

ATLANTI

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Rivista internazionale di teoria e pratica archivistica moderna
Mednarodna revija za sodobno arhivsko teorijo in prakso

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Relations between Archives and Creators of Archival Documents
Relazioni tra gli archivi e i creatori dei documenti archivistici
Relacije med arhivi in ustvarjalci arhivskega gradiva



International Institute for Archival Science
Trieste (Italy) - Maribor (Slovenia)
Alma Mater Europaea University (Slovenia)

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Peter Pavel Klasinc¹

ANALYSIS OF RELATIONSHIPS FROM ARCHIVES TO CREATORS AND THE INTRODUCTION OF DIGITIZATION AND ARTIFICIAL INTELLIGENCE IN ARCHIVAL THEORY AND PRACTICE

Abstract

Purpose: *In archival science—as an independent, academic, multidisciplinary, and interdisciplinary field—analyses of relationships from archives to creators and the implementation of digitization and artificial intelligence in archival theory and practice are essential. Although these issues are frequently discussed at conferences and consultations today, the analysis of these relationships has shown varying approaches, even when we look at archival legislation, which should guide practical application.*

Methodology: *The analysis requires addressing diverse practices in professional archival editing work and considering relevant literature, which may not always be directly related to archival science. For this reason, we will use a comparative method to provide a clear picture of the current state.*

Results: *Through the presented analysis, we will showcase different scenarios and establish at least minimal guidelines for organizing and ensuring transparency in the relationships between archives and creators, as well as in the interactions between digitization and artificial intelligence, based on general research and comparisons.*

Conclusion: *To integrate the findings of this research and the conclusions of this paper into archival practice, we must ensure or at least take into account existing and clearly defined standards, as well as established practices that need to be incorporated into the educational processes in archival science at all three levels of archival studies at Alma Mater Europaea University.*

Key words: *Archival Science, digital transformation, artificial intelligence, archival theory*

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ANALISI DELLE RELAZIONI DAGLI ARCHIVI AI CREATORI E L'INTRODUZIONE DELLA DIGITALIZZAZIONE E DELL'INTELLIGENZA ARTIFICIALE NELLA TEORIA E NELLA PRATICA ARCHIVISTICA.

Abstract

Scopo: *Nella scienza archivistica, come campo indipendente, accademico, multidisciplinare e interdisciplinare, le analisi delle relazioni dagli archivi ai creatori e l'implementazione della digitalizzazione e dell'intelligenza artificiale nella teoria e nella pratica archivistica sono essenziali. Sebbene questi problemi siano spesso discussi in conferenze e consultazioni oggi, l'analisi di queste relazioni ha mostrato approcci diversi, anche quando esaminiamo la legislazione archivistica, che dovrebbe guidare l'applicazione pratica.*

Metodologia: *L'analisi richiede di affrontare diverse pratiche nel lavoro di editing archivistico professionale e di considerare anche la letteratura pertinente, che potrebbe non essere sempre direttamente correlata alla scienza archivistica. Per questo motivo, utilizzeremo un metodo comparativo per fornire un quadro chiaro dello stato attuale.*

Risultati: *attraverso l'analisi presentata, mostreremo diversi scenari e stabiliremo almeno linee guida minime per organizzare e garantire la trasparenza nelle relazioni tra archivi e creatori, nonché nelle interazioni tra digitalizzazione e intelligenza artificiale, sulla base di ricerche generali e confronti.*

Conclusione: *Nel tentativo di integrare i risultati di questa ricerca e le conclusioni di questo documento nella pratica archivistica, dobbiamo garantire o almeno tenere conto degli standard esistenti e chiaramente definiti, nonché delle pratiche consolidate che devono essere incorporate nei processi educativi nella scienza archivistica a tutti e tre i livelli degli studi archivistici presso l'Università Alma Mater Europaea.*

Parole chiave: *scienza archivistica, trasformazione digitale, intelligenza artificiale, teoria archivistica*

ANALIZA RELACIJ OD ARHIVOV DO USTVARJALCEV IN UVAJANJA DIGITALIZACIJE TER UMETNE INTELIGENCE V ARHIVSKO TEORIJU IN PRAKSO

Izvleček

Namen: *V arhivistiki, kot samostojni, akademski, multidisciplinarni in interdisciplinarni znanosti, so analize relacij od arhivov do ustvarjalcev in uvajanje digitalizacije ter umetne inteligence v arhivsko teorijo in prakso nujno potrebne. Čeprav se s temi problematikami danes pogosto srečujemo na konferencah in posvetih, je analiza relacij pokazala na pogosto različne pristope že samo če pogledamo arhivsko zakonodajo, ki naj bi ji sledili v praksi.*

Metodologija: *Sama analiza zahteva obravnavo različnih praks pri strokovnem arhivskem delu, pa tudi v upoštevanju strokovne literature, ki pa ni nujno, da je vedno povezana s področjem arhivistike. Zaradi tega bomo sledili primerjalni metodi, ki nam naj nudi sliko stanja.*

Rezultati: *S prikazano analizo bomo predstavili situacije ter določili vsaj minimalne smernice za ureditev in transparentnost odnosov med arhivi in ustvarjalci ter relacij med digitalizacijo in umetno inteligenco, glede na splošne raziskave in primerjave.*

Zaključek: *v želji, da rezultate te raziskave in ugotovitve tega teksta, poskušamo vnesti v arhivsko prakso, pri čemer moramo zagotoviti ali vsaj upoštevati že obstoječe in jasne standarde, oziroma izvedene prakse, ki jih je potrebno vnesti v procese izobraževanja na področjih arhivistike na vseh treh stopnjah študija Arhivistike na Univerzi Alma Mater Europaea.*

Ključne besede: *arhivska znanost, digitalna transformacija, umetna inteligenca, arhivska teorija*

1. UVOD

Na začetku želim opredeliti izhodišča na osnovi katerih definiramo arhivistiko, kot znanstveno vedo po splošnih znanih definicijah o znanosti. Arhivisti v znanost uvrščajo vse tiste raziskovalne dejavnosti, ki se izvajajo na vseh nivojih arhivske znanosti, arhivistike in arhivske teorije in prakse. Vse to izvajajo pod pogojem, da raziskave zadoščajo vsem kriterijem, ki so potrebni, da se raziskave sploh lahko izvajajo in so opredeljene kot samostojne znanstvene raziskave. To pomeni, da moramo kot arhivisti poznati predmet raziskovanja, vzroke raziskovanja, metode raziskovanja. Pri tem ostaja odprto vprašanje umestitve arhivistike med družboslovne ali naravoslovne znanosti (več o tem: Klasinc, 2024).

Razločevanje strokovnih aktivnosti in aktivnosti s področja znanstvenega raziskovanja rešujemo v okviru dveh stališč.

- Prvo stališče opredeljuje arhivistiko kot vedo, ki definira praktično disciplino urejanja in ohranjanja ter hrambe arhivskega arhiva v najširšem pomenu teh besed.
- Drugo stališče predstavlja različico prvega stališča, saj opredeljuje arhivistiko kot pretežno znanstveno vedo, ki s svojo sistematiko, strukturo in principe ter v procesih znanstvenega raziskovanja prikazuje določene rezultate.

Arhivistika kot znanstvena veda daje rezultate v miselnih procesih in v aktivnostih arhivistov pri delu na arhivskem gradivu. Rezultati tega dela so vodniki po fondih in zbirkah, arhivski inventarji, popisi arhivskega gradiva, ki so uporabni za podatkovne zbirke. Te vsebine sestavljajo rezultate tako znanstveno raziskovalnega dela kot tudi strokovnega in praktičnega dela. Kot celota morajo biti na nivoju fonda dopolnjeni s historiatami ustvarjalcev, podatki o obsegu, obdelavi, deskriptorji ... Omenimo lahko tudi popise arhivskega gradiva na nižjih nivojih (podfond, serija, podserija, združeni dokument, dokument). Pri tem uporabljene metode raziskovanja ne odstopajo od metod znanstvenega raziskovanja drugih znanosti ali ved. Prepletanje »znanstvenega« in »strokovnega« se s pragmatičnega stališča odseva tudi na vzpostavljenih sistemih izobraževalnih programih v okviru Univerze Alma Mater Europaea: program Arhivistika (1. bolonjska stopnja), program Arhivistika in dokumentologija (2. bolonjska stopnja) in program Arhivske znanosti (3. bolonjska stopnja) (AMEU, 2024).

2. POZICIJE MED ARHIVI IN USTVARJALCI

Zakon o varstvu dokumentarnega in arhivskega gradiva ter arhivih (dalje ZVDAGA) ter Uredba o varstvu dokumentarnega in arhivskega gradiva (dalje UV-DAG), ki je izšla na osnovi tega zakona predstavljata temelj arhivske zakonodaje. Oba dokumenta sta kvalitetna, ampak se izvajanje le-teh ne poteka tako kot bi si želeli. Dejstvo je, da ob poslovanju javnopravnih oseb nastajajo številni dokumenti in med njimi so taki, ki imajo zgodovinsko pa tudi pravno veljavo in imajo na osnovi ZVDAGA (2006 z dopolnitvami) lastnosti arhivskega gradiva. Da bi ti dokumenti kvalitetno služili dandanes in tudi jutri, jih moramo ohraniti, varovati in z njimi dobro upravljati. Zaradi narave digitalnih dokumentov moramo več pozornosti nameniti ohranitvi zapisov v njihovi celotni življenjski fazi, kjer se prepleta tudi varstvo dokumentarnega gradiva, ne samo arhivskega.

V sodobnem svetu se tehnologija in družbene potrebe hitro spreminjajo, zato bi ZVDAGA (2006 z dopolnitvami) nujno potreboval dopolnitve ali celo popolnoma nov zakon, ki bi še podrobneje opredeljeval izročitev, varstvo, dostopnost in uporabo tako digitalnega kot tudi fizičnega arhivskega gradiva. Pri tem ne smemo pozabiti tesno povezanost z dokumentarnim gradivom. Za razvoj arhivske teorije in prakse je nujno sprejeti odločbe o izvajanju dejavnosti s teh področij. Ponovno je treba definirati pojme: arhivi, arhivsko gradivo, hrambo arhivskega gradiva, povezave, vzroke in nastanke posameznih zbirk, delovanje pristojnih arhivov in same pristojnosti arhivov...

V ZVDAGA (2006 z dopolnitvami) je premalo opredeljeno vprašanje kvalitete izobraževanja in ustreznih kadrovskih profilov za delo v pristojnih arhivih in tudi pri ustvarjalcih. S pojavom digitalnega gradiva zgolj pridobljena znanja s področja humanistike in zgodovine niso dovolj za vsa strokovna dela, ki jih izvaja arhivist. Iz tega vidika ne moremo govoriti o tem, da je odnos med dokumentarnim in arhivskim gradivom ter postopki arhiviranja, glede strokovnega vidika, ustrezen. Največjo odgovornost morajo za uspešno delovanje arhivske službe pri ustvarjalcih skrbeti seveda ustvarjalci sami in morajo dejansko vztrajati, da zaposlujejo diplomirane arhiviste ter magistre arhivistike in dokumentologije, v velikih sistemih tudi doktorje arhivskih znanosti, saj znanja, ki jih pridobijo tekom študija zagotavljajo dobro osnovo za izvajanje vseh opravil v zvezi z arhiviranjem gradiva.

Prepričan sem, da potrebujemo pravilno usposobljene osebe, ki bodo znale upravljati z dokumentarnim in arhivskimi gradivom. V mednarodnem okolju že leta lahko zasledimo delovno mesto z angleškim nazivom *records manager* (Gajić, 2022).

3. O DIGITALNI TRANSFORMACIJI

Digitalna transformacija z neverjetno naglico spreminja način poslovanja z arhivskim in dokumentarnim gradivom, ter vpliva na usodo in zaščito ter hrambe le tega pri uporabnikih, kakor tudi v pristojnih arhivih. Varovanje arhivskega gradiva kot kulturne dediščine ostaja pomemben del poslanstva pristojnih javnih državnih profesionalnih arhivov, ki seveda morajo izvajati svoje poslanstvo glede dolgodobne hrambe, ohranitve, pravne, strokovne in relevantne zapise, ne oziraje se na to, ali so na klasičnih ali novih nosilcih informacij.

Digitalna transformacija sodobne družbe se tako posredno in neposredno odraža tako v pojavnih oblikah arhivskega gradiva ter v njihovih vsebinah, kakor tudi v delovanju arhivskih služb. Digitalna transformacija se odvija na vseh nivojih, od lokalnih, nacionalnih do mednarodnih. S stališča arhivske teorije in prakse ta proces predstavlja izvajanje vseh aktivnosti s področja upravljanja z dokumentacijo, ki nastaja v digitalnem okolju in se razlikuje od nekdanjega fizičnega v novo okolje informacijskih tehnologij. Ta proces se kaže na vzpostavitvi namenskih e-repozitorijev. S problemom se srečamo ob prevzemu arhivskega gradiva v digitalni obliki, ki od ustvarjalca in tudi pristojnega arhiva zahtevajo posebne pristope, ki se razlikujejo od ustaljenih praks za prevzem arhivskega gradiva v fizični obliki (Hribar, 2023). Prehod iz analognega v digitalno okolje je možno le, če vzpostavimo normativne okvirje. Prav tukaj nastopi aktualna arhivska zakonodaja, kakor tudi sprejemanje uporabnih standardov, internih pravil, ki pa ne smejo odstopati od določenih metod in principov upravljanja z arhivskim gradivom v celoti. Tu se postavlja vprašanje, kako se bodo odražale aktivnosti pri posameznih arhivskih strokovnih postopkih v daljšem časovnem obdobju.

Vsa ta arhivska strokovna vprašanja v času digitalne transformacije in prakse ne moreta bistveno vplivati na že uveljavljene rešitve, ki jih poznamo vrsto let in so nadgrajene z metodami in postopki izvajanja vrednotenja z algoritmi, torej s pogosto omenjeno umetno inteligenco (Hribar, 2021).

Omeniti moram, da se v okviru študijskih programov Arhivistike že vrsto let ukvarjamo s problematiko digitalizacije in smo na mnogih posvetih to tudi obravnavali (6. arhivski simpozij 2021). Pri tem moram posebej poudariti, da je področje razvoja arhivske znanosti v kontekstu digitalne transformacije nujno povezati z vprašanjem kvalitetne arhivske terminologije. Danes se ta sicer že razvija, arhivisti pa pri tem ne odstopamo od definicij, kaj je arhivsko gradivo in ga dejansko ne ločujemo glede na to, ali ga obravnavamo v klasični ali digitalni obliki. Terminologijo je opredeljena v mnogih standardih, pravilnikih in nekaterih zakonskih določilih.

Digitalna transformacija prinaša predvsem mnoge varnostne izzive. Pogosto govorimo o »okuženih napravah«, zlonamerno programsko opremo, krajo identitet, ponarejanje dokumentov in podobno. S temi in še z drugimi problemi, pa tudi s prikrivanjem in zlorabo podatkov, kot so špijonaža, politična aktivnost, kraja in preprodaja podatkov, ipd., ter seveda hekerskimi napadi, bomo pri vsem tem morali vso resnost posvetiti varnosti, pa naj gre za omenjene nevarnosti ali pa tudi na katastrofe, kot so: požari, potresi, poplave in podobno. Seveda je formiranje in ustanavljanje tako imenovanih samostojnih digitalnih arhivov iz mojega stališča ni sprejemljivo. Pozitivno pa gledam na nekatere projekte digitalizacije, ki se izvajajo v knjižnicah, kjer se digitalizirajo tiskani mediji in enako z naklonjenostjo gledam na digitalizacijo arhivskega gradiva, ki sicer zahteva drugačne pristope digitalizacija knjižničnega gradiva. Kljub temu se lahko izkušnje in primeri dobre prakse primerjajo med seboj in tudi aplicirajo (Hribar, 2023).

Arhivisti se lahko pohvalimo z digitalizacijo različnih arhivskih fondov, posameznih zbirk, ki jih združujemo v podatkovne baze, oziroma omogočamo javnosti dostop do arhivskega gradiva.

4. DIGITALIZACIJA IN UMETNA INTELIGENCA V ARHIVSKI TEORIJI IN PRAKSI

Digitalizacija in umetna inteligenca se pogosto obravnavata na konferencah, posvetih in strokovnih srečanjih, ki jih pripravljajo druge ali sorodne znanstvene vede. Zavedati se moramo, da sta ti dve temi digitalizacije in umetne inteligence tisti temi, ki zadevata tako rekoč vsa področja življenja in delovanja, tako državnih organov, sistemov, struktur in podobno, pa tudi posameznikov. Vse to se odraža tudi v fondih arhivskega gradiva.

Ob spremljanju vseh teh informacij o digitalni transformaciji in umetni inteligenci moramo v arhivski teoriji in praksi iskati odgovore na razna odprta vprašanja v izkušnjah. Res je, da moramo slediti hitremu razvoju, predvsem pa moramo biti pozorni na ponudbe raznih izvajalcev digitalizacije in ponujanju rešitev, ki jih informacijske tehnologije dejansko lahko zagotavljajo. Pri tem pa arhivisti ne smemo pristati na nerešena ali slabo rešene situacije povezane z digitalno transformacijo. Ugotovili smo že, da se ta problematika mora obravnavati pri upoštevanju drugih znanosti (Klasinc, 2024). Vse te sisteme digitalizacije in odnosi do umetne inteligence, bodo morali spremeniti naše razmišljanje o tem, kam arhivistiko pravzaprav uvrstiti.

Morda je prav, da se pri tem vrnemo k dejstvu, da moramo arhivisti slediti uveljavljenim definicijam o znanosti, oziroma o pogojih, da lahko arhivistiko uvrstimo med znanosti, slediti moramo rezultatom znanstvenih raziskav, predvsem pa upoštevati temelje, na katerih sloni arhivistika (Klasinc, 2024). Zato nam mora biti jasno, da moramo pri arhivski znanosti slediti naravi dela, strokovnim odločitvam in tehničnim principom. Novo znanje in izkušnje je treba povezati in pri raziskavah iskati rešitve, ki so lahko uporabne v teoriji oziroma lahko tudi v praksi. Tukaj moram posebej opozoriti na nujnost aktivnega delovanja in razmišljanja arhivistov v zvezi z arhivsko znanostjo. Ne gre več zgolj za opredeljevanje, oziroma ocenjevanje znanstveno raziskovalnega dela, ampak gre za to, da te rezultate arhivisti vnesemo v prakso in jo kot strokovnjaki tudi uveljavljamo. Tukaj citiram latinski izrek: »*Cuilibet in arte sua credendum*«, kar pomeni: vsakemu je potrebno verjeti in ga upoštevati, ker je strokovnjak določenega področja.

V prihodnjem razvoju arhivske znanosti bomo konstantno obravnavali povezave med klasično in digitalno arhivsko teorijo in prakso, to pa preprosto zato, ker se danes v arhivih po svetu, hrani v 99% gradivo na klasičnih, papirnih medijih. Kljub temu, da se pogosto teoretično razpravlja o digitalizaciji in umetni inteligenci, se moramo čimprej lotiti praktičnega reševanja strokovnih tehničnih vprašanj, konzervacije in restavracije, spremembe standardov, urejanja, pomena principa provenience, izdelavo modernih informacijskih pomagal, razstavnih artiklov, predstavljanje arhivskega gradiva v javnosti ter posebej problemov uporabe in publiciranja arhivskega gradiva v digitalni obliki. Vse naštetu pa je treba povezati z arhivsko zakonodajo.

Problemi povezani z digitalno transformacijo v arhivski znanosti so rešljivi postopoma. Pri tem nam na določenih področjih lahko pomaga umetna inteligenca. Na primer: pri arhivskem gradivu, ki je pisan v tujem jeziku, pri reševanju vprašanj diplomatike, heraldike, sfragistike, historične geografije in podobno.

Pred nami so naloge obvladovanja struktur arhivskega urejevalnega dela pod vplivom novih informacijskih tehnologij.

5. ZAKLJUČEK

Ne glede na to, da na področju digitalizacije in umetne inteligence prihaja do zmeraj novih vprašanj in situacij moramo arhivisti slediti temeljnim usmeritvam glede zagotavljanja varnosti in dostopnosti. Zagotavljati moramo tudi kibernetško varnost, zavarovati posamezne podatke, se seznaniti z opisi novih pristopov, elementov formiranja elektronskih dokumentov, predvsem pa nas nesporno čaka formiranje novih sistemov arhiviranja.

Umetna inteligenca je v arhivih dobrodošla in prav je, da se z njo resno ukvarjamo. Trenutno še skromna arhivska literatura in razni pilotni projekti nam že ponujajo določene rešitve, ki se odražajo v arhivski znanosti, arhivski teoriji in praksi. To so teme, ki jih študenti raziskujejo in obdelujejo v svojih magistrskih in doktorskih nalogah v okviru Univerze Alma Mater Europaea.

Arhivisti se moramo zavedati, da je ta hiter razvoj tesno povezan tudi z generativno umetno inteligenco, zato se moramo tekoče ukvarjati in analizirati vplive digitalizacije in umetne inteligence na aktivnost arhivske teorije in prakse. Predlagam, da se arhivisti pri sprejemanju velikih in morda tudi nerazumljivih sprememb obnašamo, kot nam je to pred leti svetoval prof. dr. Michel Duchon, da pri tem uporabimo veliko mero modrosti.

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Summary

*In the article titled *Analysis of Relationships from Archives to Creators and the Introduction of Digitization and Artificial Intelligence into Archival Theory and Practice*, we emphasize that these areas need to be studied in alignment with the general and current definitions of science. Archivists must understand that our research is structured in the same way as research in other scientific fields. In archival science, we need to be familiar with the subject, reasons, and methods of research. This also applies to the relationships between relevant archives and creators.*

Today, especially as we witness significant changes across all aspects of life, current Slovenian archival legislation (ZVDAGA, UVDAG) still serves as a traditional guide but may remain tied to activities of archives that are no longer as relevant. Archives are aware of their role in preserving materials important for science and culture, and in the future, they will have an obligation to responsibly address digital transactions and digital archival materials, which are also part of cultural heritage.

The areas of digital transformation have undoubtedly permeated modern society, and these transformations are reflected in archival professional work. In this field, it is essential to standardize professional terminology, as a lack of it could lead to information noise. At the same time, awareness of the vulnerability of digital archival materials is crucial, as they are more susceptible than physical records to threats such as malicious software, identity theft, document forgery, and hacking. We must also consider the potential misuse of digital archival materials for espionage, political activities, theft of production systems, data, and more.

In the context of digitization and artificial intelligence, which are widely discussed at various conferences and forums, archivists expect solutions that, while grounded in archival theory and practice, must bring quality improvements through information technology in addressing professional and technical archival issues, managing archival materials, organizing, presenting, using, and authorizing archival materials. Recognizing that this rapid development is indeed happening, we must keep pace with so-called generative artificial intelligence and incorporate its influence into archival theory and practice alongside the implementation of digitization.

Typology: 1.04 Professional Article

Karen J. Trivette¹

CONTROLLING INFORMATION ABOUT CREATORS AND THEIR RELATIONSHIPS TO AND ACROSS ARCHIVAL RECORDS AND THE LAW OF DIMINISHING RETURNS

Abstract

Purpose: *The purpose of this paper was to consider the archival paradigm respect des fonds and to discuss its challenges over time. The article also covered how the author maintained and demonstrated her respect for this canonical archival principle through current practice and application with contemporary technology via Access to Memory (AtoM), an online archives management software tool.*

Methods / Approach: *The author conducted qualitative research as she reviewed the scientific literature as well as the presented work of an expert in the field to ascertain the usefulness of authority records or control as they or it relate to the aforementioned paradigm.*

Results: *The scientific literature revealed just how long ago the challenges to respect des fonds actually began and how they ebbed and flowed over time. The principle's incorporation into current-day archives management software vehicles such as Access to Memory lends to its staying power even in light of the challenges. The author's literature review revealed ways by which records' creator authority is established, how such is controlled via historical and more recent approaches, and what values these efforts possess.*

Conclusions / Findings: *Most archival operations are not adequately supported. There never seems to be enough resources—time, human, space, budget, and more—to manage everything that requires archivists' precious attention and skill sets. As such, this author questioned the trend of archival science theory leaning evermore towards practices (in this case, the practice of authority control) that drain resources away from mission-critical functions. After investigating this topic, the author found herself with more questions than answers.*

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Where is the line drawn for archivists regarding the delivery of information? In the end, is archival authority control—and the associated tasks which further exhaust even more of archivists' meager resources—more a respect des théoriciens than a respect des fonds?

