when this is required, with quality control provided by the relevant</li> </ol>

	<p>follow-up procedures for archival and related legislation within the European Union so that new archival and related legislation reinforces the importance of effective document and archives management.</p> <p>3. To establish study of archival and related legislation both at the national and European Union level for these purposes (see points 1 and 2 above).</p> <p>4. To create and maintain a database on archival and related legislation within EU-Member States and EU-Institutions.</p>	<p>National Archives Services.</p> <p>6. To examine the possibilities for the progressive adaptation of archival and related legislation in the EU-Member States and EU-Institutions.</p> <p>7. The tentative estimates would be :  monitoring function(€ 270.000 over 3 years)  ; study by specialized staff : (€ 60.000 for 1 year)  ; creation of legal database comprising specialized staff and software (€ 300.000 over 3 years).</p>
<p><b>2b. Finding aids and description of documents and archives</b></p>	<p>1. To create an Internet Gateway to documents and archives in Europe with common search facilities across the holdings of archival services of the EU-Member States and EU-Institutions (see also chapter 2d "Internet Gateway to documents and archives in Europe and European networking projects").</p> <p>2. To support the conversion of catalogues and other finding aids, kept on paper and other traditional media, into digital formats, which are accessible online.</p> <p>3. To promote the development of appropriate and affordable tools for the description of documents and archives online.</p> <p>4. To examine the possibilities for comparing the existing best practice guidelines for the creation of finding aids and for archival description in EU-Member States, so that they can be used to inform the further development of</p>	<p>5. To examine the possibilities for the establishment of a virtual reading room in digital form (see also chapter 2e "Practical aspects of access : reading room standards").</p> <p>6. To promote e-learning tools for users of documents and archives.</p> <p>See the tentative cost estimates for the Internet Gateway indicated in chapter 2d "Internet Gateway to documents and archives in Europe and European networking projects".</p>

	international standards in this area.	
<b>2c. Access on line to documents and archives and new research tools</b>	<ol style="list-style-type: none"> <li>1. To create and develop an Internet Gateway for documents and archives in Europe (see also chapter 2d "Internet Gateway to documents and archives in Europe and European networking projects").</li> <li>2. To develop the Lund Principles on the digitization of documents and archives.</li> <li>3. To promote the democratic functioning of our societies through easier access to archival holdings in the EU-Member States and EU-Institutions.</li> <li>4. To coordinate and to monitor progress on the above mentioned concrete actions no 1, 2 and 3 by an ad-hoc Working Group which will provide regular feedback to the proposed official Archivists Committee of the EU-Member States and EU-Institutions.</li> </ol>	<ol style="list-style-type: none"> <li>5. To establish links with the organisation of DLM-Forum activities and to reinforce the application of new technologies to documents and archives (see also chapter 5b "Interdisciplinary cooperation on electronic archives : DLM-Forum, norms, best practices").</li> <li>6. To establish links with the IFAP (Information For All Programme) of UNESCO.</li> </ol>
<b>2d. Internet Gateway to documents and archives in Europe and European networking projects</b>	<ol style="list-style-type: none"> <li>1. To create and maintain an Internet Gateway to documents and archives in Europe to be hosted by the National Archives Service of one EU-Member State, in collaboration with the National Archives Services of the other EU-Member States and EU-Institutions.</li> <li>2. To establish an ad hoc working group, comprising experts from Germany, France, United Kingdom, Spain, Poland and Hungary, which will coordinate the creation of the Gateway and regularly report on progress, to the proposed official Archivists Committee of the EU-Member States and EU-Institutions.</li> </ol>	<ol style="list-style-type: none"> <li>3. To enable all citizens in the EU-Member States to carry out searches on the Internet for information held on digital form across national boundaries and to access and download copies of the digital documents of interest to them, as far as copyright legislation allows.</li> <li>4. An indicative estimate would be € 1.6 million for hardware, software and specialist staff (5 people) will be required for the first phase of the project in its first two years.</li> </ol>