Keywords: *archives management systems, authority, authority control, authority record, provenance, records creator*

CONTROLLO DELLE INFORMAZIONI SUI CREATORI E LE LORO RELAZIONI CON E ATTRAVERSO I DOCUMENTI D'ARCHIVIO E LA LEGGE DEI RENDIMENTI DECRESCENTI

Abstract

Scopo: *Lo scopo di questo articolo era di considerare il paradigma archivistico respect des fonds e di discutere le sue sfide nel tempo. L'articolo ha anche trattato il modo in cui l'autore ha mantenuto e dimostrato il suo rispetto per questo principio archivistico canonico attraverso la pratica corrente e l'applicazione con la tecnologia contemporanea tramite Access to Memory (AtoM), uno strumento software di gestione degli archivi online.*

Metodi/Approccio: *L'autore ha condotto una ricerca qualitativa mentre esaminava la letteratura scientifica e il lavoro presentato da un esperto nel campo per accertare l'utilità dei record di autorità o del controllo in quanto correlati al paradigma sopra menzionato. Risultati: La letteratura scientifica ha rivelato quanto tempo fa sono iniziate effettivamente le sfide al respect des fonds e come sono diminuite e aumentate nel tempo. L'incorporazione del principio negli attuali veicoli software di gestione degli archivi come Access to Memory conferisce alla sua resistenza anche alla luce delle sfide. La revisione della letteratura dell'autore ha rivelato i modi in cui viene stabilita l'autorità del creatore dei record, come questa viene controllata tramite approcci storici e più recenti e quali valori possiedono questi sforzi.*

Conclusioni / Risultati: *la maggior parte delle operazioni di archiviazione non è adeguatamente supportata. Non sembrano mai esserci abbastanza risorse (tempo, personale, spazio, budget e altro) per gestire tutto ciò che richiede la preziosa attenzione e le competenze degli archivisti. Pertanto, questo autore ha messo in discussione la tendenza della teoria della scienza archivistica a orientarsi sempre di più verso pratiche (in questo caso, la pratica del controllo di autorità) che sottraggono risorse alle funzioni critiche per la missione. Dopo aver indagato su questo argomento, l'autore si è trovato con più domande che risposte. Dove viene tracciata la linea per gli archivisti in merito alla consegna delle informazioni? Alla fine, il controllo di autorità archivistico (e i compiti associati che esauriscono ulteriormente le scarse risorse degli archivisti) è più un respect des théoriciens che un respect des fonds?*

Parole chiave: *sistemi di gestione degli archivi, autorità, controllo di autorità, record di autorità, provenienza, creatore di record*

NADZOR INFORMACIJ O USTVARJALCIH IN NJIHOVIH ODNOSIH DO ARHIVSKIH ZAPISOV IN MED NJIMI TER ZAKON NAJMANJSIH DONOSOV

Izveleček

Namen: *Namen tega prispevka je bil obravnavati arhivsko paradigmo respect des fonds in razpravljati o njenih izzivih skozi čas. Članek je tudi zajel, kako je avtor ohranil in izkazal spoštovanje tega kanoničnega arhivskega načela skozi sedanjo prakso in uporabo s sodobno tehnologijo prek spletnega programskega orodja za upravljanje arhivov Access to Memory (AtoM).*

Metode/pristop: *Avtor je izvedel kvalitativno raziskavo s pregledom znanstvene literature in predstavljenega dela strokovnjaka s tega področja, da bi ugotovil uporabnost normativnih zapisov oziroma nadzora, saj se nanašajo na zgoraj omenjeno paradigmo.*

Rezultati: *Znanstvena literatura je razkrila, kako dolgo nazaj so se pravzaprav začeli izzivi za respect des fonds in kako so sčasoma padali. Vključitev načela v sedanja programska sredstva za upravljanje arhivov, kot je dostop do pom-*

nilnika, mu daje moč, tudi če upoštevamo izzive. Avtorjev pregled literature je razkril načine, kako se vzpostavlja avtoriteta ustvarjalca zapisov, kako je ta nadzorovana prek zgodovinskih in novejših pristopov ter kakšne vrednosti imajo ta prizadevanja.

Sklepi/ugotovitve: *Večina arhivskega poslovanja ni ustrezno podprtega. Zdi se, da nikoli ni dovolj virov – časa, ljudi, prostora, proračuna in več – za upravljanje vsega, kar zahteva dragoceno pozornost in spretnosti arhivistov. Posledično avtor dvomi o trendu teorije arhivske znanosti, ki se vse bolj nagiba k praksam (v tem primeru praksi avtoritete), ki črpajo vire stran od kritičnih funkcij. Po raziskovanju te teme se je avtor znašel pred več vprašanji kot odgovori. Kje je potegnjena črta za arhiviste glede posredovanja informacij? Na koncu, ali je nadzor nad arhivsko avtoriteto – in s tem povezanimi nalogami, ki dodatno izčrpavajo skromne vire arhivistov – bolj upoštevati načelo *respect des théoriciens* kot spoštovati *respect des fonds*?*

Ključne besede: *sistemi za upravljanje arhivov, avtoriteta, normativni nadzor, normativni zapis, provenienca, ustvarjalec dokumentov.*

1 INTRODUCTION

For nearly 200 years, archivists have been guided by the principle of *respect des fonds* to effectively relate archival records' creators to the records they create and/or are responsible for their creation. Indeed, analogous practice in Russia can be dated as far distant as 1721.² However, in recent decades, mainstay applications of this guiding, instructive, and foundational principle have been challenged or at least certainly brought into question; but to what effect? This paper discussed a brief history of the principle, investigated the challenges to it, demonstrated its application in the author's recent former institution's practice, and attempted to telegraph the future of successfully relating records' creators to the archives they birth.

When considering the *respect des fonds*, and the possibilities to make it applicable or actionable, what do archivists need to think about or do, both in terms of quality and quantity of information? How much information—even valuable, contextual information—is too much and/or how little information is not enough to satisfy the mandate of archivists to serve as conduits between records—and their creation contexts—and researchers' discovery of relevant records and the content they carry?

In addition to and to augment the *respect des fonds* principle, some have gravitated towards an authority control approach and not surprisingly so. After all, when one thinks of the phrase “authority control,” one imagines imparting consistency, replication, facilitation, and so on chiefly as applied to name and subject expressions.

Also to consider—given myriad other controls that archivists must oversee including and not limited to physical, intellectual, custodial, bibliographic, etc.—is it reasonable for archivists to assume authority control as an additional requirement or is that particular realm of control better suited to professional colleagues in technical services units, if resources allow?

And then there is *context control*, which this author only considered at the time of this writing. “Context control extends the traditional focus of single-name representations to other aspects of the entity that are equally important. Context control not only engages with names but uses the basic activities of entities for identity disambiguation and for providing more accurate representations” (Wisser, 2017, 251). Is *context control* the new *item level control* in terms of seducing

2 In 1721, “Russian archival legislation prescribed classifying documents by their origins and maintaining the integrity of fonds” (Leontieva, 2002, 41).

practitioners to siphon off valuable and often scarce resources from shoring up and adequately supporting core and mission-critical responsibilities?

There is also the matter of professional expectation to consider. Whereas a segment of our library science peers, especially technical services colleagues, are indeed expected to develop and apply the skills and expertise for effective authority control, the same cannot be said for archivists. That certainly is not to say that archivists are unable, unwilling, or incapable of learning such skills (if they do not already possess them), and/or of managing such tasks and embracing the added responsibilities. On the contrary, archivists on the whole are especially well-suited to impart controls, especially those based on standards, across and among the archival content in their care. Archival science educator Dr. Gregory Hunter articulated and helped to define archivists' responsibilities in his 2020 work, *Developing and Maintaining Practical Archives*. He said, rather economically, that the archivist's mandate is one to preserve and make accessible the *structure*, *content*, and *context* of archival records and within a standardized framework (Hunter, 2020, 35–36). His focus, however, was not on the context of the creators themselves.

In addition, if, as philosopher Jacques Derrida said, “Context gives the archivist credibility” (Derrida, 1996, 4), then it is imperative for archivists to preserve multiple external (fonds, record group) and internal (series, subseries, file) contexts wholly and not in fragments (Trivette, 2024). The question remains to what extent and must an archivist's reach go beyond controlling archival records and breach the domain of creators and agents otherwise.

Perhaps Jennifer Meehan, Director, Special Collections Directorate-Library of Congress, said it most pointedly: “In identifying the external and internal relationships of a body of records and communicating them to users through arrangement and description, the archivist is both protecting and representing the context of the records” (Meehan, 2009, 75) and thereby fulfilling his/her/their full responsibilities as an archivist (Trivette, 2024). But does that approach truly go far enough in terms of fulfilling his/her/their mandate?

This author would argue that by demonstrably honoring our long-held guidepost of *respect des fonds*, it might just be enough exertion and expenditure of valuable resources rather than taxing archivists to undertake the additional responsibilities of controlling authorities.

1.1 DEFINITIONS

The author would like to define this particular archives ecosystem by reviewing some terms relevant to the discussion. They are presented in alphabetical order.

Access to Memory (AtoM) is a “web-based, open source application for standards-based archival description and access in a multilingual, multi-repository environment” (Artefactual, 2022a).

Archival software involves any computer program that is “designed to facilitate the management of archives” (SAA, 2024b).

Authority defines “the source from which the citation is drawn or the source of a written [or otherwise created] work” (Merriam-Webster, 2024).

Authority control is “the process of establishing standardized names and index terms for use in archival or bibliographic description and ensuring their consistent application” (SAA, 2024c). In the aggregate, authority control is manifested in the form of an authority file.

An **authority record** is an “entry in an authority file that contains information about the preferred form of a name or subject heading” (SAA, 2024d). An *archival authority record* reaches a bit further as it also provides contextual information vis-à-vis the agent being discussed (SAA, 2024a).

Context is “the organizational, functional, and operational circumstances surrounding materials’ creation, receipt, storage, or use, and its relationship to other materials.” It can also be “the circumstances that a user may bring to a document that influences that user’s understanding of the document” (SAA, 2024e).

Context control is “the process of establishing the preferred form of the name of a records creator, describing the records creator and the functions and activities that produced the records, and showing the relationships among records creators, and between records creators, for use in archival descriptions” (Dryden 2005, 4–5).

A **creator** is defined as “the individual, group, or organization that is responsible for something’s production, accumulation, or formation” (SAA, 2024f). The definition could also encompass a thing’s ideation and manifestation.

Encoded Archival Context originally was “an initiative to produce an XML-based standard to describe records creators, then released as a provisional standard, and later a putative overarching set of standards for encoding contextual

information about archival resources” (SAA, 2024g).

Fonds is “the entire body of records of an organization, family, or individual that have been created and accumulated as the result of an organic process reflecting the functions of the creator” (SAA, 2024h).

Provenance is the “origin or source of something” and the “information regarding the origins, custody, and ownership of an item or collection” (SAA, 2024i).

Records in Contexts (RiC) is “a standard for describing archival records within the contexts of their provenance and use” (Popovici, 2024).

Respect des fonds, also known as the *principe de provenance*, is the archival principle that stipulates that records should be preserved “according to their origin and in the units in which they were originally accumulated” (SAA, 2024j).

2 METHOD

The author conducted qualitative research as she reviewed the scientific literature as well as a presentation from RiC expert and ICA Expert Group on Archival Description member, Dr. Bogdan-Florin Popovici, to ascertain the usefulness of authority records or control as they or it relate to the aforementioned paradigm of *respect des fonds*.

2.1 LITERATURE REVIEW

Since the circa 1960s, *respect des fonds* has been visited and revisited in the scientific literature and among archival science theorists and practitioners alike. The fonds approach versus the contextual functions approach to controlling archival records and, perhaps more pervasively, the information about the records including their creating entities, really began to gain traction in the 1980s.

Among the critics was Max Evans, former deputy state archivist for Wisconsin. He argued that “a function-centric control was more beneficial than the traditional fonds approach.” He further said that “an authority control-based system focuses upon record-generating entities; it consists of descriptions of the histories and functions of organizations and of the administrative relationships between them” (Evans, 1986, 249).

Indeed, many theorists have declared that the fonds concept is merely an intellectual construct. However, Evans said that “the authority control system is [also] an

intellectual construct, susceptible to emendation as institutions evolve, as functions change, and as administrative structures are altered” (Evans, 1986, 249). He continued: “The authority control system is a dynamic system that places each record-creating agency into an administrative hierarchy while also maintaining a record of the changes within the hierarchy over time” (Evans, 1986, 249).

While the authority control approach is still based on the principle of provenance, Evans said “it can provide new ways to bring information about agencies together with series descriptions, thus opening up new routes of access and linking related but hitherto separate series of records” (Evans, 1986, 255).

Evans advocated for “an archival system based on authority control meets all of the requirements for the management of records throughout their life cycle, permits the production of standard archival inventories (as well as specialized guides and other finding aids) on demand, and maintains the principles of provenance and original order” (Evans, 1986, 260).

This approach would seem to work as “the descriptions of archival material in such a system are linked to one or more authority records. This system provides the means for maintaining control over and gaining access to archival material by the provenance approach, without the inflexibility of the record group/hierarchy concept” (Evans, 1986, 249). This author finds the record group/hierarchy concept quite accommodating.

However, in this author’s opinion, it would seem that Evans is more focused on the referral process (to other creators or to other records) and less focused on the more immediate and intimate relationship of creator-to-record. The authority file is or becomes a separate, living and breathing construct related to but completely independent from the archival records archivists are responsible for. This author then asks: are archivists equally responsible for creators’ contexts as we are for the records’ contexts?

In 1989, David Bearman addressed the matter in his work, “Authority Control Issues and Prospects.” While consistency is at the heart of authority control, Bearman argued that “archival retrieval will be enhanced by placing more emphasis on increasing the number of access points and less on achieving consistency in indexing” (Bearman, 1989, 286). Bearman described various kinds of authority files and identified several (occupation, time period, geographic coordinates,

form-of-material, and function) that offer the most promise as discovery points (Bearman, 1989, 286). He also advocated for the value of the once often used “reference files” to be used not only in the traditional authority control sense but also as valuable information resources in their own right.

While authority files might prove valuable, they still ask more from archivists who increasingly have fewer resources to work with. Indeed, biographical and/or administrative histories have long been an integral element to archivists’ telegraphing valuable information about the records in their care and aligning records with their creating entities. Authority files and control replicate these efforts and certainly have the potential to enhance them as well.

In 2008, the distinction between describing creators versus describing records was brought to the fore by Larry Weimer as SAA’s *Describing Archives: A Content Standard* (DACS) was embraced in U.S. practice. In addition to DACS’ usage, Encoded Archival Context (EAC) gained traction internationally. Weimer stated that “DACS’s optional approach of describing creators in authority records separate from, but linked to, descriptions of holdings has the potential for the ‘rediscovery’ of provenance in U.S. repository collections” (Weimer 2008, 33). He noted that “multiple provenance (e.g., the Australian series system), postmodern theory of archives, and an increased emphasis on provenance as function are some of the reconceptualizations of archival context that compliance with DACS may inspire” (Weimer, 2008, 33).

Peter Horsman explained in 2011 that “context is not completely different from provenance, but it is potentially richer, and above all, does not focus on the fonds as a physical entity, but on understanding the meaning of records, how they were created, used, and maintained across space and time” (Horsman, 2011). This author asked: what is the cost of such richness and should archivists’ attention not be on the fonds and leave the discovery of untold meanings to researchers?

In her 2017 work, *Archives: Principles and Practices*, Laura Millar addressed the challenge of “over-prescription.” She stated that “as the functional approach grows more popular, archivists around the world are developing thesauri and authority lists to control the terms used to describe different activities in work and life. ICA’s ISDF [International Standard for Describing Functions] provides guidance on how to prepare descriptions of functions, and these descriptions may also identify business processes, activities, tasks, transactions or other actions” (Mil-

lar, 2017, 228). She continued to say that “Rigidly defining functions or agents presumes a level of certitude and precision that does not relate with the messiness of real life, personal or corporate. Over-prescription may help fit functions, agents and records into boxes, but who wants to live in a box?” (Millar, 2017, 228).

This author agreed with Millar and further asked why would archivists want to reach so very far beyond their mandated responsibilities and exhaust available resources at the expense of not satisfying core responsibilities?

Millar ultimately gave archivists some breathing room in declaring that they could “have it both ways.” She said that “It seems to me that the custodial approach and the functional approach do not need to be mutually exclusive. An institution may choose to adopt a functional approach to arranging and describing records that reflect a continuing organizational function. . . The same institution may also, quite reasonably, describe archives in custody, such as personal papers, by capturing information about all of the materials in hand” (Millar, 2017, 225).

Ciaran Trace reminded readers that “all told, from the late 1960s onward, the notion of provenance had increasingly been seen as dynamic rather than static in nature and conceptual rather than logical in application” (Trace, 2020, 332). Further, “the notion of external provenance, with its immediate tie to a creator, had taken on a more expansive horizon, and the nomenclature of ‘context’ had come to the fore to capture this new understanding of relationships and interrelationships” (Trace, 2020, 332).

There are many more voices in the scientific literature representing both choirs regarding the “fonds versus function” debate; however, this author, having worked in too many overly stressed repositories, remains squarely in the *respect des fonds* congregation.

2.2 RECORDS IN CONTEXTS: EXPERT COLLEAGUE INQUIRY AND COMMENTARY

RiC is the natural outgrowth of the function side of this debate. According to the ICA Expert Group on Archival Description (EGAD), “RiC emerged from existing standards for archival description such as ISAD-(G), ISAAR-CPR and ISDF³ and was created to overcome certain limitations associated with these standards” (ICA EGAD, 2024).

3 ISAD-(G), ISAAR-CPR and ISDF are ICA standards International Standard for Archival Description General, International Standard Archival Authority Record for Corporate Bodies, Persons and Families, and International Standard for Describing Functions.

EGAD declared such limitations including:

1. A lack of coherence given they all emerged from separate processes;
2. Being technologically and intellectually outdated;
3. A lack of uptake (except for ISAD(G)) by archival institutions and software providers;
4. Not being based on rigorously controlled and identified entities, thus leaving too much room for interpretation (ICA EGAD, 2024).

As for the second and third points, AtoM (discussed below in segment 4.3) satisfies the technological need as it marries *respect des fonds* and the value-added authority control content and context. This author respectfully disagrees as to their being outdated technologically or intellectually.

Professor Dr. Bogdan-Florin Popovici works at the National Archives of Romania and is a member of the ICA EGAD. He is also an archives educator for Alma Mater Europaea University's master's program in archival science. On 27 June 2024, Dr. Popovici delivered an address to attendees of the SAA International Archival Affairs Section annual meeting.

Popovici discussed the founding of and the implementation of RiC as a descriptive standard and what he saw as the future of its adoption and application within and across repositories.

Popovici noted that the RiC-Conceptual Model is actually not a standard in the vein of ISAD(G) in that it is not one simply to be adopted and implemented. It is rather a framework and is not an "all or nothing" set of prescriptive inclusions or directions (Popovici, 2024).

That said, in his presentation, Popovici offered some pre-implementation guidelines for repositories' staff such as:

- Do a needs gap analysis [and/or assessment];
- Assess the costs and benefits of your choice either to implement RiC or not (being clear on the advantages of your inclusions and the risks/savings associated with your exclusions); and

Consider [and be prepared for] the need for change management (Popovici, 2024)

He also asked listeners to consider the following:

- Which entities [things] should be used?
- Which attributes [feature, characteristic, or property] or sub-attributes should be used?
- Which relations [connections between entities] should be used and how much detail should be provided?
- What extensions or specializations are needed? (Popovici, 2024)

Popovici declared that the potential impact of RiC on archivists' descriptive practice includes discovery of new records' "aggregations;" the accommodation of digitized records; recognizing fading borders of finding aids; acknowledging a conundrum between provenance and pertinence; and sharing work with the cyberworld will yield new meanings.

The potential impact of RiC on researchers includes: a newly found freedom to create facets and new contexts; the discovery of new meanings as derived from new connections of information; a potentially enhanced ease of retrieval (Popovici, 2024).

The RiC standard was authored by ICA's EGAD, which, as of 2022, had twenty-one members from fourteen countries. Version 0.1 was released in 2016, after which feedback was gathered from the international archival community. This was followed by substantial revisions, which led to the current version, 0.2; it was released in 2021. A second call for comments took place and comments were received in early 2022. RiC was launched at the beginning of 2023; at the time of this writing, version 0.2 was still in draft form but was thought to be mature enough to use in projects (ICA EGAD, 2022).

ICA stated that "the [RiC] standard makes it possible to describe archives in a more precise and nuanced way and to represent the variety of relationships that bind them to their contexts" (ICA EGAD, 2023). This author wondered how much relationship variety is truly of value and to whom.

3 RESULTS

The scientific literature revealed just how long ago the challenges to *respect des fonds* actually began and how they ebbed and flowed over time. The principle's

incorporation into current-day archives management software vehicles such as Access to Memory lends to its staying power even in light of the challenges. That said, with the establishment of RiC, and its being embraced in the archives community, this author is curious to witness whether the virility of *respect des fonds* will stay the course going forward.

4 DISCUSSION

4.1 HISTORICAL CONTEXT

The French developed the central concept of *respect des fonds* rather than “organizing archival records according to pre-determined classification schemes based on subject matter or content” (Jimerson, 2009, 72). A fonds would be based not only on its origins but also the function of the creating origin. This principle would become “the foundation of the Prussian concept of *provenienzprinzip* and it still stands as a founding concept and practice” for modern archival management (Jimerson, 2009, 72).

A key treatise that served as an early attempt to codify archival theory and practice was published in 1830, “when François Guizot, French Minister of Public Instruction, issued regulations requiring the application of *respect pour les fonds* to the records of the *départements* in the Archives Nationales” (Gilliland-Swetland, 2000).

However, it was not until 1841 that French archivist and librarian Natalis de Wailly put forward the *principe de provenance* as the theoretical origin of the *fonds d’archives*. Ultimately, “respecting the principle of provenance is essential to the evidential value of archival records” (Couture & Rousseau, 1987, 162).

Eventually, it was the Dutch archives theory masters Samuel Muller, Johan Adriaan Feith, and Robert Jacobus Fruin who wrote the internationally respected and now paradigmatic archives management treatise entitled the *Manual for the Arrangement and Description of Archives* in 1898 (Trivette, 2024).

Within a sea of endless realities that archivists face including and not limited to insufficient education, training, and resources otherwise, the *respect des fonds* still “presents [a] worthy focus of archival aspiration” (MacNeil, 1994, 16).

4.2 COMPLICATIONS AND SIMPLIFICATIONS

The long-standing rule to *respect des fonds* has been intellectually and ethically criticized by both archival theorists and practitioners for decades. The rule focuses on the entity that created or accumulated records and “maintains that the accumulated body of records is to be kept together” (ICA, 2023).

However, “the focus on the person or group that accumulated the records, it is argued, often does not reflect the social and material complexity of the origins of the records” (ICA 2023). While this might be true, archivists must weigh the value of teasing out, discovering, and presenting these complexities.