<p><b>2e. Practical aspects of access : reading room standards</b></p>	<ol style="list-style-type: none"> <li>1. To examine and coordinate proposed reading room standards for archives services throughout the European Union</li> <li>2. To co-ordinate measures preventing the theft of archival documents</li> </ol>	<ol style="list-style-type: none"> <li>3. To examine the possible establishment of comparable reading room standards and the introduction of a general user card for archives in the EU-Member States and at the European level.</li> <li>4. To examine the establishment of a virtual reading room (see also chapter 2 b).</li> <li>5. To reinforce the educational use of archives onsite and online.</li> <li>6. With regard to the development of an action plan for coordinated measures against theft of archival documents, it is estimated that € 30.000 (specialized staff for 1 year) will be required.</li> </ol>
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<p><b>2f. Appraisal and selection of documents</b></p>	<ol style="list-style-type: none"> <li>1. To organize appraisal visits and periodic exchanges of information on the appraisal and selection of documents between the concerned Archives Services of the EU-Member States and EU-Institutions, with particular focus on EU-documents.</li> <li>2. To carry out case studies on the appraisal and selection of documents in different EU-Member States, based on a multidisciplinary approach.</li> <li>3. To disseminate expertise on documenting appraisal decisions at national and European level (for example, via INSAR European Archives News).</li> </ol>	<ol style="list-style-type: none"> <li>4. To investigate the possible development of national and/or European model requirements (= procedural model) for the appraisal and selection of documents.</li> </ol>
<p><b>2g. Document and archives management</b></p>	<ol style="list-style-type: none"> <li>1. To support European cooperation in the field of document and archives management, in particular DLM-activities (see chapter 5b "Interdisciplinary cooperation on electronic archives: DLM-Forum, norms, best practices").</li> <li>2. To promote training in document and archives management for administrative services and users, with particular emphasis on the document life cycle.</li> <li>3. To propose measures which will promote a better understanding of the different administrative traditions in Europe.</li> </ol>	<ol style="list-style-type: none"> <li>4. To examine how professional networking activity in the area of document and archives management may be progressively increased.</li> </ol>

<p><b>3a. The role of the archivist as the guardian of the memory of society</b></p>	<ol style="list-style-type: none"> <li>1. To promote the principle that archivists in the 21<sup>st</sup> century should cover the full continuum of the Document Life Cycle.</li> <li>2. To organize study visits and/or traineeships of archivists in EU-Member States and EU-Institutions.</li> <li>3. To develop further the role of the archivist as the guardian of memory of society, in accordance with professional ethics, throughout the EU-Member States and EU-Institutions.</li> <li>4. To support actions which will enhance access to the collective memory of society in Europe.</li> </ol>	<ol style="list-style-type: none"> <li>5. To strengthen the part played by archivists in Europe-wide collaboration with other disciplines, including ICT-experts and other information specialists.</li> </ol>
<p><b>3b. The archivist as provider of authentic information and his relations with the public : promoting democracy, accountability and good governance</b></p>	<ol style="list-style-type: none"> <li>1. To organize study visits and/or traineeships of archivists in EU-Member States and EU-Institutions.</li> <li>2. To encourage the exchange of professional information and expertise by means of conferences, seminars and meetings on accountability and good governance.</li> </ol>	<ol style="list-style-type: none"> <li>3. To examine how the archival profession can contribute to the implementation of social, economic and human rights throughout the European Union.</li> </ol>
<p><b>3c. Archival training with particular emphasis of future needs</b></p>	<ol style="list-style-type: none"> <li>1. To organize archival training and to improve awareness for the benefit of administrative decision makers and other administrators.</li> <li>2. To elaborate a basic scheme of archival competences for the 21<sup>st</sup> century and to examine the possibilities for the establishment of a European competency model in this field.</li> </ol>	<ol style="list-style-type: none"> <li>5. To examine the possibilities for setting up a European centre for continuing archival training, which should report to the proposed official Archivists Committee of the EU-Member States and EU-Institutions.</li> <li>6. To encourage the mobility of archivists between EU-Member States.</li> </ol>

	<ol style="list-style-type: none"> <li>3. To provide training for archivists in accordance with the priority actions indicated in the Executive Summary and other chapters of the present Report.</li> <li>4. To organize European Conferences, Seminars and Meetings in order to disseminate available competences, best practice guidelines and other archival expertise throughout the EU-Member States and EU-Institutions.</li> </ol>	
<b>3d. Recognition of archival diplomas throughout Europe</b>	<ol style="list-style-type: none"> <li>1. To organise a fact-finding project which will collect up to date information about document and archives management qualifications in the EU-Member States, covering the following issues in particular: the level at which these qualifications are offered (Diploma or Masters), entrance requirements for the courses, lengths of programmes, course content and core modules for document and archives management, and the different providers.</li> <li>2. To carry out a study of existing programmes of Continuous Professional Development for archivists in the EU-Member States. This study should also provide information on the existence of certification/registration schemes and how these are managed and assessed.</li> <li>3. To compare the recognition of archival diplomas with the recognition of diplomas for other professions in Europe.</li> </ol>	<ol style="list-style-type: none"> <li>4. To encourage the formulation of common criteria and requirements for archival diplomas or equivalent qualifications throughout Europe.</li> <li>5. To examine the possibilities for career development for archivists through continuous professional training and the certification of additional qualifications.</li> </ol>
<b>4a. Measures to prevent damage to archives by natural and other catastrophes</b>	<ol style="list-style-type: none"> <li>1. To follow up the Declaration of the 25 Countries, agreed at the meeting of the National Archivists in Athens in June 2003, on measures for damage</li> </ol>	<ol style="list-style-type: none"> <li>4. To establish Rapid Response Teams for damage assessment and other relevant measures.</li> </ol>