Indeed, such complexities are abundantly clear in recorded evidence and the chain(s) of interactions only multiply. “Individuals interact with one another and with groups, and groups with other groups. Records by one individual or group are often found in the records of another individual or group. The intellectual content of a record may be related to the content of one or more other records” (ICA, 2023).

Further still, “a single record or single accumulation of records may be jointly created by more than one individual or group, both simultaneously and/or successively. More than one person or group may play different roles in relation to one record or one set of records” (ICA, 2023).

To complicate this landscape even more, “people create and use records but also are frequently the subject of records. The emergence of collaborative editing in the networked digital environment has led to other complexities in determining the origination and ownership of records, as many digital records have complex multiparty authorship, and the use of remote storage services that are not fully controlled by the users raise issues of ownership and custody” (ICA, 2023, 4).

It is true that the “origination of records is much more complex than the long-established understanding of fonds.” Indeed, the records in a fonds do not exist only in relation to itself nor in isolation. The fonds and its records “exist in layers of interconnected contexts, past, present, and future” (ICA, 2023, 5).

None of these facts erases the need for archivists to provide the answer to what this author considers the most crucial of questions vis-à-vis evaluating evidence: who or what is the source of the information? In order to establish the authenticity, credibility, and integrity of the records in their care, archivists must be able to answer this question.

4.3 ATOM AND ITS AUTHORITY FILE APPLICATION

At this author's former employer⁴, AtoM was selected over other archives management software tools, such as ArchivesSpace⁵, because AtoM directly aligned with ICA's ISAD(G) standard. This was important to the end user because it had adopted ISAD(G) as a structural standard. In other words, ISAD(G) provided descriptive elements (26 in total) for *what elements to record* about an archives unit. It was used in combination with SAA's DACS, which standardized *how to express* the contents of an informational element.

In AtoM, authority records are documented information about actors vis-à-vis an archival institution's records. Artefactual uses the term *actor* in relation to "corporate bodies, persons, or families who interact with archival materials;" these actors are typically records creators (Artefactual, 2022b).

The data elements used to describe authority records are based on the ICA's International Standard Archival Authority Record for Corporate Bodies, Persons and Families (ISAAR). ISAAR defines authority record as "The authorized form of name combined with other information elements that identify and describe the named entity and may also point to other related authority records" (Artefactual, 2022b).

Although "authority records are maintained separately from archival descriptions" in AtoM, they can be linked to descriptive units by associating specific entities (persons, families, or corporate bodies) as creators or as access points (Artefactual, 2022c). Users can take advantage of this capability and be more standards compliant given "AtoM's standards-based archival description templates for ISAD(G), RAD⁶, and DACS" (Artefactual, 2022c).

5 CONCLUSION

This author subscribes to repeatedly and consistently applying the *respect des fonds* in that it helps to ensure trustworthiness in the archives and even though it has been challenged and over the course of many decades and up until current day. Whatever other value-added approaches are employed, *respect des fonds* po-

4 SPARC Connect is the AtoM instance for the Fashion Institute of Technology-State University of New York. See <https://atom-sparc.fitnyc.edu/> for more information.

5 ArchivesSpace is an archives management software program much like AtoM. Unlike AtoM, it is not directly aligned with a descriptive standard.

6 RAD is Rules for Archival Description and is maintained by Canadian Council of Archives.

sitions records to serve, with a high degree of confidence, as evidential surrogates for past human activity and experience.

In her experience, the author has found that the *respect des fonds* principle is the archives management tradition that is consistently agile and adaptable; this is manifested through her use of the AtoM archives management software and its inherent respect of the paradigm. With such respect intact, this author—and perhaps her readers—comes full circle in that the creator is the ultimate delineator—fonds, functional, and otherwise.

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Summary

This article considered and discussed the benefits and liabilities of ways to control information about archives creators and their relationships to and across archival records. The author discussed the tension between the fonds versus the functional approaches to control creator information and repeatedly found that the more complicated the approach, then the more susceptible the enterprise was to the Law of Diminishing Returns. The author conducted a scientific literature review and revisited a presentation from an expert on descriptive and contextual archives matters and an author of the Records in Contexts standard. He laid out some implementation suggestions and offered insights into the new descriptive model. The trajectory of archives management is one of chaos to control to a nearly unlimited array of controls, including and not limited to respect des fonds. In conclusion, after investigating this topic, the author found herself with more questions than answers. In the end, is archival authority control—and associated tasks which further exhaust even more of archivists' meager resources—more a respect des théoriciens than a respect des fonds?

Typology: 1.01 Original Scientific Article

Pekka Henttonen¹

ARCHIVES AND PUBLIC AGENCIES IN FINLAND – A RELATIONSHIP IN TRANSFORMATION

Abstract

Purpose: *The article analyzes how relationship between the National Archives and Finnish public agencies has changed over the course of history.*

Method/Approach: *The study looks the relationship as a question of power balance. It is based on research publications and professional literature.*

Results: *The relationship has fluctuated considerably. The power of the National Archives expanded first from archives as a physical end-product to records management, and then from management of records processes to planning phase preceding records creation. Now the National Archives is returning to a narrow cultural-historical role as a part of research infrastructure. At the same time, records profession in the agencies is gaining more independence.*

Conclusions: *The balance of power between an archival institution and public agencies is not fixed and can have many forms.*

Keywords: *archives, records management, archivists, records managers, archival history*

ARCHIVI E AGENZIE PUBBLICHE IN FINLANDIA: UNA RELAZIONE IN TRASFORMAZIONE

Abstract

Scopo: *L'articolo analizza come la relazione tra gli Archivi nazionali e le agenzie pubbliche finlandesi sia cambiata nel corso della storia.*

Metodo/approccio: *Lo studio considera la relazione come una questione di equilibrio di potere. Si basa su pubblicazioni di ricerca e letteratura professionale.*

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Risultati: *La relazione ha subito notevoli oscillazioni. Il potere degli Archivi nazionali si è espanso prima dagli archivi come prodotto finale fisico alla gestione dei documenti, e poi dalla gestione dei processi di archiviazione alla fase di pianificazione precedente la creazione dei documenti. Ora gli Archivi nazionali stanno tornando a un ruolo storico-culturale ristretto come parte dell'infrastruttura di ricerca. Allo stesso tempo, la professione di archivista nelle agenzie sta guadagnando maggiore indipendenza.*

Conclusioni: *L'equilibrio di potere tra un'istituzione archivistica e le agenzie pubbliche non è fisso e può avere molte forme.*

Parole chiave: *archivi, gestione dei documenti, archivisti, gestori dei documenti, storia degli archivi*

ARHIVI IN JAVNE AGENCIJE NA FINSKEM – ODNOS V PROCESU PREOBRAZBE

Izveleček

Namen: *Članek analizira kako se je skozi zgodovino spreminjal odnos med nacionalnim arhivom in finskimi javnimi agencijami.*

Metoda/pristop: *Študija obravnava odnose kot vprašanje ravnotežja moči. Temelji na raziskovalnih publikacijah in strokovni literaturi.*

Rezultati: *Razmerje je precej nihalo. Moč Državnega arhiva se je najprej razširila iz arhivov kot fizičen končni izdelka področja dokumentologije, nato pa iz vodenja dokumentacijskih procesov do faze načrtovanja pred ustvarjanjem zapisov. Sedaj se Državni arhivi vračajo k ozki kulturnozgodovinski vlogi raziskovalnega infrastrukture. Hkrati se poklic dokumentologa v agencijah vse bolj krepi in dobi na samostojnosti.*

Sklepi: *Razmerje moči med arhivom in javnimi agencijami ni definirano in ima lahko veliko oblik.*

Ključne besede: *arhivi, dokumentologija, archivisti, upravljavci dokumentov, arhivska zgodovina.*

Archives and public agencies have a multifaceted relationship. There are questions of cooperation and practical aspects. There is legislation that gives a framework for co-operation. There are questions of professional identity and borderlines between records management and archives management. In this article I discuss these issues. Although the focus is on the Finnish recordkeeping, I hope to make some notes that are universal.

One cannot avoid discussion about concepts first. In our minds there is always some conception of what is an “archives.” However, how we conceptualize our environment is culture and language dependent. In these respects, the Nordic countries – Finland, Sweden, Norway, Iceland, and Denmark – form a cluster because of their shared history, administrative traditions and (in most cases) language. In this cluster practices, legislation, and concepts are close to each other. In the Nordic countries there are archives inside the agencies. What is “archival” – and what is not – has not been defined by the value of records for permanent retention, age, and use of documents like it is customary in most English-speaking countries. In other words, regardless of age and value even records that are only “moments old” (an expression used by Margaret Cross Norton, in Upward, 2005, 214) and still actively used by the administration are considered as parts of the archives conceptually. Consequently, in Finnish public agencies there are archives and archivists who have records in their custody before transfer to the National Archives. Historically the branch of records professionals working in organizations and serving needs of the records creator is older than the branch working in cultural-historical institutions. (Duranti, 1989). From this perspective, the relationship between a public agency and (its) archives might be seen as an internal administrative affair.

In this article, however, I will ignore this and examine the issue from the perspective of relations between public agencies and “proper” archival institutions. By archival institution I mean here the current National Archives of Finland and its predecessors. From my perspective this is a question of power balance. My argument is that the power of the archival institution expanded over the years because increasing proactive intervention of records professionals was always the solution to problems at hand. Now the tide has turned, and the power is in decline.

SUPPLIERS AND CUSTOMERS

At the bottom there is always – regardless of concepts, current legislation, existing local practices, professional identities, and distribution of work – a supplier–customer relationship: public agencies create records that are preserved in the archives. Recordkeeping in the agency takes place first, only later comes the archival phase. The “customer” sets, or would like to set, requirements for the goods it is getting. After digitalization it has become generally accepted that the needs of the archives must be considered right from the beginning of the record life cycle. An archives has interest to records it is getting from the administration, but the same is not necessarily true vice versa: serving historical research is rarely paramount to records creator (for example, see Tough, 2004). From records creator’s perspective records management is the primary function: archives are a part of records management, it is the “tail” that should not “wag the dog” (Atherton, 1985 citing Penn 1984; Penn, 1984). One has also argued that involvement of an archival institution in the record creation may actually be against the interest of the institution, for instance, because it endangers evidentiality of the records (Erlandsson, 1996; Tough, 2004).

In Finland for a long time there was no tail to do the wagging. The National Archives of Finland was gradually born in the 19th Century from the archives of the Finnish Senate (for a short history, see Rastas, 1999). In this supplier–customer chain the customer became concerned about what the supplier could deliver. In the first decades of the 20th Century, it became obvious that archives were often in poor state in the administration. An example was the archives of the National Board of Customs. It was stored without inventories in disarray in an unlit attic and there was no-one having responsibility for it. In the year 1927 the National Archives adopted a resolution obliging agencies to take care of the archives in their custody (Nuorteva & Happonen, 2016, 154, 156).

Before the first Archives Act in the year 1939 the National Archives had no independent authority in archival issues. Therefore, the resolution (1927) was published in the name of the Finnish Government. The Archives Act (1939) consolidated the power of the National Archives in the field of archives management. The law expressed ongoing concerns about the state of archives. Perhaps the most important regulation was that one could destroy records only with the permis-

sion of the National Archives (6 §). The National Archives was given the right to make inspections and give instructions in archival matters (6 §). It was decreed that records are to be stored in a space that protects them from fire, moisture, and damaging (9 §).

In short, the spirit of the 1939 Archives Act was protective and preventive. Its goal was to ensure that there are records that can be transferred to The National Archives later. The focus was on the archival collection in existence (Nuorteva & Happonen, 2016, 160–164). Correspondingly, the first instructions of the National Archives were about archival storage space in the state and municipal agencies (Valtionarkisto, 1939).

EXPANSION OF THE POWER OF THE ARCHIVAL INSTITUTION

The first Archives Act (1939) started a slow expansion of the power of the archival institution. Kilkki (2020) has analyzed how expertise of records professionals of the National Archives and has been constructed in instructions and regulations. She shows how the expansion took place in three phases. Each stage broadened the area of records professionals' proactive intervention and stated new areas where they were said to have expertise. Proactive intervention of the archival institution was needed because it was always seen as the solution to archival problems at hand. The Archives Act of 1939 marked the beginning of the first phase and legitimized what Kilkki calls "archival discourse." In this discourse the mandate of experts of recordkeeping was confined to the non-current phase of the life span of records. The National Archives could act proactively, but this proactive action was about "how archives were created", in other words, what was the arrangement given to records in the archives of public agencies. Once the records were annexed to an archive began the phase of the record life span that was in the domain of the National Archives (Kilkki, 2020, xiv, 255).

"Recordkeeping discourse" was the next phase that was introduced with the new Archives Act (184/1981). Protecting and preserving records was no longer a burning issue. Instead, the problem was how to limit the influx of records to archives. To solve this problem proactive intervention of the record professionals was extended to the whole record life span starting from the records' creation.

The Archives Statute (1012/82, 6 §) stipulated that every agency must document how records' life cycle is managed in the agency from the creation to disposal. This "archives creation plan" listed record types that are created in the agency. The plan stated which records are to be registered and which are not. It defined retention times, places of storage, access restrictions, arrangement of records, and place in the archival series (if the record type was deemed permanently valuable) (Kilikki, 2020, xv).

Thus, at the second phase focus was shifted from the archives as a (physical) collection and end-product of records processes to the records processes themselves and the whole life span. The authority of the National Archives was now extended to records management (Orrman, 2019a, 80 (orig. 2010)). This shift was accompanied by discussion of how one should group record types in the archives creation plan. The older paradigm, in which records series in a fonds were organized by "record type" (incoming letter, outgoing letter, inventory, and so on) regardless of their content was replaced by a new approach in which the function behind the records' creation was the basis of classification. The advantage of the old paradigm had been that fonds in the National Archives were uniform: every agency had e.g. correspondence, regardless of its functions. Thus, it served more interests of the archival institution than those of the records creator (about discussion, see Jääskeläinen, 2000; Vartiainen, 2002).

This shift from records to functions continued at the third phase, "record management discourse", the beginning of which can be dated roughly to third Archives Act in the year 1994. Now evidentiality of electronic records was seen as the major problem. To solve this problem the scope of records professionals had to extend beyond records' processes. Planning of records management had to begin even before records' creation. The records professional had to identify needs for metadata and set requirements to information systems. Thus, his domain was extended to daily operations of the agency and details of the information systems. (Kilikki, 2020, xv–xvi.) This approach was taken to extreme in the year 2008 when the concept of "information control systems" were introduced in Finnish public sector records management. The idea was to combine records management plans and process descriptions of the agency and use this information to create and update records metadata through the record life span (Henttonen, 2023b).

INTERNATIONAL INFLUENCE AND PARALLEL DEVELOPMENTS

Although the Finnish development has indigenous features, it did not take place in isolation. Nevertheless, it is difficult to point out the international influence. Kilkki notes:

“The practices of Finnish archival management are outlined in the regulations and guidelines issued by the National Archives under the Archival Act. However, it would be futile to try to find references to the underlying archival theory in these documents – and most of the archivists implementing these guidelines probably wouldn’t be interested in that either” (Kilkki, 2002, see also 2004).

Lack of explicit theory building leaves room for interpretation. For instance, one might wonder what the role is played by Life cycle and Record continuum models both of which structure professional responsibilities and user groups of records during record life span (for a summary and a comparison, see An, 2003). The first textbook for governmental archives (Valtionarkisto, 1978) mentions neither – and, of course, Records continuum model did not exist at that time. Life cycle was introduced in a later textbook (Rastas, 1994a, 53) in a form that does not separate records and archives management. It has been argued that Finnish conception of record life cycle resembles Records continuum model (Lybeck, 2006, 21), but it seems likely that one has developed practices very pragmatically. Like Kilkki notes, the practices are not explicitly anchored to any theoretical background which allows projecting different ideas onto them. This may be useful when one tries to understand differences between archival contexts, but it hardly says anything about the conceptions of the people behind the practices. Kilkki (2002, 2004) says, for example, that ideas of David Bearman fit well into Finnish archival context, but this does not show that his thinking has influenced Finnish practices.

However, it seems clear that the challenge of digitalization was recognized early on. Development of functional requirements (for summary and comparison, see Marsden, 1997) for recordkeeping systems was followed closely (Rastas, 1994b). The requirements emphasized the need for records professionals’ early involvement in the record life span.

OLD AND NEW PROFESSIONALS

There were other simultaneous developments. The most important was about the records profession itself.

First signs of a records profession appear in Finland in the era of autonomy (1809–) when positions for archivists are opened in the highest authorities and provincial governments (Lybeck, 2016, 244). Nevertheless, when archives in the administration were found to be in disarray one hundred years ago, the problem was not only lack of instructions, but also of lack of people with proper skills and education. This was a problem both in the administration and in the National Archives (Nuorteva & Happonen, 2016, 160–164). Profession begins to emerge in the National Archives where first steps to create internal program of professional education were taken in the 1920s (Henttonen, 2023a, 92–93). Besides education, professional associations serve also as an indication. The oldest of these is the Society of Finnish Archivists, founded in the year 1947. The society was initially only an association of civil servants in the National Archives which suggests that the National Archives was the spearhead of professional development (Henttonen, 2023a, 94).

The emergence of the profession outside the National Archives seems to date to the post-war period. Education spread to professionals outside the National Archives in the 1960s (Henttonen, 2023a, 92–93).

Thus, there was a records profession of a kind in agencies when a presentation in the year 1972 stated that archivists in the agency are “an outpost of science” which differs them from mere “records managers” (Lybeck, 2016, 209). This is the first time when the term “records manager” appears (untranslated) in a Finnish text. In the presentation it was argued that an archivist in an agency was an integral part of the organization and not a representative of the National Archives. To me it is emblematic that one had to say this aloud. Obviously, the agency is the immediate context to which a records professional working it must adapt. At the same time, it is questionable to what degree the mission of an archivist in an agency differed at that time from the mission of an archivist in the National Archives. Records professionals in the public administration were educated in the courses of the National Archives. Taking an archival exam typically included

a period of practical training in the National Archives (Joki, 1998). Thanks to practical training records professionals had personal relations with people in the National Archives.

When the National Archives issued new instructions or gave orders to public agencies, these professionals were the ones who carried them out. Education and experience in the National Archives probably formed their professional identity and world view, although we cannot be certain of it. There are no studies about this. However, my personal feeling – and I have been working as a records professional for over 35 years – is that archival views dominated discussions at the expense of records management perspective. One is hard pressed to find in Finnish professional literature texts that are not directly or indirectly about permanently valuable records that have “archival value”. The dominance of the National Archives is shown by the fact that records professionals in the agencies generally did not about ten years ago recognize any alternatives to function-based classifications (Packalén & Henttonen, 2015) – which is the only approach advocated by the National Archives.

FROM RECORDKEEPING TO INFORMATION GOVERNANCE

Kilkki (2020) shows how power of archival institution slowly expanded. Today the tide has turned. There are several reasons for this.

The legislation does not fully support what has happened. The second Archives Act (184/1981) extended the competence of the National Archives to records management of agencies, but even at that time there were different interpretations on what was the limit of this competence and how it should be used (Orrman, 2019b).

The third Archives Act (831/1994) gave the National Archives competence to give orders about registration and catalogues (16 §), and storage space, materials, and methods (11 §) if the records are permanently valuable. The National Archives could also define what records are to be preserved permanently (8 §). The agencies were obligated to define retention times of records and document them in a plan (11 §). It was also stated in a very general manner that requirements of the archives management must be considered in public sector records and information management (7 §).

The goal of the 1994 act was to emphasize the role of the National Archives in information guidance and education, but this did not happen. The requirements for electronic records management systems (2005, 2008) lead to the National Archives taking quietly a role in defining information systems for public agencies. Formally the competence of the archival institution was limited to permanently valuable information, but in reality, this limit was fictitious, because the agencies do not have one system for permanently valuable information and another for ephemeral data (Tallinen, 2020, 56). Thus, the National Archives exceeded its competence when it began to give orders about information management in agencies or stated that an agency must manage access rights to information. The same happened when the National Archives gave some auditors a right to certify compliance of information systems with its requirements for electronic records management systems. The National Archives did not have legal competence to inspect information systems in the first place, nor could it evaluate auditors of the systems and transfer use of public power to them (Tallinen, 2020, 50; Voutilainen, 2012, 18–20). Legally the *raison d'être* of the National Archives was (and is) preserving records for use in research. Here lies its interest and expertise. Thus, when the National Archives began to guide the whole record life span the result was preposterous - The tail was now wagging the dog (Tallinen, 2020, 49–52).

By the beginning of the 2010s digitalization had made it clear that there was a need to renew information management legislation. Statutes governing public sector information management were scattered in numerous acts and it was necessary to gather them together. Perhaps as a kind of backlash to its excesses the National Archives was excluded from drafting the new Act on Public Sector Information Management (906/2019) (Tallinen, 2020, 34–35).

The act brought two important changes. Firstly, it introduced a new concept *tiedonhallinta* which roughly equals “information governance” (Brooks, 2019). What is noteworthy is that the concept ties together different aspects of managing information (creation, classification, rights management, security, aso.) without inclusion of distinct archival perspective. Secondly, the act introduced in Finland the Anglo-Saxon distinction between current information that is still relevant for a records creator and “archives” that is preserved for cultural-historical purposes only (Henttonen, 2018). Until now this meaning of the term had been unknown here in

professional vocabulary. The change is more than purely semantic, because the responsibilities of the National Archives are in the new act limited to “archives” and “archiving”. Thus, the National Archives is no longer a developer of records management. Its functional requirements for electronic records management systems are now a recommendation and have lost their status as a regulation that the agencies have must follow when developing their information systems (Suositus, 2022). The 1994 Archives Act is now clearly outdated and in contradiction with other legislation. Still, it has not been renewed. Renewing the act has proven to be a challenging task because of the complexity of the issue. There have been attempts to draft a new Archives Act for over ten years, but they have all failed (Voutilainen, 2023). As far as it is known the proposals for previous archives acts (1939, 1981, 1994) were prepared in the guidance of the National Archives and even written by its personnel, but now drafting the archives act is out of its hands.

During the past decade, the National Archives has also lost much of its monopoly in archival education. While the National Archives still has courses where practical skills are taught, higher education has been transferred to universities. This means that newcomers in the field may have a higher education, but they have not worked a day in the National Archives. In the older generation of professionals this was not possible. Together with the concept of information governance and therewith broadened duties of records professionals this may have changed essentially professional identities in the field.

Again, this is an issue that we do not have research on, but there are some signs of it. As recently as twelve years ago a presentation video of the National Archives (2012) stated that “the goal of records management is to transfer over 40 years old records to the National Archives arranged and cataloged.” Last year I pointed this out at the national conference of records professionals in Turku and asked who thinks that this is true today. No hands were raised.

Thus, it seems that there has been a major change. We have now an archival institution that is focused on cultural heritage and building a research infrastructure, and in public agencies a records profession to whom archival perspective is only one way to look at the information in their custody. This is in many ways the opposite to what has been the case until now. When we look at the power balance between the archival institution and the public agencies we have returned to time about one hundred years ago.

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Summary

Relationship between archival institutions and public agencies is not fixed. Legislation, concepts, administrative practices, and professional identities shape it. In Finland the relationship between the National Archives and public agencies has fluctuated during the last one hundred years. In this article the relationship is examined as a question of power balance. Archives have interest in public agencies because their mission depends on records that are created by public agencies. For a long time, the power of the National Archives increased slowly. This was backed by legislation in part, and by the National Archives' monopoly in professional education. The monopoly shaped records professionals in the agencies and guaranteed close ties with them. A driving force in the development was the problem of archives management at the time. The expansion of power took place in three phases all of which led to increasing proactive engagement of records professionals. At first phase it was important to protect archives as a physical collection. Thus, the National Archives was given competence over archives in the custody of the agencies. At the next phase the problem was how to reduce influx of records to the archives. Therefore, the National Archives needed competence over records management in the agencies. At the third phase, evidentiality of digital records was the problem. Now proactive action of the National Archives was extended to defining metadata and functional requirements for information systems. However, this exceeded the legal competence of the National Archives. In recent years the tide has clearly turned. The National Archives is withdrawing from records management and focusing on its role as a scientific infrastructure for research. The highest archival professional education has been transferred to universities during the last decades. Therefore, the new professionals may not have close ties with the National Archives. In addition, recent legislation has introduced a new concept, "information governance". Information governance has broadened the role of records professionals and increased their duties in the agencies.