	<p>prevention to archives in Europe.</p> <ol style="list-style-type: none"> <li>2. To reinforce coordination measures and the exchange of expertise in order to establish a European Protection and Rescue Programme on damage prevention and restoration of damaged documents and archives in Europe (cf. Council Resolution of 6 May 2003, point 8c 2).</li> <li>3. To set out a concise description of this European Protection and Rescue Programme and the relevant action plan, including specialist staff, technical workshops and specific equipment. A tentative estimate would be € 2,8 million over 3 years.</li> </ol>	<ol style="list-style-type: none"> <li>5. To examine the possibilities for setting up specialist central laboratories for trans-border emergency interventions in the case of damage to documents and archives, brought about by catastrophes such as flooding, earthquakes, terrorist attacks, war disasters, security risks and other damaging events.</li> </ol>
<p><b>4b. Preservation and restoration of documents and archives</b></p>	<ol style="list-style-type: none"> <li>1. To reinforce coordination measures and exchange of expertise in order to establish an European Protection and Rescue Programme , with particular reference to the restoration of damaged documents and archives in Europe (cf. Council Resolution of 6 May 2003, point 8c 2 ; see chapter 2a "Measures to prevent damage to archives by natural and other catastrophes").</li> <li>2. To compile an agreed set of standards and specifications for archives propose buildings, with particular reference on measures on the authenticity, long term preservation and accessibility of electronic documents and archives (see also chapters 4c, 5a and 5b).</li> </ol>	<ol style="list-style-type: none"> <li>3. To develop a model action plan for preventing and recovering from catastrophes: to examine the possibilities for setting up specialised central laboratories for trans-boarder emergency interventions in the case of damage to archives through catastrophes, such as flooding, earthquakes, terrorist attacks, war disasters, security risks and other damaging events ; and options for the establishment of Rapid Response Teams for damage assessment and other relevant measures.</li> <li>4. To carry out a study on the impact of climate variations on the preservation of documents and archives in Europe.</li> <li>5. To carry out a study on the restoration of</li> </ol>

		<p>damaged documents and archives on paper, electronic and multi-media support.</p> <p>6. To examine special measures on security storage of documents and archives (see also chapter 4c).</p>
<p><b>4c. Archive purpose buildings : standards and specifications at the national and European level</b></p>	<p>1. To set up an interdisciplinary Working Group, comprising archivists, architects, engineers and geologists, with the remit of establishing and developing standards and specifications for the construction of new archive purpose buildings. Approximately 8 meetings of the interdisciplinary Working Group would be needed in order to establish standards and a typical/modular schedule of specifications for new archive purpose buildings. A detailed project plan is in preparation.</p> <p>2. To devise regulatory procedures for the application of these standards and specifications at the national and European levels, covering security and protection against flooding, earthquakes, terrorist attacks, war disasters and other damaging events (cf. Council Resolution of 6 May 2003, point 8c 1).</p>	<p>3. To investigate ways in which these standards and specifications should be applied to the updating of existing archive buildings and/or other archival accommodation in government buildings.</p> <p>4. To ensure that the interdisciplinary Working Group provides regular feedback and progress reports to the proposed official Archivists Committee of the EU-Member States and EU –Institutions.</p> <p>5. Publication of the standards and schedule of specifications for new archives purpose buildings (Working title : DUCHEIN 2) in the different official languages of the European Union.</p>
<p><b>5a. Authenticity and long term preservation of electronic documents and archives</b></p>	<p>1. To set up a Working Group on measures for the authenticity and long-term preservation of electronic documents and archives.</p> <p>2. To develop the further procedures necessary for document authentication, including their legal admissibility, in the EU-Member States and EU-</p>	<p>6. To develop procedural models and facilities for the transfer of electronic documents and archives.</p> <p>7. To ensure that the DLM Working Group on new technological developments and their application to documents and archives</p>