Typology: 1.01 Original Scientific Article

Azem Kožar¹

RELATIONS BETWEEN ARCHIVES AND REGISTRATIONS IN ARCHIVES THEORIES AND PRACTICES OF BOSNIA AND HERZEGOVINA

Abstract

Purpose: *Archival materials are central to the work of archives and registries (creators and owners of registry materials), with their roles and responsibilities governed by a range of archival and other regulations at different levels of government. The relationship between archives and registries varies by country, shaped by historical and political factors.*

Methods: *This paper examines the relationship between archives and registries in Bosnia and Herzegovina, a country with a unique administrative model. It analyzes the impact of the country's political and administrative organization on archival practices, focusing on aspects such as financing, management, legislation, staffing, program orientation, and penal policies.*

Results: *Findings show that Bosnia and Herzegovina's complex and asymmetrically organized administrative structure, shaped by political affiliations, affects the functioning of archival services. This, in turn, influences the dynamics of development, professional practices, and the scientific scope of archival activity at various administrative levels.*

Discussion: *The study highlights how political affiliation acts as a determining factor in all aspects of archival practice in Bosnia and Herzegovina. This situation creates challenges for uniform archival development and professional-scientific progress across different regions within the country.*

Key words: *archives, registries, archival activities, Bosnia and Herzegovina, archival regulations, archival associations, political influences.*

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RELAZIONI TRA ARCHIVI E REGISTRI NELLE TEORIE E PRATICHE DEGLI ARCHIVI DELLA BOSNIA-ERZEGOVINA

Abstract

Scopo: *I materiali d'archivio sono centrali per il lavoro degli archivi e dei registri (creatori e proprietari dei materiali dei registri), con i loro ruoli e responsabilità disciplinati da una serie di normative archivistiche e di altro tipo a diversi livelli di governo. La relazione tra archivi e registri varia a seconda del paese, modellata da fattori storici e politici.*

Metodi: *Questo documento esamina la relazione tra archivi e registri in Bosnia-Erzegovina, un paese con un modello amministrativo unico. Analizza l'impatto dell'organizzazione politica e amministrativa del paese sulle pratiche archivistiche, concentrandosi su aspetti quali finanziamento, gestione, legislazione, personale, orientamento del programma e politiche penali.*

Risultati: *I risultati mostrano che la struttura amministrativa complessa e organizzata in modo asimmetrico della Bosnia-Erzegovina, modellata da affiliazioni politiche, influenza il funzionamento dei servizi archivistici. Ciò, a sua volta, influenza le dinamiche di sviluppo, le pratiche professionali e l'ambito scientifico dell'attività archivistica a vari livelli amministrativi.*

Discussione: *Lo studio evidenzia come l'affiliazione politica agisca come fattore determinante in tutti gli aspetti della pratica archivistica in Bosnia ed Erzegovina. Questa situazione crea sfide per uno sviluppo archivistico uniforme e un progresso scientifico-professionale in diverse regioni del Paese.*

Parole chiave: *archivi, registri, attività archivistiche, Bosnia ed Erzegovina, regolamenti archivistici, associazioni archivistiche, influenze politiche.*

ODNOSI MED ARHIVI IN REGISTRATURAMI V ARHIVSKI TEORIJI IN PRAKSI BOSNE IN HERCEGOVINE

Izvleček

Namen: *Arhivsko gradivo je osrednjega pomena za delo arhivov in registrov (ustvarjalcev in lastnikov registraturnega gradiva), njihove vloge in pristojnosti pa ureja vrsta arhivskih in drugih predpisov na različnih ravneh oblasti. Razmerje med arhivi in registri se razlikuje glede na državo, oblikujejo pa ga predvsem zgodovinski in politični dejavniki.*

Metode: *Prispevek preučuje odnos med arhivi in registri v Bosni in Hercegovini, državi z edinstvenim upravnim modelom. Analizira vpliv politične in upravne organizacije države na arhivsko prakso, pri čemer se osredotoča na vidike, kot so financiranje, upravljanje, zakonodaja, zaposlovanje, programska usmeritev in kazenska politika.*

Rezultati: *Ugotovitve kažejo, da zapletena in asimetrično organizirana upravna struktura Bosne in Hercegovine, ki jo oblikujejo politične strukture in usmeritve, vpliva na delovanje arhivskih služb. To pa posledično vpliva na dinamiko razvoja, strokovne prakse in znanstveni obseg arhivske dejavnosti na različnih upravnih ravneh.*

Razprava: *Študija izpostavlja, kako politična pripadnost deluje kot odločilni dejavnik v vseh vidikih arhivske prakse v Bosni in Hercegovini. To stanje ustvarja izzive za enoten arhivski razvoj in strokovno-znanstveni napredek po različnih regijah v državi.*

Ključne besede: *arhivi, registraturno gradivo, register, arhivska dejavnost, Bosna in Hercegovina, arhivski predpisi, arhivska društva, politični vplivi.*

INTRODUCTORY REMARKS

For an adequate understanding of the current (achieved) state of relations between archives and registries, it is necessary, at least roughly, to indicate the evolutionary course of those relations, the systemic perception of the place, role and importance of archival activities, which inevitably reflected on the dynamics and level of its development, and thus also the segment of the relationship between archives and registries as one of the most important issues for understanding and evaluating the achieved level of development of archival activity. All these complex problems were reflected in the legal regulation of relations (theoretical level) regarding their rights (jurisdiction) and obligations, on the one hand, and on the possibilities of their application in work (pragmatic level). Those relations changed theoretically and pragmatically, but they were always insufficient, i.e. in the gap/disproportion between the regulations and their application, i.e. of what was desired (vision) and what was achieved (mission), in such a way that practice did not fully follow theory/legislation.

The state-administrative organization of the SFR Yugoslavia, from its creation until its dissolution (1945–1991), was consistently followed by the administrative organization of archival activities at the state level and in federal units (uniform regulations, the main cohesive and harmonizing function of the state archive, a unique professional archival association, etc.). However, during and after its dissolution, there were significant changes, which resulted in the independence of some federal units into independent and autonomous states, among which Bosnia and Herzegovina is also included. Sovereign Bosnia and Herzegovina has become a complex state (state, entities, cantons, Brčko District of BiH), which has complicated the possibilities of adequate synchronization and harmonization of archival regulations and their consistent application throughout the state. Instead of one archival law and several by-laws that were valid throughout the territory of Bosnia and Herzegovina, which were implemented by one state and eight regional archives,² after the dissolution, which took

2 Since the establishment of the State Archives of Bosnia and Herzegovina in 1947, and gradually eight regional archives (in Sarajevo in 1948, in Banja Luka in 1953, in Tuzla, Doboj, Mostar and Travnik in 1954, in Bihać in 1982 and Foča in 1983), several archival regulations (laws and by-laws) at the state level. The last time this was done was in 1987, when the *Law on Archival Activities of Bosnia and Herzegovina* ("Official Gazette of SRBiH", No. 21/87) was adopted, and in 1988, when the most important by-laws were adopted (regulations and instructions as implementing archival regulations - "Official Gazette of SR BiH", No. 41/88). See more: Šehović & Čekić, 2007; Kožar, 2010. Since 1954, the Association of Archive Workers of BiH has been operating as a professional archivist association, which changed its name several times during its existence, but always functioned within the framework of the Association of Archival Societies of Yugoslavia (SADRJ), which also operated under different names during its existence.

place during the four-year dramatic war events (1992-1995), in the territory of the state of Bosnia and Herzegovina there are 14 public archives, separate archival institutions, with the possibility of the existence of as many (that is, more or less) professional archival associations,³ closed within the framework of their administrative units. Some level of institutional (the parent function of the Archives of BiH) and professional (through the Union of Archival Societies of BiH) coordination and correlation of work is provided for by archival regulations at the state level, as well as at lower levels⁴, but their application is insufficient.

ARCHIVE LEGISLATION

The events of the war had an impact on the way, forms and contents of the functioning of the archival activities of BiH. Among other things, in the areas under the control of the Army of the Republic of Bosnia and Herzegovina (ARBiH), archival activity was carried out according to pre-war archival regulations, and in the area under the control of the Croatian Defense Council (HVO) the Archive of Herceg Bosna was formed - relying on the institutions of the Republic of Croatia, while in the area under some organizational changes implemented under the control of the Army of the Serbian Republic of BiH (VSRBiH). The Washington Agreement of March 1994 led to the formation of the Federation of BiH (areas under the control of the ARBiH and HVO) with an administrative territorial structure of ten cantons/counties. Then the decision was made to establish the Archives of the Federation of BiH, with headquarters in Sarajevo. At the same time, the Archive of Bosnia and Herzegovina also operated as a state archive, but with significantly reduced professional and other capacities. Pre-war regional archives (Sarajevo, Mostar, Travnik, Bihać and Tuzla) operated in the territory of the Federation of Bosnia and Herzegovina, in accordance with the existing archival regulations, while in the area under

3 So far, 12 archives have been established on the basis of 12 archival laws, while two cantonal/county archives (in the Posavina and Livno cantons) have not yet been established. Five archival associations were also formed.

4 *Law on Archives and Archives of Bosnia and Herzegovina* (Zakon o arhivskoj građi i Arhivu Bosne i Hercegovine. (2001)). The main function of the Archives has been significantly reduced and is contained in Article 35 of the Law. The question of the existence of a professional archival association at the state level is regulated by Articles 43 and 44 of the Law. The professional public does not know to what extent the main function of the Archives is carried out, because there is no information about it on the electronic addresses of the Archives or in the archival periodicals. However, it is known that the Association of Associations of Archive Workers of BiH was not formed in accordance with the *Law*, but the Archivist Association of BiH was formed (2004), which according to the Law cannot be the legal successor of the pre-war, wartime and post-war Association of Archive Workers of BiH. A more detailed explanation of all this would require much more space, in short: it is a politically and interest-motivated obstruction, which goes beyond the scope of this contribution.

the control of the VSRBiH, already in 1992, from the Archives of Bosnian Krajina Banja Luka, the Regional Archives Doboj and the Historical Archives in Foča, the Archives of the Republic of Srpska were formed as a “republican administrative organization within the Ministry of Education and Culture”, which relied on the archive service of Serbia in its work.

Analogous to the administrative changes in the administrative structure of Bosnia and Herzegovina, determined by the Framework Agreement for Peace in 1995 - better known as the “Dayton Agreement” (Dejtonski sporazum. s.d.), there were also changes in archival activity, both in terms of organizational structure, as well as in terms of the territorial and substantive competences of the archive. These changes, as a rule, should have started with changes in the archival legislation, i.e. by adopting new archival laws for each administrative unit/level separately. In the RS, these activities were continued with the adoption of the *Law on Archival Activities* (Zakon o arhivskoj delatnosti, 2009), in such a way that the activities were centralized by the Archive of the RS becoming the only archival institution in the territory of the entity of the RS, while the archives in Doboj and Foča became its archival departments. Later, departments were formed in Zvornik, Trebinje and Pale, but the archive service, like the entire government in the RS, remained absolutely centralized.

Significantly different was the course of changes in the adoption of new archival laws, establishment of new and management of existing archives, at the level of the state, entity of the Federation of BiH, ten cantons and Brčko District of BiH. The most confusion was caused by the decision of the founder of the Archives of the Federation of BiH (Government of the Federation of Bosnia and Herzegovina) to start its work in 1997 in the premises of the Archives of BiH. All archival and library funds, space, equipment and technology, as well as the employees of the Archives of Bosnia and Herzegovina, “belonged” to the Archives of Bosnia and Herzegovina, and the Archives of Bosnia and Herzegovina were reduced to one office, with an acting director and a technical secretary. For a definitive transformation, according to the ruling structures, it was necessary to make that situation official by passing the Law on Archival Material and Archives of the Federation of Bosnia and Herzegovina, as the legal successor of the Archives of Bosnia and Herzegovina, which was supposed to disappear. This was intensively worked on

in the Archives of FBiH and the professional service of the Parliamentary Assembly of FBiH. The proposal of the Law was agreed and sent to the parliamentary procedure. However, such a transformation was met with resistance in the Presidency of the Association of Archive Workers of BiH, and an acting director and a number of employees of the Archive.⁵ This activity resulted in the reversal of the adoption of the law at the level of the Federation of Bosnia and Herzegovina, and the *Law on Archival Materials and the Archives of Bosnia and Herzegovina*, which was adopted in 2001 (*Zakon o arhivskoj građi i Arhivu Bosne i Hercegovine*, 2001), was agreed and referred to the parliamentary procedure, which meant the survival of the Archives as a state institution,⁶ and had an impact on further archival legislation, especially on that of the Federation of Bosnia and Herzegovina.⁷ The *Law on Archives and Archives of the Federation of Bosnia and Herzegovina* was adopted in 2002 (*Zakon o arhivskoj građi i Arhivu F BiH*, 2002), but with a significantly different significance and jurisdiction compared to the earlier proposal, focused on the registry and documentary materials of the bodies of the Federation of Bosnia and Herzegovina (legislative, judicial and executive power). Archive laws in cantonal archives (in eight out of ten cantons) were adopted in the period from 1999 to 2006, and for the Brčko District of BiH in 2004. (Šehović & Čekić, 2007, 337–636, 707–718.)

5 There were more initiatives for the survival of pre-war institutions of science, culture and art at the state level. They came from officials of the international community, but also from representatives of institutions and the public of Bosnia and Herzegovina. Among them is the so-called The White Book “Institutions and organizations of BiH necessary for the functioning of joint bodies of BiH and its international representation” from 1998, in which the Archive of BiH was included among the 24 state institutions. Significant support for the survival of the Archives of BiH also came from the Parliamentary Assembly of BiH (*Arhiv Bosne i Hercegovine*, 2007, 84–87).

6 The Archive of Bosnia and Herzegovina is the only pre-war republican institution that continued (renewed) its work in that status after the independence of Bosnia and Herzegovina. The National Museum, the National and University Library of Bosnia and Herzegovina, the Academy of Sciences and Arts of Bosnia and Herzegovina and others have not been able to do this either, which have not yet resolved their status position. We point out these facts for the sake of truth, because they are important for the continuation of the activity, devoid of obstacles of an administrative-status nature. However, it is also a fact that all this is not optimized in the direction of improving this activity, although many effects are very evident and measurable.

7 The Presidency of the DAR BiH animated the opposition representatives in the Parliamentary Assembly of the Federation of Bosnia and Herzegovina to prevent the closure of the Archives of Bosnia and Herzegovina, in such a way that it is transformed into the Archives of the Federation of Bosnia and Herzegovina. This could be achieved by preventing the adoption of the Law on Archival Material and Archives of FBiH, which was in the parliamentary procedure. The President of DAR BiH was invited to the Assembly to provide an expert explanation of the harmfulness of the planned transformation. Other activities were also undertaken, including the holding of a seminar in London on the renewal of the archive service of BiH in May 1999, organized by the International Archives Council (MAV) and the Public Record Office (hosted by the Bosnian Institute from London), at which an agreement was reached on the survival of the Archives of BiH, which, in cooperation with the DAR BiH, undertook to work on the restoration of the BiH archival service. Since then, the direction of searching for solutions to survive and function of the Archive of BiH has been turned, in which the participants of the Seminar contributed (in addition to BiH archivists and the director of the Archives of Croatia, and several representatives of the non-governmental sector), but also some pro-Bosnian personnel in leading positions in the executive power of BiH (Kovačević, 2000, 183–186).

From the aspect of jurisdiction, all archival laws establish an archival network consisting of public, special and private archives, except for the FBiH Law, which was established only for the public archival material of the bodies of the FBiH, and does not have any parent function over the cantonal archives. The only exception is the *Amendments to the Law on Archival Activity of the TK* (Izmjene i dopune Zakona o arhivskoj djelatnosti TK, 2021), which deleted (in Article 36) the provisions on the possibility of private archives, which is nonsense in the archival activity of BiH and surrounding countries and beyond.⁸

All archival laws predominantly deal with issues of public archival materials, which is understandable from the aspect of importance, needs and archival tradition. The provisions on special archives are of a more principled nature, while the provisions on private archival material and private archives are significantly improved compared to the socialist legislation, which is the need of the new socio-economic system of plural democracy. There are no private archives in the sense of archival regulations, but many jobs of this type are performed by some foreign and domestic legal entities, which is still not recognized as anachronistic in archival activity and society as a whole.⁹

One of the peculiarities of archival regulations is a certain conservatism, which is reflected in their existence for a long period of time (in most archives) without certain adjustments (amendments) in accordance with social and technological changes. This is how outdated archival terminology survived, without the possibility of being successively changed. The most obvious example of this is the state archives law, which has not been changed since its adoption in 2001. Its adoption was a major contribution

8 The deletion of private archives from the archival network of the Tuzla Canton was initiated by the management of the TK Archives, at a time when the competent Ministry in the Government of the TK, since 2016, had a request from the duly registered Private Institution "Archive for Registry, Archival and Documentary Materials in Private Ownership", and for permission to start work, through registration in the Archive Register, which did not even exist and in which the TK Archive was not registered either. By erasing private archives from the Act, a classic political showdown was carried out with the founder of the private archive, the author of this contribution, a political dissident, all to the detriment of the interests of archival activity and at the expense of personal benefit. This was a kind of attack on the professional and ethical code of conduct of archivists, on which, for the sake of remark, the very management of the Archive has been exalted for years. It is to be hoped that this example will not be followed by truly knowledgeable and professional archivists.

9 According to the personal knowledge of the author of this contribution, these are legal entities that deal with the digitization of archival materials, the procurement of archival equipment, the placement and handling of registry materials in private ownership. They also create Lists of categories of registry materials, select archival materials and extract worthless registry materials and destroy them, etc. and certain consents and solutions are obtained from competent public archives. In essence, they do almost everything that private archives are supposed to do according to the regulations. However, for some, certainly not professional, reasons, questions of legality, regularity and lawfulness of such practices are not raised within the archival activity.

to the archival activity of BiH, but the dynamics of overall changes made some of its provisions anachronistic and brought the need to incorporate some new content. However, no archival initiatives are known about it. The situation is similar with the law of the Federation of Bosnia and Herzegovina, but this has no significant impact on other archival regulations, given the nature of the matter it regulates. However, in the territory of the RS and some cantons, there were occasionally certain adjustments, mainly in the better positioning of the archival activity. The exception is, of course, the amendments to the Act on archival activities of the TK (*Izmjene i dopune Zakona o arhivskoj djelatnosti TK*, 2021) regarding the deletion of private archives from the archival network in this area. However, some positive changes regarding the conditions for the selection of directors and professional archival staff were also incorporated in those amendments, because the earlier provisions were too personalized, contrary to the provisions of the Labor Law and other general regulations in this area. All archival laws determine the main function of the archives to which they refer. For the decentralized archival activity of BiH, the competences of the Archives of BiH in the sphere of core archival activities, indicated in the Law on Archives and Archives of BiH (Article 35), are important, although they are not defined as such. The Archive has retained some responsibilities within the archival activity, as well as in terms of representation and representation of the archival activity abroad. In Art. 35 of the Law clearly states:

- keeps records of archival materials in foreign archives that are important for Bosnia and Herzegovina;
- gives an opinion to the Council of Ministers of Bosnia and Herzegovina on issues of the archival service in BiH;
- represents the interests of the archival service of Bosnia and Herzegovina in international professional associations and international relations;
- cooperates in all professional affairs with entity, cantonal/county and other archives, especially on the plan of education and modernization of the archival service of Bosnia and Herzegovina;
- manages jointly established projects and, together with entity, cantonal/county archives, implements works on the restoration and modernization of the archival service of Bosnia and Herzegovina;
- performs other professional tasks established by law”.

In comparison with the main responsibilities of the Archives of BiH from the Law on Archival Activity (1987), Article 39 and others, the responsibilities over the archives have been significantly reduced, including: supervision of the work of the archives, keeping records on the archives, preparation of methodical instructions and norms for the professional affairs of the archive, microfilming of archival material of importance for BiH for its protection in case of war or immediate threat of war, protection of films and film material, etc. However, the Archives of BiH received significant new responsibilities for the implementation of the Agreement on the succession of archival materials of the former SFRY on the external level, and on the internal level through engagement in the Archives Council of BiH, as an advisory body for the affairs of the archival activities of BiH.¹⁰

All entity and cantonal archival laws contain provisions that refer to the archival competences for the area of their activity, but they are specifically indicated only in the archival law of the RS and Sarajevo Canton. In Article 40 of the Law on Archival Activities of the RS, the pre-war provisions on the main activities of the Archives of BiH were consistently adopted and applied to the territory of the RS. This Law is in disagreement with the state law in at least two areas: that it takes over the protection and care of films that were previously under the jurisdiction of the Cinematheque of BiH, and that it takes over the responsibilities in terms of international (as interstate) cooperation. Similar provisions on international cooperation are contained in the Law on Archives and Archives of the Federation of Bosnia and Herzegovina (Article 32), and the Law on Archives Activities of Canton Sarajevo (*Zakon o arhivskoj djelatnosti Kantona Sarajevo*, 2000), which is the only cantonal law in Article 36 that implicitly lists the main responsibilities of this cantonal archive. It seems that the issue here is a different understanding of the term “international cooperation”. It seems that in the case of the Archives of the RS, this term includes interstate cooperation, while other laws, judging by the context, are about international archival cooperation at the same

10 The composition and powers of the Archives Council of BiH are given in the special fifth chapter of the Law on Archives and Archives of BiH (*Zakon o arhivskoj građi i Arhivu Bosne i Hercegovine*, 2001), in articles 40-42. The council has nine members, six of whom come from archival activities (director and deputy directors of the Archives of BiH, directors of entity archives and president of the Association of Archival Societies of BiH), and three members from the Council of Ministers of BiH and relevant entity ministries. The President of the Council is the director of the Archives of Bosnia and Herzegovina. Since the Association of Archival Societies of BiH was not formed in accordance with the Law (Articles 43 and 44), the president of the Archival Association of BiH was ‘installed’ as a member of the Council, falsely presenting himself as a legal representative of archival activities in accordance with the Law. This is another not only legally unfounded behavior, but also a kind of negation of the basic principles of archival ethics.

or similar levels, which, if applied consistently, does not mean taking over someone else's authority on the contrary. It should be added here that cooperation in the archival profession and science (inter-archival, international and interstate) is not only necessary but also necessary, but the competences of archival institutions of all levels must be synchronized and legally harmonized.