	<p>Institutions.</p> <ol style="list-style-type: none"> <li>3. To co-ordinate with DLM priority activities and to present the long-term preservation of electronic documents and archives as a special issue at the DLM-Forum, Budapest 2005.</li> <li>4. To carry out a study of the application of the electronic signature and other equivalent measures in the EU-Member States.</li> <li>5. To establish a concise project plan, including the concrete actions under points 1 to 4 above.</li> </ol>	<p>management provides progress reports and feedback to the proposed official Archivists Committee of the EU-Member States and EU-Institutions.</p>
<p><b>5b. Interdisciplinary cooperation on electronic documents and archives ; DLM Forum, norms, best practices</b></p>	<ol style="list-style-type: none"> <li>1. To co-ordinate the DLM Forum (Document Lifecycle Management) priority activities, in particular the further development of the MoReq project (Model Requirements), including the addition of non functional requirements, the review of metadata content, and the promotion and dissemination of versions of the new MoReq report in the official languages of the European Union.</li> <li>2. To prepare and organise future DLM Forum meetings and seminars.</li> <li>3. To plan and organise the next DLM Forum Conference on electronic documents and archives in Budapest (or another venue) in the autumn 2005.</li> <li>4. To establish a concise description of a European DLM-network action plan for the period 2005-2007, including the concrete actions under points 1 to 3</li> </ol>	<ol style="list-style-type: none"> <li>5. To examine certification procedures for the MoReq project, sharing practical experience and best practice, education, working on long term preservation and legal issues, and to establish priorities and goals for funding the DLM Forum.</li> <li>6. To reinforce the DLM Forum and DLM Network EEIG (European Economic Interest Group) and to provide regular feedback to the proposed official Archivists Committee of the EU-Member States and EU-Institutions.</li> </ol>

	(tentative estimation : € 330.000 over 3 years) above, in order to further develop interdisciplinary cooperation on electronic documents and archives in Europe.	
<b>Part 6: Action Plan e-Europe and other related activities at the European level</b>	<ol style="list-style-type: none"> <li>1. To draw up a project plan to make available images of significant historical documents and archives from each EU-Member State and EU-Institution as digital content on the proposed Internet Gateway to archives in Europe (see chapter 2d), in support of the Lund Principles.</li> <li>2. To promote the development of cross-border digitisation projects by archives services in the EU-Member States and EU-Institutions.</li> </ol>	<ol style="list-style-type: none"> <li>3. To raise awareness of other related activities in this field such as the Minerva and ERPANET projects among the archives services of the EU-Member States, so that they can take full account of this work in planning future digitisation projects.</li> <li>4. To ensure that archives services throughout the European Union make an appropriate contribution to the development and execution of future e-Europe Action Plans and similar programmes.</li> </ol>
<b>Part 7. Audio-visual Archives</b>	<ol style="list-style-type: none"> <li>1. To follow up the Council Resolution of 24 November 2003 (OJ EU C 295/5, 5.12.2003) concerning the deposit of cinematographic works in the European Union.</li> <li>2. To develop criteria for the description and preservation of audio-visual recordings and archives in Europe.</li> </ol>	<ol style="list-style-type: none"> <li>3. To promote common standards and best practice for the migration of existing audio-visual archives to modern digital forms.</li> <li>4. To develop common standards for film archives databases in order to make them interoperable.</li> </ol>

### List of acronyms and abbreviations

AER	:	Archivos Españoles en Red = Spanish Archives on Line
AFNOR	:	Association française de normalisation
BS	:	British Standard
CHIM	:	Computer and Human Integrated Manufacturing
DANPA	:	Danmarks Nationale Privararkivdatabase
DAT	:	Digital Audio Tape
DLM	:	<u>D</u> ocument <u>L</u> ife-cycle <u>M</u> anagement
DOMEA-project	:	Document Management and Electronic Archiving
EAC	:	Encoded Archival Context
EAD	:	Encoded Archival Description
EBNA	:	European Board of National Archives
e-domec	:	Electronic archiving and Document Management in the Commission
EU	:	European Union
EUAN	:	European Union Archive Network
EUIF	:	European University Institute in Florence
EVA	:	European Visual Archive
FIAF	:	Fédération Internationale des Archives du Film
FOI	:	Freedom of Information
format TIFF	:	Tagged Image file Format
GDR	:	German Democratic Republic
ICA	:	International Council on Archives
ICA/SPA	:	Section for Professional Records Management and Archival Associations within the International Council on Archives
ICA-CDS	:	International Council on Archives – Committee on Descriptive Standards
IFFA	:	International Federation of Film Archives
INSAR	:	Information Summary on Archives
ISAAR (CPF)	:	International Standard on Archival Authority Records (Corporations, Persons, Families)
ISDA(G)	:	International Standard on Archival Description (General)”
ISO	:	International Standard Organization
IT	:	Information Technologies
LEAF	:	Linking and Exploring Authority Files
MARC	:	Machine-Readable Cataloguing
Moreq	:	Model Requirements for electronic documents and archives management
NAD	:	National Archival Database
NRA	:	UK National Register of Archives
OAI	:	Open Archives Initiative
OAI-PMH	:	Open Archives Initiative Protocol for Metadata Harvesting
PARAM	:	Portug
PDF	:	Portable Document Format
SCAN	:	Scottish Archive Network
SLAIS	:	School of Library, Archives and Information Studies
TEI	:	Text Encoding Initiative
WAP	:	Wireless Application Protocol
XML	:	Extensible Markup Language