Obligations of registries (creators and owners) in dealing with registry materials in archival regulations of all levels are fairly uniform, although archival terminology differs somewhat. In all archival laws, the obligation to take over materials older than 30 years (20 years before the war) into the archives was determined, the duties of registries in dealing with their own materials (space, equipment, personnel) were tightened, the procedures for taking over materials into the archives were standardized, introduced the obligation to take a professional archival exam for archivists and the obligation to educate them in the organization of each archive, etc. However, there are numerous differences in the obligations of archives and registries, such as in dealing with electronic records, on digitization issues, etc. which mainly reflects the state of the legal regulations on this, that is, the knowledge of the archives themselves and their founders at the time of the adoption of archival laws and by-laws. Some issues concerning the transformation of registries (privatization, bankruptcy, liquidation, cessation of work/shutdown, deadlines and conditions for handing over materials to the legal successor, founder or competent archive, etc.) are also recognized differently and resolved differently. The issues of protection of registry materials in wartime and other extraordinary circumstances are generally insufficiently regulated, in some laws they are only mentioned, as before the war, in others some basic obligations of archives and registries are noted, but at no level the acts in the form of concrete and binding norms of behavior have had the appropriate by-laws (executive) adopted. It is obvious that neither the archival service nor society as a whole have learned the lessons from the war sufferings of archival material, that is, from the sufferings in fires and floods that constantly occur periodically.¹¹

11 The intention here is not to elaborate all the peculiarities of archival regulations, but only to point out the level of continuity with pre-war regulations, and some similarities and differences in the current asymmetrically organized archival legislation. When it comes to archival material for which special protection is provided, there are similarities and differences: the similarity is that in all laws the material under special protection was created before May 15, 1945, while the wartime production of archival material was created after 1992 until 1995, it was given special importance only in four archival laws (Federation of Bosnia and Herzegovina, Sarajevo, Tuzla and Una-Sana cantons). See more: Kožar, 2008.

As for the material that enjoyed special protection before (the material created before May 15, 1945 and the material of the internal affairs authorities), nothing has changed. Important differences exist in the approach to the special protection of archival material created during the war (1992–1995), which is specially protected in some laws and not even mentioned as such in others. (Kožar, 2014, 157–168). Nominally, the attitude towards the material of special archives and the possibilities of their existence has not changed in the regulations. Significantly, nominally, the attitude towards private archival material has been improved, in terms of the obligations of owners and creators, which is almost equal in importance to public archival material, and the possibility of establishing private archives except in the indicated example of the *Amendments to the Law on Archival Activities of the Tuzla Canton* (Izmjene i dopune Zakona o arhivskoj djelatnosti TK, 2021).

ARCHIVES AND REGISTRIES IN ARCHIVAL PRACTICE

Pre-war archives, even in wartime circumstances, continued their activities, appropriate to the possibilities of action, all depending on the intensity of war events in their area. Slightly more favorable war conditions prevailed in Banja Luka, Tuzla and Travnik, and much more complicated in Bihać, Sarajevo and Mostar. Nevertheless, destructions of a different nature affected the archival activity of BiH, both archives and registries. (Kožar, 1999, 287–292). This issue is not the subject of this contribution, we mention it only in the context of a better understanding of all the difficulties that arose, and some are still current, in the post-war process of its reconstruction, recovery and development.¹²

The establishment of a new archival network included the restoration of the work of the pre-war archives: the BiH Archive and several regional archives. The pre-war Archive of the Bosnian Krajina in Banja Luka was renamed the Archive of the RS with departments in Doboј and Foča, which before the war were regional archives, and then new archive departments were successively formed in Zvornik, Foča, Trebinje, Pale. With the new regulations, it became a centralized archival institution with the status of an administrative organization, and with the newly

12 Several articles have been published about the work of archives in wartime conditions, the loss of archives and archival material in archival facilities and registries. The largest number of them were published in the wartime issues of *The Gazette of Archives and the Association of Archive Workers of Bosnia and Herzegovina*, No. 32, 33 and 34, Sarajevo, 1993, 1995 and 1997.

formed Association of Archive Workers of the RS with responsibilities for the education of archivists in registries. According to archival regulations, it has been shaped into a single archival entity throughout the RS, without any indication of vertical connection to the archival activity of BiH. Therefore, archival activity is centralized as well as all other areas in the territory of the RS entity.

In the territory of the second entity - the Federation of Bosnia and Herzegovina, archival activity is decentralized. The efforts of the founders of the Archives of Bosnia and Herzegovina, with the decisions of 1994 and then in 1997, to make it work by taking over the responsibilities of the Archives of Bosnia and Herzegovina in the territory of the Federation of Bosnia and Herzegovina, were prevented by the activities of the DAR Bosnia and Herzegovina and with the political support of officials of the international community and individuals from the top of the state government. The Archive of Bosnia and Herzegovina has survived as a state archive, established by the law of 2001, while the Archive of the Federation of Bosnia and Herzegovina was formed in accordance with the law of 2002, with powers for archival materials of the Federation of Bosnia and Herzegovina. This is how the political conflicts on this important issue were resolved. Since the archival activity in the Federation of BiH was given to the jurisdiction of the cantons, the formation of cantonal archives was started. In five cantons, cantonal archives were formed from former regional ones (Sarajevo, Mostar, Travnik, Tuzla and Bihać), in three cantons cantonal archives were established (Goražde, Široki Brijeg and Zenica), and in two cantons (Orašje and Livno) the archives are still not formed. Each cantonal archive performs the registry function in its area of activity. For the area of the Brčko District of Bosnia and Herzegovina, an Archive was formed as part of the administrative body. Some special archives were created within the legal entities in which they operate (armed forces, religious communities, RTV archives, etc.), and private archives were not formed, except for the indicated attempt in Tuzla, so that public archives, at least nominally, also take care of private archival material.

Aggregate and analytical data on the current state of archives and registries in archival activity do not exist. From time to time, some archivists dealt with individual segments and scopes of archival activity in BiH, published in archival periodicals, studies, monographic publications or on web portals, which is good,

but not enough for a comprehensive objective analysis of the situation and relations. This is not a systematic activity of archivists, such archival projects, etc., are not adequately designed on the basis of which projections of the long-term development of archival activities would be made. It is no longer done in isolation, each for himself, there is no synergy even on the most important issues of the profession. The reasons for this are not only of an archival nature, but dominantly political, and many archive managements use them for the purpose of their own positioning in the political party that provided them with that position. Understandably, there is no room here for the illusion of absolute autonomy of archives from political power centers, but the problem is that politicians do not respect professional postulates, which political poltroons greatly contribute to. The most responsible positions are occupied by individuals suitable for politics, who do not meet the criteria of current laws and normative acts, or provisions contrary to general regulations on human rights, etc., are incorporated into laws and by-laws, due to the will of politics.¹³ In short, it can be safely asserted that no new person became the director of the archive without being in accordance with the ruling policy, and the same, unfortunately, applies to newly employed archivists. Where there is a political change in government, the director as the governing body and the Board of Directors as the governing body also change. Even more disastrous is the fact that it is a daily practice in all segments of life, it is a system of party management - partocracy. This way of staffing creates political poltroons from managers and docile services from archive collectives, i.e. clerks from archivists, all of which leads to retrograde processes in the profession and society in general. The archival activity of Bosnia and Herzegovina continuously dealt with the obligations of archives and registries in carrying out a unique archival process (from the spectrum of issues concerning archival material in the making - to the acquisition, protection, arrangement, processing and use in the archive). Some of these issues arose as a consequence, some had to be solved in the context of current events, while a smaller number of those were to meet the coming problems imposed by technological, IT and other changes.

13 There are more examples, and these two are illustrative: a person who has not worked at all in archival and related activities is appointed as the director of the archive, although the law says the opposite, i.e. for the admission of an archivist, it is required that he/she has passed the internship exam in the archive in which he/she is to be employed. So, two extremes, both a reflection of the supremacy of politics over profession.

The legislative framework of the relationship between archives and registries was consistently insufficient, restrictive and conservative. Archives have never had a decisive influence on the dynamics of passing and the structure of the content of archival regulations, especially archival laws, although there are time periods and environments in which this was at least partially successful. Due to the abundance of legal, personnel, material and other weaknesses, the archives have never had a decisive impact on the registry business.¹⁴ This led to numerous consequences, which slowed down the development of activities in accordance with social needs. Among other things, the archives were forced to save the registry materials by taking over unsorted and incomplete, often unrecorded, funds, on which the archivists then spent valuable time doing the tasks of the registry. By the end of the socialist stage of development, about 58% of archival funds and collections in BiH archives were unorganized, and over 90% of funds were incomplete (Jerić & Hadžagić, 1991). Although there is no synthetic research on the current state of the archival fund, which has recently been significantly increased by taking over pre-war funds created more than 30 years ago, and for other reasons caused by transitional changes, it can be assumed that the situation is not significantly different. For a long time to come, archives will deal more with consequences than with constructive solutions and challenges. Among them is the issue of digitization of archival and registry materials and their download in digital form. Because archival regulations are insufficient, archival knowledge is deficient, IT and other equipment is insufficient.¹⁵

One of the forms of education of archivists in registries, which has been applied for a long time, are archival consultations: of local, regional, national and international rank and importance. Worthy of special attention are the annual

14 Archives' supervision of registry operations (advisory or inspection) has consistently been and remains the most important form of cooperation. However, the practice of archives is different. Most often, one or two archivists are assigned to these jobs, which is an annual balance of about 300 to 500 regular and instructive inspections, aimed mainly at government bodies as first-category registries. Even during the transition, when for various reasons there was an increase in the volume of these jobs (intensified need to take over mature archival material, enormously increased number of registries, etc.), there was no change in the attitude towards the registries. It is a fact that electronic communication reduces the need for archivists to stay in registries, but it is undeniable that a huge number of new registries had to be introduced into the surveillance system through direct contacts. At one time, this issue was the most important issue in the joint bodies of the DAR BiH and the Archives of BiH, however, in recent times it is selective and often confined to areas under the control of more developed archives.

15 Issues of digitization of archival and registry materials are an important general social and professional archival issue. Neither society nor the profession in Bosnia and Herzegovina have recognized it to the extent that they can regulate it adequately - from the adoption of appropriate regulations to the implementation of effective professional solutions. In the neighboring Republic of Croatia, among others, intensive work has been done on this for a long time. See more: Brunec & Dmitrius, 2019/2020, 24–33.

archival consultations of archivists and archivists during the socialist stage of development (1954–1991), the works from which were published in *The Gazette of Archives and DAR BiH* (issues 1–31). Even in the conditions of war, consultations were held with registries by some archives, aimed at the protection of registry materials in wartime conditions.¹⁶ During the war, DAR BiH also operated in Sarajevo, and after the war, it intensified its activities throughout the territory of BiH. Four BiH archival consultations were held, where significant attention was paid to the education of archivists in registries. From the fifth post-war BiH archival consultation in Vogošća in 2003, the organization of the consultation was taken over by the Archivist Association of BiH.¹⁷ Annual archival consultations were held mostly (Pelić, 2022, 59–75)¹⁸ and the works published from them in *The Gazette of the Archives and Archival Association*, No. 37/38 to 49/50 (Zulić, 2022, 76–95).¹⁹

The Association of Archive Workers of Bosnia and Herzegovina, which changed its name several times, and the archive magazine *The Gazette*, which was also published under different names, undoubtedly made a significant contribution to

16 One such consultation entitled “Consultation on the Importance and Protection of Archival Materials in the Possession of Owners in Wartime Circumstances” was held in Tuzla on December 20, 1994, where participants were given “Instructions on the Protection of Archival Materials” along with other materials (announcements, regulations) and registry material in wartime circumstances” and “Order of the President of the Tuzla Municipal assembly on the protection of archival material and registry material”. In addition, the Tuzla Archive was a co-organizer of the Round Table “War and Culture” in Tuzla in 1994, which is important for all cultural activities in wartime conditions. Materials from both of these gatherings are in the Archives of Tuzla Canton.

17 At the DAR BiH Assembly, an attempt was made to transform it into the Association of Archival Societies of BiH in accordance with the Law on Archival Materials and Archives of BiH (Articles 43 and 44). However, entity archival associations (F BiH and RS) did not accept this, but formed the Archival Association of BiH, denying this right to other associations. Most of the members of the Association of Archival Employees of TK then left the Assembly. However, that illegally formed association could not be registered as a legal successor of DAR BiH, and therefore, in 2004, a new Founding Assembly of AU BiH was held in Vlačić, which was registered in 2005. The text of that decision and the text of the Statute as a founding act are not known to the archival public, they are hidden, so it cannot be judged whether the decisions of the Law have been complied with. Judging by the provisions of the refined text of the AU BiH Statute, adopted in 2009 (which was published on the website of the AU BiH), this Society is not the legal successor of the DAR BiH, although it is represented as such by some of its officials, and its president is a member of the Archives Council of BiH, in front of the archives services – which is nonsense of its own kind. Politics is directly involved here, the political parties of those who violated the Law are in ruling positions in the entities and in the state. This is clear evidence that any discussion about the autonomy and professionalism of the archive and archive service is completely unnecessary.

18 From this attachment, it is evident that the BiH archival consultations organized by the AU of BiH are mainly intended for the education of archivists in archives, and significantly less for archivists in registries. However, what is significant about these consultations is the fact that archivists from the ex-Yugoslav republics also participated in them, who occasionally opened up some topics untouched by BiH archival science. However, as far as is evident from further archival flows, those questions were more according to the system “accepted for knowledge” than they served as an initiator of the improvement of activities.

19 In the paper, the author states the importance and cites the results published in 50 issues of *The Gazette*. There are a total of 514 works, of which the predominant works are those of archivists from BiH (448), 27 from Croatia, 31 from Serbia, 18 from Slovenia, 4 from Montenegro, and one each from Hungary and the USA. According to areas/topics, 37 papers were published on archival legislation, 41 on the protection of archival materials in the making, 15 on information systems in archives, 11 on retrieval of archival materials, 9 on international legal acts and standards, 5 on religious communities, etc.

the improvement of the archival activity of Bosnia and Herzegovina, including in terms of improving cooperation between archives and registries. Both authors, about the Society and about *The Gazette*, in their contributions, gave too much importance to the issues on which they or their mentors made a modest contribution, and marginalized those thematic areas and authors that have a significantly greater importance in the development of the activity, in such a way that they either kept them silent or otherwise marginalized. Marginal indications are given about the issues concerning the work of archives and associations during the war and immediately during the restoration of the archival service. The significance of the restoration of the Archives of Bosnia and Herzegovina, an issue that is important for every segment of archival activity, is hardly discussed. There is no indication of any other projects, such as the “Archival Practice” project (Kožar, A. (2014), 175-184) which was the most significant project ever launched at the level of archival activity in BiH for the education of archivists (Šabotić, I. Zulić, O. (2017),²⁰ nor anything about the seminars on office business organized by the Archives of the RS,²¹ nor about consultations with registries in other cantonal archives. Obviously, personal vanity is above all professional standards, so the views of political dissenters are ignored and those of others are favored. In this way, we will be in a position to have party (partocratic) archival observations, as, unfortunately, we still have in BiH historiography. The professional and scientific archivist public must vigorously oppose such aspiration.

As for the current issues that archives and registries should deal with, it is indicative of a kind of inertness, or impotence, for archivists to apply the practices of more developed archival environments, primarily from Croatia and Slovenia. We will mention only two such questions here. First, the Croatian archivist Vlatka Lemić published a paper on University Archives (Lemić, 2019/2020, 7–23), stating the practice and recommendation that University Archives act as a special

20 Authors on p. 6 of this publication states that during 20 years of publication (21 issues), 658 professional articles, 122 reviews and 117 reports on a total of 8,767 pages of text were published in the Journal, that in addition to archivists from Bosnia and Herzegovina, around 400 archivists from 17 countries of the world, and that he “made a significant contribution to the exchange of knowledge, and to the education and professional training of archival staff in registries and archives”, etc. However, instead of this project continuing with its implementation, because over 200 archivists from registries were educated on it annually, it was shut down ‘thanks’ to the author of this publication and the manager of the TK Archives.

21 So far, the Archive of the RS has held 19 seminars on office and archival operations for registry workers, and the archivists of this archive have published several publications about it. Worthy of attention are the works published in 15 issues of the magazine *The Gazette of the Archive Association of the Republic of Srpska* published by the archival association of the same name.

institution within the University. It is a practice that is not new and unknown, but for BiH archivists, at least some, it is unacceptable. This is confirmed by the procedure of the TK Archives, which recently took over the archive material of the University of Tuzla, so that it placed it in an inappropriate location out of conditional accommodation. It is obvious that this is not rational and archivally justified behavior, but personal, unprofessional, reasons prevailed in this case (Kožar, 2021, 201–330). Another example relates to issues of digitization of both archival and registry materials. About this, archivists from outside BiH, including Maja Brunec and Željka Dmitrius (Brunec & Dmitrius, 2019/2020, 34–45) conveyed their experiences and views to the archivists of Bosnia and Herzegovina in a contribution that was published a few years ago. The paper pointed out the importance of digitization, digital business, downloading and placement in a digital depot in the archive. The experience and dilemmas of Croatian archivists are sublimated in this work. However, the reaction of BiH archivists and the reflection on the situation in the registries is not known. This issue is not unknown to BiH archivists either, some archives deal with the digitization of archival material, but there is no necessary legislation and no appropriate practice in most archives and especially registries. Obviously, here the fear of changes is stronger than the desire for changes that lead to the improvement of archival activities - especially the relationship between archives and registries.

And some other issues specific to BiH did not attract the necessary attention of the archive service. One of them is the archivist's position on the archival materials of the *International Criminal Court for serious violations of international humanitarian law in the territory of the former Yugoslavia* with its headquarters in The Hague.²² Since that court ceases to operate in its regular status, and the work of the Residual Mechanism with its seat in Sarajevo continues, the question of its archival materials arose. Understandably, the founder of the Court, as the owner of the fund, which is the United Nations, will decide on this, but considering the importance of that material, it is important that the Archive Service of BiH has its own opinion on it, since most of the material relates to BiH. Instead of a unified position, some individual and opposing positions were expressed in public: to settle in Bosnia and Herzegovina, or the

22 This court was formed by UN Security Council Resolution no. 827 of May 25, 1993, UN Security Council Resolutions on Bosnia and Herzegovina, (1995), Sarajevo, 8-10.

opposite, outside of Bosnia and Herzegovina, etc.²³ In this case too, the archivists just followed the views of their political mentors, without proper professional and scientific discussion. The essence of such a relationship is the fear of resenting certain (own) policies if professional arguments point to different points of view, which is without a doubt the open dominance of politics(s) over the profession.

In archival discussions, the issue of implementing *Annex "D" of the Agreement on Succession ex-Yugoslavia* (area of archives) is insufficiently present. Basic information about this was published in the first wartime issue of the Gazette of the Archives and DAR BiH in 1993 (Kovačević, 1993, 35–43). That process took place by order of the Council of Ministers of BiH in the implementation of the Archives of BiH. Lists of claims for archival materials of the joint bodies of the ex-Yugoslavia, which were mainly located in the Archives of Yugoslavia, as well as in the Institute of Military History and the Yugoslav Cinematheque, were drawn up. Other successor countries - former federal units of ex-Yugoslavia - also expressed their claims. The archive service of Bosnia and Herzegovina was informed about the course and dynamics of those works for the first time only in 2012 at the Conference in Bihać, through information submitted by the management of the Archives of Bosnia and Herzegovina (Zahirović & Vržina, 2012, 13–21).²⁴ Even though the Information highlighted a lot of problems, challenges, methods of implementation, some results, etc. and on the basis of those findings and experiences presented by archivists from Croatia, Slovenia and Montenegro, concrete conclusions were made for further work, that's all - at least judging by what was published. Bosnia and Herzegovina archivists did not deal with this issue at conferences, congresses or other gatherings, it became a kind of taboo topic. Although the research and downloading of that material is very important for scientific and cultural research, not only for archival research, it is not discussed. Why this is so, the answer is certainly in the open demonstration of the dominance of politics (a) over the profession, science and culture.

There are also numerous other contents from the cooperation of archives and registries, especially on issues of public registry materials. However, significantly less

23 See Kožar, 201, 83–98, expressed his own expert opinion on this.

24 At that time, archivists from Slovenia, Croatia and Montenegro also shared their experiences, which obtained numerous positive results, but also opened up numerous dilemmas, which left the impression of their much more intensive and effective work on these tasks than that in Bosnia and Herzegovina. See more: Matić, 2012.

attention is paid to special archives, and especially to private archival materials, because resistance to the formation of private archives is evident, without such positions being accompanied by more intensive dealing with privately owned registry materials. On this issue, there is an evident discrepancy between the principles proclaimed in archival and other regulations and their concrete realization.

CONCLUSION

Archives and registries are two basic levers of archival activity in every country. Each of them has its own obligations established in the regulations, which are causally interwoven with each other. Any inadequacy in that unique job leads to disturbances of a different kind. There are numerous anomalies in archival theory and practice, and they cannot be fully predicted and prevented. They can, however, be reduced if there is an adequate perception of the importance and role of archival activity in the legal and social system of the country. There are no ideal systems in this regard, but different perceptions are evident, significantly more deficient in the underdeveloped than in the developed part of the world.

The archival activity of Bosnia and Herzegovina, as a country in transition that survived a four-year war cataclysm, is accompanied by numerous difficulties. He solves some of them with more and others with less success. In the asymmetrically organized and decentralized archival service, precisely thanks to the enthusiasm of archivists, the most significant instruments were established (necessary legislation, a network of public archives, archival associations, archival consultations of all levels, archival journals, etc.), but from the aspect of quality and improvement of all these and numerous other contents, it is necessary to make significant improvements, although the situation differs in certain archival areas. Legislation is, for the most part, conservative and insufficient, it is not improved at some levels, and for more than two decades, archival regulations have not been harmonized. Adequate importance is not attached to registry operations of registries (including education of archivists), digitalization, etc., especially those from the domain of special archives and private archives. In this, theory and practice are in a significant gap. There is a lack of synergistic action even on issues that have been determined as a priority within the activity. The new scopes offered by foreign archivists are slowly incorporated,

there is no knowledge that generates their own solutions in accordance with the archival practice of the developed world.

It is obvious that such a state of archival activity, which is broken through the relationship between archives and registries, is a consequence of overall relationships in the state and society, in the system in general. Numerous social and systemic anomalies are very much reflected in archival activity. Among them, we single out the dominance of politics over the profession. Politics has crept into every pore of this activity: it appoints directors, archivists, even couriers and hygienists. Deletes regularly registered private archive institutions. Such “appointees” are not motivated to change the situation, to improve activities in legislation and practice, they mostly become obedient officials and the archives serve the ruling structures. However, it is encouraging that there is still a critical number of enthusiasts in this industry who are making efforts to preserve the dignity of archivists, archives and the archival industry as a whole - especially in some archives. Numerous archival activities and efforts confirm this unequivocally.

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Summary

This paper investigates the relationship between archives and registries in Bosnia and Herzegovina, focusing on how the country's unique political and administrative model impacts archival practices. It examines various factors, including financing, management, legislation, staffing, and penal policies. The findings reveal that the complex and asymmetrical administrative structure, influenced by political affiliations, significantly affects the functioning of archival services. This situation poses challenges for the uniform development of archival practices and professional-scientific progress across different regions of the country, with political affiliation being a crucial determinant in all aspects of archival activity.

Typology: 1.04 Professional Article

Maryna Paliienko¹

PROACTIVE DOCUMENTATION AS A FORM OF INTERACTION BETWEEN ARCHIVES AND SOCIETY: UKRAINIAN EXPERIENCE

Abstract

Purpose: *In the article the author illuminates the interaction between Ukrainian archivists and society, in particular with public organizations, in formation of modern archival collections that depict crucial moments in the life of country and people. The focus of this research is to analyze the Ukrainian archivists' proactive documentation initiatives related to the events of the Russia's war against Ukraine. It analyzes the archivists' approaches to creating documentary collections, as well as their achievements in interacting with individuals, public organizations and private initiatives.*

Methods/Approach: *The methods of critical analysis and synthesis are implemented to examine the structure and functionality of archival practices within the broader context of proactive documentation. The historical-genetic method is used to trace the development of archival practices over time, examining how historical conditions and events have shaped current approaches to proactive documentation in Ukraine. The comparative method facilitates a comparison between Ukrainian approaches and global trends in archival practices connected with acquisitions and collections development. The method of generalization makes it possible to identify the broader context and impact of proactive documentation on the formation of war memory, to develop practical recommendations for archival institutions, and to promote a comprehensive understanding of the problem that can be applied to various archival and public initiatives.*

Results: *The author provides the outlook on archives and their intellectual place in the formation of records and knowledge, in particular, their role in the preservation of cultural heritage and formation the memory of the war in Ukraine.*

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Conclusions/Findings: *To date, specific approaches and recommendations have been developed for selecting, organizing storage, systematizing and describing documents created as a result of proactive documentation. However, further in-depth study is needed on collaboration between archives and other organizations and initiatives involved in documenting wartime events to ensure the long-term preservation of collected materials. Archivists should play a key role in establishing standardized approaches for documenting and describing records across various institutions. To foster unified approaches, archivists can organize training sessions and workshops on appraisal, description and document preservation, creating a collaborative learning environment for professionals across institutions to safeguard and uphold the collective memory of the war.*

Keywords: *archives; collective memory; war; Ukraine; archival practices; proactive documentation.*

DOCUMENTAZIONE PROATTIVA COME FORMA DI INTERAZIONE TRA ARCHIVI E SOCIETÀ: L'ESPERIENZA UCRAINA

Abstract

Scopo: *Nell'articolo, l'autore illumina l'interazione tra gli archivisti ucraini e la società, in particolare con le organizzazioni pubbliche, nella formazione di collezioni archivistiche moderne che raffigurano momenti cruciali della vita del paese e della sua popolazione. L'obiettivo di questa ricerca è analizzare le iniziative di documentazione proattiva degli archivisti ucraini relative agli eventi della guerra della Russia contro l'Ucraina. Viene analizzato l'approccio degli archivisti alla creazione di collezioni documentarie, così come i loro successi nell'interazione con individui, organizzazioni pubbliche e iniziative private.*

Metodi/Approccio: *Sono stati utilizzati metodi di analisi critica e sintesi per esaminare la struttura e la funzionalità delle pratiche archivistiche nel contesto più ampio della documentazione proattiva. Il metodo storico-genetico è impiegato per tracciare lo sviluppo delle pratiche archivistiche nel tempo, esaminando come le condizioni storiche e gli eventi abbiano plasmato gli approcci attuali alla documentazione proattiva in Ucraina. Il metodo comparativo facilita un confronto tra*

gli approcci ucraini e le tendenze globali nelle pratiche archivistiche relative agli acquisizioni e allo sviluppo delle collezioni. Il metodo di generalizzazione permette di identificare il contesto più ampio e l'impatto della documentazione proattiva sulla formazione della memoria di guerra, di sviluppare raccomandazioni pratiche per le istituzioni archivistiche e di promuovere una comprensione completa del problema applicabile a varie iniziative archivistiche e pubbliche.

Risultati: *L'autore offre una prospettiva sugli archivi e sulla loro importanza intellettuale nella formazione di documenti e conoscenza, in particolare il loro ruolo nella preservazione del patrimonio culturale e nella formazione della memoria della guerra in Ucraina.*

Conclusioni/Scoperte: *Finora sono stati sviluppati approcci e raccomandazioni specifiche per la selezione, organizzazione, sistematizzazione e descrizione dei documenti creati a seguito della documentazione proattiva. Tuttavia, è necessario uno studio più approfondito sulla collaborazione tra archivi e altre organizzazioni e iniziative coinvolte nella documentazione degli eventi bellici per garantire la conservazione a lungo termine dei materiali raccolti. Gli archivisti dovrebbero svolgere un ruolo chiave nell'istituzione di approcci standardizzati per documentare e descrivere i documenti attraverso diverse istituzioni. Per favorire approcci unificati, gli archivisti possono organizzare sessioni di formazione e workshop su valutazione, descrizione e conservazione dei documenti, creando un ambiente di apprendimento collaborativo per i professionisti di diverse istituzioni al fine di salvaguardare e mantenere viva la memoria collettiva della guerra.*

Parole chiave: *archivi; memoria collettiva; guerra; Ucraina; pratiche archivistiche; documentazione proattiva.*

PROAKTIVNO DOKUMENTIRANJE KOT OBLIKA INTERAKCIJE MED ARHIVI IN DRUŽBO: UKRAJINSKA IZKUSNJA

Izвлеček

Namen: *V članku avtorica osvetljuje interakcijo med ukrajinskimi arhivisti in družbo, zlasti javnimi organizacijami, pri oblikovanju sodobnih arhivskih zbirk, ki prikazujejo ključne trenutke v življenju države in ljudi. Poudarek te raziskave*

je analizirati proaktivne dokumentacijske pobude ukrajinskih arhivistov, povezane z dogodki med vojno Rusije proti Ukrajini. Analizira pristope arhivistov pri oblikovanju dokumentarnih zbirk ter njihove dosežke pri interakciji s posamezniki, javnimi organizacijami in zasebnimi pobudami.

Metode/pristop: *Metode kritične analize in sinteze so uporabljene za preučevanje strukture in funkcionalnosti arhivskih praks v širšem kontekstu proaktivnega dokumentiranja. Zgodovinsko-genetska metoda se uporablja za sledenje razvoja arhivskih praks skozi čas, preučevanje, kako so zgodovinske razmere in dogodki oblikovali trenutne pristope k proaktivnemu dokumentiranju v Ukrajini. Primerjalna metoda omogoča primerjavo med ukrajinskimi pristopi in svetovnimi trendi v arhivskih praksah, povezanih z razvojem prevzemov in zbirk. Metoda posploševanja omogoča prepoznavanje širšega konteksta in vpliva proaktivnega dokumentiranja na oblikovanje spomina na vojno, razvoj praktičnih priporočil za arhive ter spodbujanje celovitega razumevanja problematike, ki ga je mogoče aplicirati na različne arhivske in javne pobude.*

Rezultati: *Avtorica predstavlja pogled na arhive in njihov intelektualni pomen pri oblikovanju dokumentov in znanja, predvsem njihovo vlogo pri ohranjanju kulturne dediščine in oblikovanju spomina na vojno v Ukrajini.*

Zaključki/Ugotovitve: *Do danes so bili razviti specifični pristopi in priporočila za izbor, organizacijo shranjevanja, sistematizacijo in opisovanje dokumentov, ki so nastali kot rezultat proaktivne dokumentacije. Vendar pa je potrebna nadaljnja poglobljena študija sodelovanja med arhivi in drugimi organizacijami ter pobudami, ki se ukvarjajo z dokumentiranjem vojnih dogodkov, da bi zagotovili dolgoročno ohranitev zbranih materialov. Arhivisti naj bi imeli ključno vlogo pri vzpostavljanju standardiziranih pristopov za dokumentiranje in opisovanje gradiva v različnih ustanovah. Za spodbujanje enotnih pristopov lahko arhivisti organizirajo usposabljanja in delavnice o vrednotenju, opisovanju in ohranjanju dokumentov ter tako ustvarijo sodelovalno okolje za učenje med strokovnjaki različnih ustanov z namenom varovanja in ohranjanja kolektivnega spomina na vojno.*

Ključne besede: *arhivi, kolektivni spomin, vojna, Ukrajina, arhivske prakse, proaktivna dokumentacija.*

1. INTRODUCTION

The development of the information society has significantly influenced changes in archival and documentary practices, which we have all actively observed over the past few decades. Renowned French historian and researcher of historical memory, Pierre Nora, referred to archives as “sites of memory”, one of the essential “imperatives” of the modern era helping to shape the relationship between contemporary generations and the past. According to Nora, we are experiencing an “upsurge in memory”, with archives, museums, libraries, collections, digitalized inventories, databanks playing a significant role in this process (Nora, 1989, 9; Nora, 2002, 5)

Rethinking the role of archivists in society, along with reshaping the image and perception of archives, their information and educational policy, has been actively pursued by archival theorists over the past few decades. In particular, Terry Cook and Joan M. Schwartz, while analyzing the relationship between archives, memory, and power, emphasized that “*memory is not something found or collected in archives, but something that is made, and continually re-made*”, identifying archivists as active participants in “*the drama of memory-making*” (Cook & Schwartz, 2002, 172). In turn, Ukrainian archivists also examined the functioning of archives as institutions of memory (Matiash, 2013), their new images and role in preserving collective memory and national identity (Paliienko, 2016; Paliienko, 2022), as well as the evolution of the profession and the principles of their activity in the information society (Kalakura, 2023). Archives build a framework that gives the society ability to remember the past as well as preserve and reflect the picture of the present for future generations. Consequently, in this context archivists continue playing a very important role as gatekeepers of historical memory.

The importance of archives is particularly acute in the period of war – both full-scale military aggression and hybrid information confrontation. War and archives are a global problem and a great historical challenge. Archives, like the state and society as a whole, must face these challenges.

After Russia’s full-scale invasion of Ukraine, millions of people became victims and witnesses of numerous war crimes. Using the possibilities of modern technologies, they recorded the experienced events of the war, creating photos, videos,

writing their own daily notes or messages on social networks. Simultaneously, during this period, various civil and human rights organizations, journalists, scientific centers for the study of oral history began to actively collect documentary evidence of the war.

This raises the question: how crucial is it for Ukrainian society to document evidence of the Russian war in Ukraine, and what is the significance of archivists' role in acquiring, assessing, and preserving these records? It also highlights the importance of archivists preserving personal archives, personal data, testimonies, and so-called ego documents. In the article, we aim to examine the basis of this work, its historical background, and identify the key features of proactive acquisition and proactive documentation development as well as explore the directions for collaboration with public and scientific organizations and initiatives.

2. PROACTIVE COLLECTIONS DEVELOPMENT DURING WARFARE FROM THE HISTORICAL PERSPECTIVE

We have historical evidence of the proactive role of archivists during military conflicts, especially during the First and Second World Wars. In the article “The Great War, Archives, and Modern Memory”, the Canadian researcher Robert McIntosh emphasized that in the period of the First World War “*the urge to document the war was powerful: contemporaries recognized it as a momentous event*” (McIntosh, 1998, 5). As he pointed out, “*the articulation of what we would now label documentation strategies produced two distinct wartime initiatives which anticipated the present-day debate within the archival literature on the archivist's proper role. The one tactic was to survey the wide range of wartime activity, and make overtures to records creators to take custody postwar of government records and select private sector records once their operational use had ended. The other tactic, far more ambitious, was to author the archival record even more clearly by wide-ranging and pointed advice on records creation and maintenance, by aggressive acquisition, by transcribing interviews with key participants, by requesting reports on activity, and by commissioning photographs, films, and art*” (McIntosh, 1998, 5). In examining these different approaches, McIntosh focused his attention on analysis of the activity of the Canadian War Records Office (CWRO) that was created in 1916 by the initiative of a famous British and Canadian politician, public figure, and publisher Max Aitken (1879–

1964). As the first stage, this Office was functioning primarily as a repository in which records were sorted, arranged, and indexed. But soon, the CWRO itself began to create records to document the war (McIntosh, 1998, 6).

From a Ukrainian historical perspective, the creation of war archival collections dates back to the period of the First World War and its aftermath. In particular, the Ukrainian archivist and museum curator Mykhailo Obidnyi (1889–1938) made a significant impact, not only by preserving military and historical documents during the Ukrainian war of independence (1917–1921), but also by proactively forming collections and developing archival and museum centers for Ukrainian political émigré in Poland and Czechoslovakia during the interwar period (Paliienko, 2005).

Thus, in times of active military confrontation and significant events, practices of different countries established a foundation for the active recording of events and the collection of archival materials of diverse origins, including ego-documents such as correspondence and memoirs of participants in events, photographs, etc. As an American archivist Richard Cox lately pointed out in his study “Archives, War, and Memory: Building a Framework”, archives are often destroyed during war, but at the same time they acquire a new meaning in these conflicts, because war gives impetus to the creation of new documentary forms; in archives you can find many collections that reflect the experience of war, so almost every archive is at least partly a place for preserving the memory of war (Cox, 2012).

3. STRATEGIES AND CONCEPTIONS OF DEVELOPMENT

Proactive documentation strategies highlight a shift in the identity of the archival profession, as archivists increasingly recognize their active role in the creation of archival collections and the shaping of collective memory. These strategies have their roots in the collection development activities of archival institutions, which encompass the acquisition and appraisal of records, as well as the identification and assessment of society’s needs and expectations. The term “*collections development*” has been widely used by archive services of different countries since the 1980s, emphasizing the importance of actively expanding archival collections (Understanding Collections Development, 2018). It should be noted that, particularly in the American archives terminology, the concepts of “documentation

planning”, “documentation strategy” and “collecting policy” are broadly adopted. And if the “documentation planning” is treated as *“a proactive technique to ensure that an institution’s functions, programs, or activities are adequately documented through a holistic process of institutional analysis, leading to the deliberate selection of appropriate record”* (SAA, 2024a), “documentation strategy” is determined as *“methodology that guides selection and assures retention of adequate information about a specific geographic area, a community, a topic, a process, or an event that has been dispersed throughout society”* (SAA, 2024b).

In Ukrainian archival terminology, the term *“proactive documentation”* is used for refer to the process by which an archival institution creates documents that are historically valuable and are subject to preservation (Didukh, 2023). At the same time, researchers point out that it is necessary to distinguish between the concepts of “proactive documentation” and “proactive acquisition”. As L. Didukh pointed out, *“these concepts refer to closely related but distinct processes and applied functions of the archive. Initiative acquisition is the search, detection and collection of individual scattered documents of personal origin or created in the activities of various legal entities that are valuable from a historical point of view and need to be preserved on the initiative of an archival institution”* (Didukh, 2023).

According to the Order of the Ministry of Justice No. 1499/5, dated April 18, 2022, the “Rules of Work of Archival Institutions of Ukraine” were amended to specify the conditions for proactive documentation. Under clause 4.17 of these Rules, *“documents created by the archive as a result of proactive documentation (such as audiovisual documents, electronic information resources, documents in paper and/or electronic form, including questionnaires, photographs, records of memories, conversations, interviews, etc.) are accepted by the archive on a general basis after they are included in the catalogue of permanent storage documents”*. The rules also provide that proactive documentation is carried out by archival staff or contracted specialists, with the individual conducting the documentation being responsible for transferring the documents to the archive (On approval of the Rules of Work of Archival Institutions, 2013).

It is important to note that, amid the ongoing large-scale armed aggression by the Russian Federation against Ukraine, the work of archives, alongside other in-

stitutions and organizations, scientific and public initiatives, continues under the legal framework established by martial law. This framework introduced through Presidential Decree No. 64/2022 “On Imposition of Martial Law in Ukraine” on February 24, 2022, and approved by Law No. 2102-IX (as amended) (Decree of the President of Ukraine, 2022).

Researchers from the Ukrainian Research Institute of Archival Affairs and Records Management have examined the experience of archiving documents related to the events of the war. In 2023, based on its generalization, methodological recommendations titled “Proactive documentation of the events of the large-scale armed aggression of the Russian Federation against Ukraine” were developed. This guide investigates the main legal aspects of proactive documentation of the events of the Russian-Ukrainian war, summarizes the state archives’ practical experience in documenting significant events, and offers general recommendations for creating archival collections of various types of documents that record the events and facts of the war (Didukh et al., 2023). Vita Boiko and Serhii Kuleshov conducted a study on the current efforts by state archives to document the events of the Russian-Ukrainian war, highlighting distinctions between collections created through proactive documentation and those derived from administrative or personal origin (Boiko & Kuleshov, 2023).

Archivists began actively collecting documents and forming documentary collections of public resistance during the Orange Revolution (2004–2005) and later the Revolution of Dignity (2013–2014). At this time, the archival collections were replenished with leaflets, posters, photographs, and records. In particular, these documents are currently stored in the Central State Archive of Public Organizations and Ukrainianica. The director of the Archive, Olha Bazhan, noted that from the first days of Euromaidan, archivists went out on the streets and collected postcards, drawings, flags as well as photographed the protests themselves and collected photos from their participants (Voice of Ukraine, 2018). Among other things, the Archive received a lot of materials from the students of the Taras Shevchenko National University of Kyiv, who participated in the protests’ actions and accumulated records as part of *the Student Maidan Archive project*. They have collected leaflets, proclamations, appeals, photographs and other materials about the participation of students in the revolutionary events of 2013–2014.

Then, the Central State Archive of Public Organizations launched a separate fond called “Collection of Documents Covering the Events of Euromaidan (Revolution of Dignity) (2013–2014)”.

In 2009, for the first time in Ukrainian archival practice, the Central State Electronic Archive of Ukraine began selecting, evaluating and preserving web resources as part of proactive documentation. In this process, archivists faced important tasks, in particular determining the collection’s content and sources, ensuring its completeness and consistency, conducting an appraisal of websites, selecting suitable information technologies for the creation, maintenance, and providing access to their collection (Kruchynina & Cherniatynska, 2015, 62).

In 2020, the head of the State Archival Service of Ukraine, Anatolii Khromov, called on the state archival institutions to launch the proactive documentation of events about the outbreak and fight against the spread of Covid-19 pandemic and its consequences (Government Portal, 2020). Archives began analyzing and selecting information from online electronic information resources, and forming archival collections on their basis. This initiative aligned with global trends of the time (ICA, 2020), as archivists and librarians worldwide worked to both preserve and build collections documenting the Covid-19 pandemic. Their efforts focused on collecting diverse materials, including electronic resources and websites that reflected the course of pandemic and response to it.

Under martial law, in March and April 2022, the State Archival Service of Ukraine called on the central and regional state archives to enhance the proactive documentation of events related to the Russia’s war against Ukraine. From the first days of the full-scale invasion, the main projects have been launched by several central and regional archives of Ukraine (particularly, the Central State Archives of Public Organizations, the Central State Film-Photo-Phono Archives of Ukraine, archives of Kyiv, Ternopil, Cherkasy, Dnipropetrovsk and other regions). The archivists reached out to the public through social media and websites urging them transfer documented evidence of the war to archives.

One of the first projects of regional archives was the *War Archive: Collect and Preserve* of the State Archives of Kyiv Region, which aimed to collect documents of the events of the Russian-Ukrainian war in the territory of Kyiv Region as part of the National Archival Fonds. From the first days of the Russian invasion, the State

Archives of Kyiv Region began daily documentation of events occurring in the region, sharing updates on the official Telegram channel of the Kyiv Region Military Administration. By September 2022 this effort resulted in the selection of nearly 1000 documents, including over 170 text records, around 250 videos, and more than 500 photos. This information resource laid the foundation for the “Collection of Documents of the Russian-Ukrainian War in Kyiv Region”, now preserved in the state archive (Kyiv Region Military Administration, 2022). The creation of documentary collections on the events of the war is ongoing in all regional archives. Archivists are gathering documents related to humanitarian aid, the volunteer movement, crimes committed by the aggressor against the Ukrainian people, and more. On March 5, 2022, the State Archives of the Cherkasy Region issued an appeal on its website, urging citizens to join the initiative to document the events of the war. It was noted that, where possible and safe, the state archives of Ukraine have already begun proactively documenting events related to the Russia’s war against Ukraine, and the State Archives of Cherkasy Region had started collecting materials (State Archives of Cherkasy Region, 2022).

In May 2022 Anatolii Khromov in an interview with the Studio ČT24 Česka Televize program, informing about the situation in archival field, preservation of archives during the war and the current vision of its further development, emphasized that *“the purpose of the Ukrainian archives is to preserve a full complex of documents, diverse in form and origin, which will enable our descendants in 100, 200 years to comprehensively investigate all aspects of the development of Ukraine and the life of Ukrainians, including access to information about the events of the Russian-Ukrainian war”* (Khromov, 2022).

Tetiana Yemelianova and Victoria Pokliatska analyzed the impact of the war on the process of acquiring audiovisual collections for the Central State Audiovisual and Electronic Archive, emphasizing differences between operational acquisition and proactive documentation. As a result of proactive documentation as an important component of the acquisition, where archivists actively create documents, the archive’s audiovisual collection was expanded in 2022–2023 with 327 photographs and 2 video documents (Yemelianova & Pokliatska, 2023, 55). It is important that archives are preserved and that archival collections reflect the diversity of life. The main information that contains in documenting collections

reflects different aspects of people's life during the war, in particularly: daily activities, civilian resistance, the experience of the evacuation, wartime destructions as a result of bombardments and shelling, violence of aggressor. Today we can state that "the information landscape" of archival collections is expanding, go beyond the understanding of war only from official resources and journalistic reviews, but also from personal experience of citizens.

Thus, proactive documentation is viewed as an essential component of effective acquisition strategies, ensuring that significant records are identified, preserved, and made accessible. Networking and relationship-building with potential donors or partners enhance acquisition efforts by fostering trust, encouraging contributions, and expanding sources of documentation.

4. ARCHIVISTS IN COLLABORATION WITH SCIENTIFIC AND PUBLIC INITIATIVES: A FRAMEWORK FOR PROACTIVE DOCUMENTATION

Since the first days of the full-scale invasion, many different initiatives have emerged to document the events of the war. Due to the spread of information technology and the availability of photo and video recording of events, a significant number of "witnesses of events" were involved in the documentation process. Therefore, in the information space, the scale of recording and documenting Russian aggression has been described as the "most documented war". In June 2023, at the initiative of the Lviv Center for Urban History², a scholarly symposium "The Most Documented War. Symposium of documentary and archival projects" was held that reflected the sheer scale of the process and the involvement of various organizations and initiatives (The Most Documented War, 2023). The process of creating archival collections, describing documents, and ensuring their long-term preservation requires professional knowledge and methodology. At the same time, it should be noted that today various civic initiatives, journalists, and oral history researchers are also involved in this process. This raises the issue of authenticity, its selection and examination of value, creation of conditions for preservation at the present stage and in the future, providing access to information and its use, as well as ensuring the personal data protection.

2 See more at <https://www.lvivcenter.org/conferences/the-most-documented-war/>.

Along with archives, several public and scientific initiatives were launched in March 2022 to document the events of the war. Among these projects, *the Ukraine War Archive (UWA)* is worth mentioning. It is a non-profit, collaborative digital platform dedicated to preserving and compiling a comprehensive collection of materials documenting Russia's full-scale invasion of Ukraine. The UWA was established in March 2022 by a collaborative effort between the Ukrainian NGO Docudays and the UK-based Infoscope, an organization that develops technological solutions for data archiving and analysis. Describing the purpose of the archive, its founders focused primarily on establishing it as an effective tool of aggregating and searching for materials regarding Russia's full-scale war against Ukraine; creating an integrated database that contains digital materials and evidence of war crimes; ensuring the long-term secure storage of documents and information (Ukraine War Archive, 2022).

The archive's website contains brief but key information about the purpose, the process of forming the database, the methodology of selection and storage of documents/information, and the legal basis of its functioning. It is important that the organizers take well thought-out security measures to preserve the integrity and authenticity of the information, producing the backup copies. As they mentioned, access to the platform is regulated by cyber security protocols and instruments. Data collects from open sources as well as by interviewing eyewitnesses according to protocols for documenting war crimes and acts of aggression. The organizers verify, organize, and catalog all submitted files. The tagged catalogue can be easily searched using keywords related to the description, location, or date of the materials.

Thus, creation of archive required saving, categorizing and unifying files. Long-term work on creating a system and legal framework for storage and further use of the collected materials brought the results. Audiovisual documents are stored on a secure server in a format that can be played on various devices. Each file has tags assigned to it, allowing you to quickly find the episode you want. It is planned that over time the «Ukrainian War Archive» will help historians to study the Russian-Ukrainian war.

Among the documentation initiatives launched by *the Center for Urban History*³ in Lviv together with scholar and academic organizations from Ukraine and some

3 See more at: <https://www.lvivcenter.org/en/researches/visual-documentation-of-the-war-2/>.

foreign countries (Poland, Luxembourg, the UK) at the beginning of the full-scale invasion it is worth to mention: *24.02.22, 5 am: Testimonies from the War*, *Visual Documentation of the War*, *Telegram Archive of the War*, *Diaries and Dreams of the War*. Each of these projects focused on creating, preserving, and studying the documentary base that reflected the events and lives of people during the war. It is important that scientists from different countries have been involved in the conceptualization and implementation of these projects from the very beginning, and that they are based on a methodological framework. Thus, the *24.02.22, 5 am: Testimonies from the War*, project involves scientific organizations from Ukraine, Poland, Luxembourg, and the UK. They elaborated methodological approaches and organized special seminars for interviewers on the topics of trauma, violence, and war – with the support of historians, psychologists etc. (*Testimonies from the War*, 2022). The Telegram Archive of the War, which is being formed at the initiative of the Center for Urban History⁴, aims to document how Ukrainians describe everyday life during the war, as well as learn and share testimonies about the war on Telegram. It fixes messages and audiovisual content (in particular evacuation chats, reporting about air-raid alerts, blogs and reflections, expert analytics, etc.). At the first stage, its creators prioritized the so-called “*emergency archiving*” (preservation of information flows about the war). The second stage involves processing and description of gathered materials with emphasizing on “ethical and legal protocols for working with the archive” (*Telegram Archive of the War*, 2022). Ultimately, the archival strategy envisages the use of documentary information for research purposes.

Another important project of the Center was the collection and processing of visual evidence of the war. Thus, *the Visual Documentation of the War* project that was started by the Urban Media Archive preliminary aimed at collecting visual evidence of the crimes of the Russian army on the territory of Ukraine (*Visual Documentation of the War*, 2022). At the same time, the documents collected by the center – photographs and videos – create an important source base for future studies of the war and thus open up new research perspectives.

In addition, online databases created by journalists, volunteers, and human rights activists are being continuously updated with audiovisual evidence.

4 See more at: <https://www.lvivcenter.org/en/researches/visual-documentation-of-the-war-2/>.

Among them is “DATTALION”, one of the largest free, independent, open-source databases of Ukraine war footage. It is launched on February 27, 2022 and now it includes more than 6100 videos, 40 000 photos, 220 eyewitnesses. Everyone can access to this database and use these footages for free. It is noteworthy that more than 50 thousand users from around the world visit this database every month and get acquainted with documented eyewitness accounts of Russian aggression and war crimes (DATTALION, 2024). When documenting such events and further creating archival collections, ethical and legal issues of access and use of information arise that require attention, more detailed study and consultation with legal experts. These archival documents are extremely important for establishing a source base for studying not only the events of the war and the lives of Ukrainians, but also for modern history in general. One of the largest segments that is being produced today and requires further archiving is oral history documentary heritage.

The interaction of archivists with scholars as well as representatives of other memory institutions and civil society organizations involved in collecting, studying and preserving war evidence is extremely important nowadays. One of its visible example was a roundtable discussion “*Testimonies of War: from oral history to national documentary heritage*” that was held by the Ukrainian Association for Oral History in cooperation with the State Archival Service of Ukraine on February 21, 2024 in Kyiv with the participation of archivists and representatives of scientific and cultural institutions involved in collecting and preserving oral history evidence. Among its initiators was Natalia Khanenko-Friesen, a co-chair of the Ukrainian Oral History Association, director of the Canadian Institute of Ukrainian Studies at the University of Alberta). The main goal of the round-table discussion was the elaboration of common approaches to the strategy of preserving documents collected as a result of interviews with war witnesses. The question was arisen about the “archival future” of the thousands of recorded stories about the war, where exactly and in what format they should be stored. An active part in the discussion took Anatolii Khromov, head of the State Archival Service, and Tetiana Yemeljanova, director of the Central State Audiovisual and Electronic Archive. They were presenting an “archival vision” of cooperation with various institutions and initiatives that focus on collecting oral history evidence of the war. As A. Khromov stressed, this vision specifically involves updating archi-

val legislation, broadening the definition of the concept of the “National Archival Fond”, which is fundamental to Ukrainian archival science, and establishing the concept of “archival information resources” that additionally includes audiovisual documents, social media resources, databases etc. (Khanenko-Frizen, 2024).

The archivists emphasized that they are completely open and ready to cooperate, helping with the initial processing of these documents until they are ready to be transferred to the archive. When including documents in the National Archival Fond, all legal procedures must be followed. At the same time, T. Yemelianova pointed out that when considering long-term storage, the issue of selection and criteria document acquisition is being raised with renewed vigor. Archivists must guarantee the authenticity of these documents and provide proper conditions for their storage in archival institutions. This requires archivists to follow technical procedures for preserving, describing, and organizing documents.

The primary challenges in preserving current collections include the risk of losing documents, both on paper and electronic formats, due to military operations; the fragility of storage media; inadequate storage conditions; and the use of varied technologies and formats for recording information. For effective processing and use, it is essential to combine efforts by establishing laboratories for transcribing content, describe metadata, and uploading it to servers. To address various legal issues related to the acquisition of new types of documents in archives, the protection of information, and ensuring lawful access to it, it is important to adapt existing archival legislation to meet modern needs.

Thus, archivists along with representatives from scientific and public organizations have already begun documenting the events of war by creating new documentary collections, fonds, and media archives that will preserve records of the Ukrainian people’s struggle and the defense against Russian aggression.

The dedication of archivists to their professional and civic duty during the war is reflected not only in their daily, meticulous efforts to safeguard the nation’s historical heritage, but also in their ongoing dialogue with users, facilitated by electronic resources and social media platforms. One of the visible manifestations of this important work is exhibition projects. From the first days of the war, the Central State Audiovisual and Electronic Archive has been actively working to document the chronicle of the events of the Russian-Ukrainian war. The ar-

chive cooperates with leading TV channels, journalists and photographers to create audiovisual collections that would reflect the evidence of the struggle of the Ukrainian people. In March 2023, the archive prepared a documentary exhibition “Documentary history of resistance (to the anniversary of the liberation of Kyiv region from the Russian occupiers)” based on the existing collections that reflects results of archivists’ cooperation with creators (Central State Audiovisual and Electronic Archives, 2023).

In the conditions of war, extremely important areas of activity of Ukrainian archivists are risk management, development and implementation of strategies for the preservation and digitization of documents. Digitization is an effective method of preserving archival information, especially in conditions when all archives are potentially threatened. Particularly noteworthy are the achievements in the digitalization of Ukrainian archives. More than 21 million digital copies (sheets) were created by the Ukrainian state archives in 2023, which is one of the highest rates in Europe and the world today (Khromov & Skalskyi, 2024).

5. CONCLUSIONS

Proactive documentation of significant events and the creation of thematic collections have taken on a special place in the archival practice today, driven by the increased societal role of archivists and their significance in shaping collective memory. Archivists, together with representatives from scientific and public organizations, have initiated efforts to document the events of the Russia’s war against Ukraine by establishing new collections, fonds, and media archives to preserve records of the Ukrainian people’s resilience and struggle against aggression. This activity is regulated by the national legislation and takes place within the framework of martial law in Ukraine.

The archives have launched and continue to develop collections of documents in paper and electronic form. A significant part of these collections is represented by audiovisual documents, primarily photographs, web archives, as well as recorded interviews and memoirs (oral history sources).

To date, specific approaches and recommendations have been developed for selecting, organizing storage, systematizing and describing documents created as a result of proactive documentation. However, further in-depth study is needed on

collaboration between archives and other organizations and initiatives involved in documenting wartime events to ensure the long-term preservation of collected materials. In this regard, it is crucial to further address the challenges of appraising and selecting for permanent storage. Given the proliferation of electronic records in today's information society, preserving primary information, ensuring authenticity, and accurately converting media into accessible formats are increasingly pressing concerns.

Archivists should play a key role in establishing standardized approaches for documenting and describing records across various institutions. Developing shared methodological guidelines not only enhances consistency but also ensures that appraisal and preservation of documents meet professional standards, facilitating more effective access and use of them.

To foster a unified practice and approaches, archivists can organize training sessions, webinar, and workshops, creating a collaborative learning environment for professionals across institutions. These efforts are vital to developing common approaches that can effectively support the proactive documentation of significant events and the preservation of collective memory of the war.

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Summary

In the article the author illuminates the interaction between Ukrainian archivists and society, in particular with scientific institutions, public organizations and initiatives as well as individuals, in formation of modern archival collections that depict crucial moments in the life of country and people.

In the focus of the research is the Ukrainian archivists' initiatives connected with proactive documentation of the socio-political events, in particular connected with the Russian war against Ukraine. It analyzes the archivists' approaches to creating documentary collections, as well as their achievements in interacting with individuals, public organizations and private initiatives. The methods of comparative analysis and synthesis are implemented to examine the structure and functionality of archival practices within the broader context of proactive documentation. The author provides the outlook on archives and their intellectual place in the formation of records and knowledge, in particular, their role in the preservation of cultural heritage and formation the memory of the war in Ukraine.

Proactive documentation strategies highlight a shift in the identity of the archival profession, as archivists increasingly recognize their active role in the creation of archival collections and the shaping of collective memory. These strategies have their roots in the collection development activities of archival institutions, which encompass the acquisition and appraisal of records, as well as the identification and assessment of society's needs and expectations.

Under martial law in March and April 2022, the State Archival Service of Ukraine called on central and regional state archives to proactively document events related to Russia's war against Ukraine, leading several central and regional archives to launch important acquisition projects from the first days of the full-scale invasion. The process of creating archival collections, describing doc-

uments, and ensuring their long-term preservation requires professional knowledge and methodology.

In the research specific approaches and recommendations have been developed for selecting, systematizing and describing documents created because of proactive documentation. For effective processing and use, it is essential to combine efforts by establishing laboratories for transcribing content, describe metadata, and uploading it to servers. To address various legal issues related to the acquisition of new types of documents in archives, the protection of information, and ensuring lawful access to it, it is important to adapt existing archival legislation to meet modern needs.

In conclusion, it is pointed out that further in-depth study is needed on collaboration between archives and other organizations and initiatives involved in documenting wartime events to ensure the long-term preservation of collected materials. Archivists should play a key role in establishing standardized approaches for documenting and describing records across various institutions. To foster unified approaches, archivists can organize training sessions and workshops on appraisal, description and document preservation, creating a collaborative learning environment for professionals across institutions to safeguard and uphold the collective memory of the war.

Typology: 1.01 Original Scientific Article

Marie Ryantová¹

RELATIONS BETWEEN ARCHIVES AND CREATORS OF ARCHIVAL DOCUMENTS IN THE CZECH REPUBLIC

Abstract

Purpose: *The paper explains how the relations between archives and the originators of archives in the Czech Republic are defined by the Act on Archives and Records Management. The law establishes the originators who have the duty to preserve documents and enable the selection of archives, as well as the tasks of archives, as well as the rights and obligations of owners or holders of archives.*

Method/approach: *The method used in the paper is a description and an explication.*

Results: *The result of the contribution is a summary of information on how the relations between archives and originators of archival records in the Czech Republic are defined by the Act on Archives and Records Management.*

Conclusions/findings: *The relations between archives and originators of archival records in the Czech Republic are defined by the Act on Archives and Records Management. This law primarily determines the public and private originators who have the obligation to preserve documents and enable the selection of archives. The law also determines the obligations of archives that carry out the selection of archival records in the shredding process (for the proper implementation of which the originators are responsible) or outside the shredding process. All documents that have passed the selection become archival documents and are subject to records. Archival documents that are registered on the territory of the Czech Republic form the National Archival Heritage. The owner or holder of archival documents has various rights and obligations in relation to them. Archives usually develop methodical and practical cooperation with originators and provide various forms of assistance to originators.*

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Key words: *Act on Archives and Records Management of the Czech Republic, National Archives, state regional and district archives, specialized archives, rights and obligations of the owner or holder of archival material*

RELAZIONI TRA ARCHIVI E CREATORI DI DOCUMENTI D'ARCHIVIO NELLA REPUBBLICA CECA

Abstract

Scopo: *Il documento spiega come le relazioni tra archivi e creatori di archivi nella Repubblica Ceca sono definite dalla legge sugli archivi e la gestione dei documenti. La legge stabilisce i creatori che hanno il dovere di conservare i documenti e consentire la selezione degli archivi, nonché i compiti degli archivi, nonché i diritti e gli obblighi dei proprietari o detentori di archivi. Metodo/approccio: Il metodo utilizzato nel documento è una descrizione e una spiegazione.*

Risultati: *Il risultato del contributo è un riepilogo delle informazioni su come le relazioni tra archivi e creatori di documenti d'archivio nella Repubblica Ceca sono definite dalla legge sugli archivi e la gestione dei documenti.*

Conclusioni/risultati: *Le relazioni tra archivi e creatori di documenti d'archivio nella Repubblica Ceca sono definite dalla legge sugli archivi e la gestione dei documenti. Questa legge determina principalmente i creatori pubblici e privati che hanno l'obbligo di conservare i documenti e consentire la selezione degli archivi. La legge stabilisce anche gli obblighi degli archivi che eseguono la selezione dei documenti d'archivio nel processo di distruzione (per la cui corretta attuazione sono responsabili gli originatori) o al di fuori del processo di distruzione. Tutti i documenti che hanno superato la selezione diventano documenti d'archivio e sono soggetti a registrazioni. I documenti d'archivio registrati sul territorio della Repubblica Ceca costituiscono il patrimonio archivistico nazionale. Il proprietario o detentore di documenti d'archivio ha vari diritti e obblighi in relazione a essi. Gli archivi di solito sviluppano una cooperazione metodica e pratica con gli originatori e forniscono varie forme di assistenza agli originatori.*

Parole chiave: *Legge sulla gestione degli archivi e dei documenti della Repubblica Ceca, Archivi nazionali, archivi statali regionali e distrettuali, archivi specializzati, diritti e obblighi del proprietario o detentore di materiale d'archivio*

ODNOSI MED ARHIVI IN USTVARJALCI ARHIVSKIH DOKUMENTOV NA ČEŠKEM

Izvleček

Namen: Prispevek pojasnjuje, kako so razmerja med arhivi in avtorji arhivskega gradiva na Češkem opredeljena v Zakonu o arhivih in upravljanju dokumentov. Zakon določa avtorje, ki so dolžni hraniti dokumente in omogočati odbiranje arhivskega gradiva, opravljati naloge dela v arhivih, ter upoštevati pravice in obveznosti lastnikov oziroma imetnikov arhivskega gradiva.

Metoda/pristop: Metoda, uporabljena v prispevku, je opis in eksplikacija.

Rezultati: Rezultat prispevka je Izvleček informacij o tem, kako so razmerja med arhivi in avtorji arhivskega gradiva na Češkem opredeljena v Zakonu o arhivih in upravljanju dokumentov.

Sklepi/ugotovitve: Odnose med arhivi in ustvarjalci arhivskega gradiva na Češkem opredeljuje Zakon o arhivih in upravljanju gradiva. Ta zakon določa predvsem javne in zasebne ustvarjalce, ki so dolžni hraniti dokumente in omogočati izbor arhivskega gradiva. Zakon določa tudi obveznosti arhivov, ki izvajajo odbiranje arhivskega gradiva v postopku uničevanja (za pravilno izvajanje katerega so odgovorni ustvarjalci) ali izven postopka uničevanja. Vsi dokumenti, ki so prestali izbor, postanejo arhivski dokumenti in se evidentirajo. Arhivski dokumenti, ki so registrirani na ozemlju Češke republike, tvorijo nacionalno arhivsko dediščino. Lastnik oziroma imetnik arhivskih dokumentov ima v zvezi z njimi različne pravice in obveznosti. Arhivi praviloma razvijajo metodično in praktično sodelovanje z ustvarjalci gradiva in jim zagotavljajo različne oblike pomoči.

Ključne besede: Zakon o arhivih in dokumentologiji Republike Češke, nacionalni arhivi, državni regionalni in okrožni arhivi, specializirani arhivi, pravice in obveznosti lastnika ali imetnika arhivskega gradiva.

Questions of the relationship between archives and the originators of archival records are not the subject of professional studies in the Czech Republic, therefore basic information and starting points are provided by valid legislation.

In the Czech Republic, the obligation to preserve documents and enable their selection into archives is established by the Act on Archives and Record Management (2004). This obligation applies to a wide group of originators, both public and private.

1. CREATORS OF ARCHIVAL DOCUMENTS

Among the public originators established by law – and thus the creators of later archival documents – are the various organizational components of the state, the armed forces and security forces, state enterprises and so-called state contribution organizations, territorial self-governing units (regions in the Czech Republic) and their organizational components, as well as universities and schools lower degrees, health insurance companies and public research institutions, or other legal entities established by law. Private originators are various business companies, political parties, political movements and associations, trade unions and employer organizations, churches and religious societies, as well as professional chambers, foundations and endowment funds, public benefit societies and notaries. The legal successors of both public and private originators also have the obligation to preserve documents and enable the selection of archival material, if they are documents for which these originators already had this obligation. Entrepreneurs who have been granted a state permit to run the business of file management also have the obligation to preserve documents and enable the selection of archival documents. In the case of documents in digital form, it is also necessary to ensure the credibility of their origin, the inviolability of their content and legibility, the creation and management of metadata belonging to these documents and the attachment of data proving the existence of the document in the specific time.

The law thus precisely defines the range of originators who further enter into relations with archives.

2. SELECTION OF ARCHIVAL DOCUMENTS

Public and private originators are overseen by various types of state archives, which carry out the selection of archival documents in the shredding process or out of the shredding process. The criterion for the selection of archival documents is the permanent value of the document in relation to the time of creation, content, origin or external features. The following documents become archival material according to the time of creation: created before 1850, or up to 1900 (for documents from the field of industrial and agricultural production, credit system and insurance, financial and mining business), photographic records created before 1900 and sound or film recordings created before 1930. According to their content, documents that have a permanent value given their political, economic, legal, historical, cultural, scientific or informational significance are selected as archival documents. (The annex to the law lists the most important types of these documents, which will always be submitted for selection to the archive according to their content – including meeting minutes, statutes, organizational rules etc., international contractual documents, geodetic and cartographic documents, documentation of important buildings, accounting documents, chronicles, parish registers, historical census population records, court judgments, personal files, manuscripts of important literary works, school reports and test reports, etc.) The meaning, function or status of the originator determines the selection of archival materials according to their origin – and in the case of external signs, these are documents that have a permanent value due to their artistic level, language, script, writing material, processing or due to other similar properties.

2.1 SELECTION OF ARCHIVAL DOCUMENTS IN THE SHREDDING PROCESS

The shredding process is a procedure in which documents whose shredding deadlines have expired and which are no longer needed for the activity of the originator are discarded. The originator (or his legal successor) is responsible for the proper execution of the shredding process and is obliged to allow the relevant archive to supervise it and select the archival material. The archives in the shredding process select archival material from documents of both public and private originators (if private originators request it or if they have a private archive). The shredding process has set deadlines and takes place based on a shredding

proposal, which the originator sends to the relevant archive for assessment and selection of archive documents. The shredding proposal contains a list of documents proposed for shredding and the time of their creation. Based on it, the relevant archive will determine to whose custody the documents selected as archive documents will belong and will write a protocol on the shredding process carried out. The protocol contains, on the one hand, a list of documents or sets of documents that have been selected as archive documents, and on the other hand, a list of documents that can be destroyed. (Based on their request, the relevant archive can issue a permanent shredding consent to certain originators for the types of documents determined by it, which can be destroyed even without archival selection. However, in case of violation of the conditions, the archive can revoke this consent.) If the originator does not agree with the content of the shredding protocol, he can file objections against it within the specified period and everything will be further resolved in administrative proceedings.

2.2 SELECTION OF ARCHIVAL DOCUMENTS OUTSIDE THE SHREDDING PROCESS

The second method, the selection of archival documents outside the shredding process, is carried out by the archive that would be responsible for the selection of archival documents in the first case, i.e. in the shredding process. In addition to materials of private originators, these are specific cases – in particular, the selection of archival material outside of the shredding procedure is primarily carried out from documents offered by their owner to one of the public archives in the Czech Republic, either as a gift, for purchase or for safekeeping. Another option is to choose from documents that were transferred to the state (Czech Republic) after death, or that were found. The selection of archival documents outside the shredding process is initiated at the request of the originator or the owner of the documents, in the event that the originator dies without a legal successor, the selection outside the shredding process is carried out *ex officio*. After the selection of archival materials outside of the shredding process is completed, the relevant archive will also draw up a protocol on the selection of archival materials and determine to whose custody the documents selected as archival materials will belong. If the selection of archival documents outside the shredding process was carried out at the request of the owner of the document selected as archival doc-

ument, these documents can be entrusted to the care of the archive only with the consent of this owner and on the basis of his consent with the determination of whose custody the documents will belong to.

2.3 COMPETENCE OF ARCHIVES

The selection of archival documents in the shredding process is mostly carried out by state archives – while the National Archives makes a selection at public originators with nationwide scope, state regional (and district) archives focus on public originators at a lower level. (Special status is given to security archives, which may be established by the Ministry of the Interior, the Ministry of Defence, the Ministry of Foreign Affairs, the National Security Office, the National Office for Cyber and Information Security, the Office of the President of the Republic, security forces and intelligence services of the Czech Republic.)

The selection of archival materials outside the shredding procedure is carried out by the National Archives in the case of top bodies of private originators (political parties, etc.), and by the state regional archives in the case of others. The National Archives as well as the state regional archives are authorised to carry out the selection of archival material outside the shredding procedure for documents offered to the Czech Republic as a gift or for purchase and for documents found or documents of those owners who request it.

In addition, there are specialised archives (e.g. the Archives of the National Museum, the Literary Archive, university archives) which carry out the selection of archival material in the shredding process at their founders and often also the selection of archival material outside the shredding process from documents offered by the founders as a gift, for purchase or for safekeeping and from documents of the owners who request it. Most often, these are personal estates, but they can also be interesting and valuable items. For this purpose, these archives set up advisory boards for collection activities, which assess the offered documents and decide on their acquisition.

3. RECORD KEEPING OF ARCHIVAL MATERIAL

Documents selected as archival material and destined for the custody of the archive are handed over by the originator or owner of the document to the designated archive, based on the protocol on the carried out shredding process or the

protocol on the carried out selection of archival material outside the shredding process, and an official record is made of this handover. Archival records of public originators belong to the care of public archives, archival records obtained through the acquisition and collection-building activities of cultural and scientific institutions belong to the care of these institutions. All documents that have been selected become archival documents and be subject to record keeping. Archival documents registered on the territory of the Czech Republic form the National Archival Heritage. Basic records of the National Archival Heritage are kept by the archives and cultural and scientific institutions in whose care the archival documents are located. Archives (National Archives and state regional archives) simultaneously maintain secondary records of archival materials located in cultural and scientific institutions. The central records are maintained by the department of archival administration of the Ministry of the Interior, to which archives and cultural and scientific institutions managing basic records are obliged to provide their data. The Ministry can also decide to remove archival material from the records of the National Archival Heritage, due to a reassessment of its significance or its destruction (or transfer abroad).

4. RIGHTS AND OBLIGATIONS OF THE OWNER OR HOLDER OF ARCHIVAL MATERIAL

Archival material owned by the Czech Republic or legal entities established by law cannot be transferred to another person. The Ministry of the Interior can grant consent for such archival documents to be handed over for use to a legal or natural person, but only if the conditions for the protection and care of the archival material are met.

4.1 CARE OF THE OWNER OR HOLDER FOR ARCHIVAL DOCUMENTS

If archival documents are not located in the archives and remain with the owner, the owner or holder is obliged to properly care for them, keep them in good condition, protect them from damage, deterioration, destruction, loss and theft and use them only in a way that corresponds to their condition. At the same time, he is obliged to provide the necessary information to the archives that keep records of archival material (the National Archives or state regional or district archives) and also to notify them immediately and in advance of any intended transfer of

ownership rights to archival records or the conclusion of a contract for their safe-keeping. On the other hand, the owner or holder of the archive documents has the right to free provision of information and advisory services regarding the care of the archival material. These services are provided by the National Archives or state regional archives, event. state district archives. The owner of archival material that does not belong to the custody of the public archive and is not owned by the Czech Republic is entitled to the provision of a flat-rate state contribution, but only within a limited period of time (within 3 months from the date of selection of the document for archival material). At the same time, the owner of such archive documents is entitled to compensation for the necessary costs incurred by him during the statutory care of the archives. In both cases, it is necessary to submit an application to the Ministry through the National Archives or the state regional archive, which maintains the relevant archives in basic or secondary records. If the owner or holder of archival documents is unable to ensure their proper protection and professional care for them, they can ask the National Archives or the relevant state regional archive for the mentioned free professional help, or alternatively, these archives can take over the relevant archival material for a certain period of time. If the reasons that led to this disappear, the archives will immediately return this archival material to the owner or holder based on his request.

4.2 TRANSFER OF OWNERSHIP OF ARCHIVAL DOCUMENTS

The owner of an archival document can decide on the transfer of ownership, but he is obliged to offer it preferentially for purchase by the state, i.e. the Czech Republic - with the exception of cases where 1) the transfer is between relatives, co-owners or members of the same church or religious society, 2) transfer to the ownership of a territorial self-governing unit, 3) transfer to the ownership of a legal entity established by law, or 4) transfer to a state-owned enterprise or a state-funded organization. The owner of the archival document must submit a written offer to the state (Czech Republic) through the National Archives, the Security Forces Archive or the relevant state regional archive. After that, the owner of the archival document must allow it to be viewed by an authorized employee of one of the aforementioned archives in order to create a description or illustration of the archival document for the draft of the purchase contract, within the time limit set by law. If the state (Czech Republic) exercises the right of preferential

purchase, the relevant archive will submit a draft purchase contract within 180 days from the date of delivery of the written offer to the owner of the archival document. The draft purchase contract must include a description or image of the archival document, the proposed price, and a payment deadline that must not exceed 30 days from the conclusion of the contract (unless the owner proposes a longer period). If the archive does not submit the draft purchase contract to the owner of the archive document within the specified period, the Czech Republic's right to preferential purchase vis-à-vis the owner of the archival material shall cease.

4.3 EXPORT OF ARCHIVAL DOCUMENTS ABROAD

Archival records can only be exported from the territory of the Czech Republic on the basis of a permit issued by the Ministry of the Interior at the request of the owner or holder of the archival records. The Ministry can only issue a permit for the export of archival records for the purpose of their exhibition, conservation, restoration or scientific research. The owner or holder of archival material is entitled to export it only for the purpose specified in the permit and is obliged to bring the archival material back to the territory of the Czech Republic, within the time limit set by the Ministry and undamaged. In the permit, the Ministry may impose on the owner or holder of the archive documents the obligation to post a monetary guarantee for compliance with the conditions. The Ministry will not grant a permit if the conditions for the care of the archival document and the conditions for its protection according to the law are not met, or if the export of the archival document is not permitted by its condition. A stricter regime applies to archival documents declared to be archival cultural monuments and, in particular, national cultural monuments – national cultural monuments may be exported from the territory of the Czech Republic only for a limited period of time and with the prior consent of the Government, and only for the purpose of their exhibition or restoration.

5. THE RELATIONSHIP BETWEEN ARCHIVES AND ORIGINATORS

State archives, which carry out supervision over public or private originators, have the right to carry out state control over them as well (sometimes on the basis of initiatives or complaints – e.g. in the case of municipal authorities). However,

archives mostly develop methodical and practical cooperation with originators and provide various forms of assistance to originators: they provide the necessary information on their websites, develop methodological instructions (e. g. Hejzlarová 2010), attend various visits and meetings with the originators, provide consultations – and all this often repeatedly. The advantage is good relations between archives and originators, thanks to which decisions can be reached on various specific matters (e.g. the desire of municipalities to own old municipal chronicles – which are managed to be digitized and electronic copies handed over to the originator, or matters of documents stored in museums, libraries, galleries, memory public research institutions and universities as a result of their acquisition and collection activities).

6. CONCLUSION

The relations between archives and originators of archival records in the Czech Republic are defined by the Act on Archives and Records Management. This law primarily determines the public and private originators who have the obligation to preserve documents and enable the selection of archives. The law also determines the obligations of archives that carry out the selection of archival records in the shredding process (for the proper implementation of which the originators are responsible) or outside the shredding process. All documents that have passed the selection become archival documents and are subject to records. Archival documents that are registered on the territory of the Czech Republic form the National Archival Heritage. The owner or holder of archival documents has various rights and obligations in relation to them. Archives usually develop methodical and practical cooperation with originators and provide various forms of assistance to originators.

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Summary

The relations between archives and originators of archival records in the Czech Republic are defined by the Act on Archives and Records Management. This law primarily determines the public and private originators who have the obligation to preserve documents and enable the selection of archives. These originators are supervised by various types of state archives, which carry out the selection of archives in the shredding process or outside of the shredding process. During the shredding process, documents whose shredding deadlines have expired and which are no longer needed for the activity of the originator are discarded. The originator is responsible for the proper execution of the shredding procedure. The selection of archival material outside the shredding process is made from documents offered by their owner to one of the public archives in the Czech Republic, either as a gift, for purchase or for safekeeping. Another option is to choose from documents that the state has inherited or that have been found. The selection of archives in the shredding process is mostly carried out by state archives (National Archives, state regional archives), which are also entrusted with the selection of archives outside of the shredding process. Specialized archives have a specific position, which carry out the selection of archives in the shredding process at their founders and often also the selection of archives outside the shredding process from documents offered to the founders as a gift or for purchase. For this purpose, these archives create advisory boards for collection-building activities. All documents that have passed the selection become archival documents and are subject to records. Archival documents that are registered on the territory of the Czech Republic form the National Archival Heritage. The owner or holder of archival documents has various rights and obligations in relation to them. Archives usually develop methodical and practical cooperation with originators and provide various forms of assistance to originators. The advantage is good relations between archives and originators, thanks to which decisions can be reached on various specific matters.

Typology: 1.04 Professional Article

Dimitar Bogeski¹

RELATIONS OF THE ARCHIVES WITH THE CREATORS OF ARCHIVAL RECORDS

Abstract

Purpose: *The purpose of this study is to explore the critical relationship between archives and the creators of archival material. It aims to highlight the balance between the interests of material creators, archivists' responsibilities, and public rights in both public and private archival contexts.*

Method: *Through an examination of legal, ethical, and procedural frameworks governing archival transfers, this analysis contrasts the processes involved in handling public and private archival materials. Specific focus is placed on transparency, legal compliance, and negotiations around privacy and ownership.*

Results: *In public archival transfers, adherence to legal and ethical standards ensures transparency, preservation, and access, while safeguarding sensitive information. For private archival transfers, negotiations around privacy, ownership, and future use reveal more complex dynamics, often requiring restrictions imposed by creators to protect personal or proprietary interests.*

Findings: *The study finds that the management of archival material involves a delicate balance between maintaining accessibility for public benefit and protecting the rights and interests of creators. Legal and ethical transparency is essential in public archives, while private archives involve more complex negotiations that can impact future access and use, with creators often imposing restrictions based on personal concerns.*

Keywords: *State Archives, Archival Material, Protection, Public Records, Private Records*

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RELAZIONI DEGLI ARCHIVI CON I CREATORI DI DOCUMENTI ARCHIVISTICI

Abstract

Scopo: *Lo scopo di questo studio è esplorare la relazione critica tra gli archivi e i creatori di materiale archivistico. Mira a evidenziare l'equilibrio tra gli interessi dei creatori di materiale, le responsabilità degli archivisti e i diritti pubblici nei contesti archivistici pubblici e privati.*

Metodo: *Attraverso un esame dei quadri legali, etici e procedurali che regolano i trasferimenti archivistici, questa analisi mette a confronto i processi coinvolti nella gestione di materiali archivistici pubblici e privati. Particolare attenzione è posta sulla trasparenza, la conformità legale e le negoziazioni sulla privacy e la proprietà.*

Risultati: *Nei trasferimenti archivistici pubblici, l'aderenza agli standard legali ed etici garantisce trasparenza, conservazione e accesso, salvaguardando al contempo le informazioni sensibili. Per i trasferimenti di archivi privati, le negoziazioni sulla privacy, la proprietà e l'uso futuro rivelano dinamiche più complesse, che spesso richiedono restrizioni imposte dai creatori per proteggere interessi personali o proprietari.*

Risultati: *lo studio rileva che la gestione del materiale d'archivio comporta un delicato equilibrio tra il mantenimento dell'accessibilità per il beneficio pubblico e la protezione dei diritti e degli interessi dei creatori. La trasparenza legale ed etica è essenziale negli archivi pubblici, mentre gli archivi privati comportano negoziazioni più complesse che possono avere un impatto sull'accesso e l'uso futuri, con i creatori che spesso impongono restrizioni in base a preoccupazioni personali.*

Parole chiave: *Archivi di Stato, Materiale d'archivio, Protezione, Documenti pubblici, Documenti privati*

ODNOSI ARHIVA DO USTVARJALCEV ARHIVSKEGA GRADIVA

Izvleček

Namen: *Namen študije je raziskati kritičen odnos med arhivi in ustvarjalci arhivskega gradiva. Njegov namen je poudariti ravnovesje med interesi ustvarjalcev gradiva, odgovornostjo arhivistov in pravicami javnosti v javnih in zasebnih arhivskih kontekstih.*

Metoda: *S preučevanjem pravnih, etičnih in postopkovnih okvirov, ki urejajo arhivske prenose, ta analiza primerja procese, vključene v ravnanje z javnim in zasebnim arhivskim gradivom. Poseben poudarek je na preglednosti, zakonski skladnosti in pogajanjih o zasebnosti in lastništvu gradiva.*

Rezultati: *Pri prenosu javnega arhivskega gradiva upoštevanje pravnih in etičnih standardov zagotavlja preglednost, hrambo in dostop, hkrati pa ščiti občutljive informacije. Za zasebne arhivske prenose, pogajanja o zasebnosti, lastništvu in prihodnji uporabi razkrivajo bolj zapleteno dinamiko, ki pogosto zahteva omejitve, zaželeno s strani ustvarjalcev za zaščito osebnih ali lastniških interesov.*

Ugotovitve: *Študija ugotavlja, da gre pri upravljanju arhivskega gradiva za občutljivo ravnotežje med ohranjanjem dostopnosti v javno korist ter varovanjem pravic in interesov ustvarjalcev. Pravna in etična preglednost je bistvenega pomena v javnih arhivih, medtem ko gre v zasebnih arhivih bolj za zapletena pogajanja, ki lahko vplivajo na prihodnji dostop in uporabo dokumentov, pri čemer ustvarjalci pogosto postavljajo omejitve na podlagi osebnih skrbi.*

Ključne besede: *državni arhivi, arhivsko gradivo, varstvo, javne evidence, zasebne evidence.*

Archival records are records with enduring value and significance for the Republic, science, culture, creators and other needs, notwithstanding whether they were recorded on paper (conventional) or on a specialized medium (unconventional).

The archival and documentary records, according to the Archival Records Act (2012 with further additions, Article 4), are preserved regardless of the time, place and manner of their origin, as well as of their ownership and state of registration. The care for preserving and maintaining the archival wealth is an imperative and priority for each society and every records creator. Particularly having in mind that the preservation of the archival records, which has special cultural and historic significance as public goods, is also governed by the regulations for preservation of cultural heritage.

One of the essential tasks of the State Archives of the Republic of North Macedonia, according to the Archival Records Act (2012 with further additions) is to receive and permanently maintain the public archival records and to provide conditions for its unhindered access by the public. The right of access is provided to all the legal and physical entities under the same conditions. Besides for the purpose of enabling the state bodies and public institutions functions, the access to the archival records is also provided for: scientific research, publications, educational needs, exhibitions and publishing, as well as for the purpose of granting and protecting the public freedom and rights (Archival Records Act (2012 with further additions, Article 42).

After the independence, but also in the previous period, several legislative and bylaw acts have been passed in the Republic of North Macedonia (Archival Records Act (1990), Archival Records Act (1995, 2008), Regulation on Office and Archival Practice (1996), Guideline on the Manner and Technique for Handling the Documentary Records and Archival Records in Office and Archival Practice (1997), aimed at regulating the office and archival practice. However, notwithstanding when these regulations have been passed, their aim has always been more or less the same: maximum preservation and maintenance of the documents created by the records creators, i.e. receiving the records in the archives of jurisdiction, and providing access of the received archival records, according to the regulations for their use, to all legal and physical entities who are entitled to their rights and obligations under different conditions.

TRANSFERRING THE PUBLIC ARCHIVAL RECORDS

With the passing of the Archival Records Act from 26.07.2012, the first division into creators of public and creators of private archival and documentary records was made in the Republic of Macedonia.

The public archival and documentary records are owned by the Republic of North Macedonia. They are created with the activities of the state bodies, institutions, public enterprises and services, public companies, units of local self-government and the city of Skopje, trade companies established by the state or with dominant state capital, legal and physical entities (records creators) who have been granted a public authorization by the Law.

The public archival and documentary records are inalienable. That is why private legal and physical entities are not allowed to collect, acquire, maintain and own public archival and documentary records (Archival Records Act, 2012 with further additions, Article 17).

The creators of public archival and documentary records have the rights and obligations to provide conditions for unhindered functioning of the office and archival practices. The records creator has the responsibility to store the selected, processed and registered archival records from every year since its establishment into archival boxes, which are divided according to organizational units, archival signs, types of acts, and chronology of creation. The records creator is responsible for preservation, safekeeping and protection of the selected archival records from any alienation, damage and destruction (Archival Records Act, 2012 with further additions) until their transfer to the Archives of jurisdiction, under the condition and within the terms determined by the law. That implies that the State Archives receives public archival records for permanent maintenance under its jurisdiction.

The transfer of conventional public archival records from the records creator to the State Archives is performed by a commission and a minute. The records are transferred in their original, complete, selected and processed condition, with an accompanying registry and description of the records placed in archival boxes, after the condition of the archival records and the pertaining registry had been inspected, in the manner and terms determined in an agreement between the

records creator and the State Archives (Archival Records Act, 2012 with further additions, Article 26).

The term for transferring the public conventional and unconventional archival records cannot exceed 20 years since their creation (Archival Records Act, 2012 with further additions, Article 29).

The accompanying minute of the transferred archival records shall contain the following elements (Regulation on Office and Archival Practice, 2014):

- name of records creator;
- border years of the archival records;
- date and place of submitting;
- summary of the archival records;
- quantity of archival records (archival boxes and books);
- physical condition of the archival records;
- terms, manner and conditions for using the archival records; and
- comment on the completeness of the handed archival records (Guideline on the Manner and Technique for Handling the Documentary Material and Archival Material in Office and Archival Practice, 2014, Article 32).

In the process of transfer of archival records, it is not unusual to receive records only for some of the organizational units during a certain period, which in our opinion damages the completeness of the documentation and the continuity of the creator's activities.

When several organizational units or the complete records are received, the first box shall always contain the acts with the first archival sign (for example, the 01 - Establishment, organization and development, shall begin with 0101 - acts on establishment, registration, changes of the statute, organization, integration, transformation, etc.), followed by the next archival sign, notwithstanding the number of boxes needed depending on the quantity of archival records at the disposal of the records creators, according to types of acts from all the organizational units.

Each of the archival boxes is accompanied by a card with a short description of the documents, with the following elements:

- Name and seat of records creator

- Contents (name) of documents in box;
- Border years of documents; and
- Box No.

The card is inserted in the appropriate slot of the corresponding archival box.

In addition to the archival boxes, the archival records can also be enumerated in books (registries, logbooks, registration books, registries), which are designed and filled out according to appropriate forms.

The contents of the archival records enumerated in archival boxes and the public archival records is available for use 20 years after its creation. It can be made available for use before the expiration of the 20 years term since its creation if it is intended for the public, or at the creator's discretion (Archival Records Act, 2012 with further additions, Article 43).

The archival records can be transferred outside the determined terms if the archival records creator has suspended its activities. In that case, the records in their original, complete, selected, processed and registered condition are transferred to the creator who assumes its rights and obligations. If the creator has no legal successor, it shall transfer the public archival and documentary records (with unexpired term for maintenance) to the State Archives in their selected, processed and registered condition (Archival Records Act, 2012 with further additions, Article 26).

TRANSFER OF PRIVATE ARCHIVAL RECORDS

The private archival and documentary records are those records created in the work of the private legal and physical entities, which perform activity, provide service or are independent professionals, are owned by the private, legal and physical entities which perform the activity, provide the service or are the independent professional. The creators of private archival and documentary records are responsible for permanent maintenance of the archival records (Archival Records Act, 2012 with further additions, Article 32).

The records creator can donate, sell and store the private archival records to a third party. The State Archives has priority to acquire the private archival records. If the records creator intends to transfer the archival records, it must offer the records to

the State Archives first, and the offer shall state the conditions and price of the sell. The State Archives shall acquire the private archival records in a sell, purchase and for maintenance, if it determines that they are of interest for the Republic.

The use of the private archival records stored in the State Archives is regulated by the provisions for use of public archival records, if not otherwise foreseen by the legislation or other regulations, or by the Agreement on Transfer of Archival Records to the State Archives. In the case when the creator of private archival records has ceased its activities, it shall transfer the records to its legal successor, and when there is no successor, it shall transfer it to the State Archives within 15 days.

The employees of the records creators and the State Archives are not allowed to collect public archival and documentary records for themselves or others (Archival Records Act, 2012 with further additions, Article 29).

TRANSFER OF ARCHIVAL RECORDS ON OTHER BASES (RESEARCH, EXCHANGE, BANKRUPTCY)

Besides from the public and private records creators, the Archives also receives archival records through research and exchange. The Archives can enrich some of the archival funds and collections through research in the state and abroad (Archival Records Act, 2012 with further additions, Article 39).

The researcher who was funded by the budget of the Republic of Macedonia shall be obliged to transfer the researched and recorded archives within 30 days to the State Archives with a report which also includes the copy of the order of the recorded archives (Archival Records Act, 2012 with further additions, Article 40).

The State Archives, with an approval of the Government of RNM, can also exchange and surrender the archival records with/to corresponding institutions and organization in the country and abroad (Archival Records Act, 2012 with further additions, Article 41).

Regarding the transfer of documentation (archival records) and documentary records with prolonged terms of use mostly from the business activities of organizations in bankruptcy and insolvency, with the passing of the Archival Records Act from 2012 the future transfer becomes debatable, because Article 69 of the transitional and final provisions of the same Act clearly states:

On the date of entering into force, this law shall annul the Archival Records Act (90, 95 and 2008) and the wording: “The archival records in its original, complete, and arranged state with a registry and description, as well as the documentary records with prolonged terms of use: payrolls, EVT-2 cards, M-4 forms and registration and deregistration forms of employees, to be transferred in the State Archives of RM” from article 200, paragraph 5, item 2 from the Insolvency Act (2006 with further additions).

The passing of the Archival Records Act does not provide an opportunity to solve this burning problem, and does not offer an appropriate solution. The State Archives was unburdened by the parties, but failed to answer what will happen with this documentation.

TRANSFER OF ARCHIVAL RECORDS WITH PROLONGED TERMS OF USE

The transferred archival records consist of documents which, depending on their contents, have prolonged terms of use (these types of documents are listed in Article 43 and Article 44 of the Archival Records Act, 2012) of 50 years, 70 years and 100 years since their creation, i.e. 20 years after the death of the individual or 100 years after their birth.

The archival records with prolonged terms of use can be made available for use for official and other purposes before the expiration of the determined term, which shall be decided by the Government of RNM at a request of the records creators, under conditions which guarantee protection of the public interest, protection of private interests, i.e. the rights and interests of third parties.

In the minute for receiving these archival records to the State Archives, the documents with prolonged terms of use are enumerated. The list of documents with prolonged terms of use is an integral part of the minute.

This list contains:

- ordinal number of the documents in the registry (description and inventory), i.e. the complete signature of the documents;
- article of the Archival Records Act determining the criteria for prolonged terms of use of the archival records, which are the basis for proposing the prolonged term of use; and

- date when the documents become available for use.

When the archival records with prolonged terms of use are transferred, the State Archives shall evaluate these documents and, with an approval of the records creator, shall reduce or reject the terms. If the terms are reduced or rejected, the records creator shall state them again.

If the State Archives during the transfer has determined that some of the documents lack prolonged terms of use, it shall notify the records creator who shall specify and state the prolonged terms of use.

The denomination of documents with prolonged terms of use is made on a paper envelope of the documents, which has an applied and filled out stamp with the sign - “prolonged term of use” (PTU) in its right-hand corner.

This stamp (PTU) shall contain the following elements:

- PTU abbreviation in the upper line
- article of the Archival Records Act used as basis for determining the prolonged term of use of the document
- date when the document or the item shall become available for use
- signature of the officer responsible for its labeling.

The labeling of the document with prolonged terms of use of the records creators shall be performed during the preparation of the document, the selection of the archival from the documentary records, at the registration of the archival records, when the PTU abbreviation and the date and year when the document becomes available for use and the archival records is handed to the State Archives is entered in the description and inventory in the remark field.

The documents with prolonged terms of use are labeled by applying and filling out the stamp PTU - Annex No. 2 from the Guideline. This stamp contains the PTU abbreviation and the date when the document shall become available for use (Guideline for the manner of marking the documents with prolonged terms of use, 2013).

SEVERAL FINAL CONCLUSIONS ABOUT THE TRANSFER OF ARCHIVAL RECORDS

During the several decades long archival practice in the Republic of Macedonia, several legislative and bylaw acts have been passed with the aim of improving

the relationship of the individuals and the institutions in the preservation, maintenance, transfer and use of archival records.

One of the competences of the State Archives of RNM, in compliance with Article 36 of the Archival Records Act, is to receive public archival records for maintenance, acquisition of private archival records by donations, purchase and maintenance if it evaluates that they are significant for the Republic, and it also acquires archival records that are of interest for the Republic and kept abroad.

For the realization of some of the Archives competences regarding the activities outside the archives, i.e. the transfer of public and private archival records and many other obligations arising from the legislative and bylaw acts, which are applicable in the office and archival practice, the competence falls to the employees of the Sector for Inspection Supervision, expert supervision and help of the records creators (State Archives of the Republic of North Macedonia, 2020).

The applicable regulations should be a compulsory for all the records creators, but also for the Archives. It is their duty to correctly apply the normative acts in all segments of the office and archival practice.

It is necessary to jointly (the records creators and the archives) eliminate any inconsequence in practicing of the regulations which have certain influence on the failure to transfer the archival records within the terms determined by the Archival Records Act.

One of the reasons for the lack of intensity in receiving the archival records might be the lack of appropriate space. The insufficient space presents a great obstacle for the Archives in the execution of their legal obligation to receive the arranged and registered archival records not older than 20 years. The inappropriate storage conditions at the records creators, and the untimely transfer of the archival records by the records creators to the competent archives have an adverse influence on the preservation and use of the archival records.

Off course, the transfer of documentary records with prolonged terms of maintenance from the employment relations has its share and influence.

During the past period most of the depositories in the buildings of the State Archives have been filled. Notwithstanding, it is a fact that an extensive documentation has been received, and made available for use to all the users, legal and physical entities.

The respect of the legislative and bylaw acts which regulate this important segment in the work of the records creators of the public and documentary records, but also of the private legal and physical entities which perform activity, provide services or are independent professionals is a basis for lawful and controlled management of the documents, and is a precondition for impartial and objective informing of the public regarding the functioning of the society as a whole.

The records creators and the State Archives should be jointly invested, in compliance with the applicable regulations, in the transfer of the archival records without any illusion that everything that should have been transferred to the records creators has been received by the Archives, because we should have in mind that the Archives are the place, the premises and the building, i.e. the depository where the archival wealth of significance for any people and state is kept.

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Summary

The relationship between the State Archives of North Macedonia and the creators of archival records, both public and private, plays a vital role in the preservation of the nation's documentary heritage. These interactions ensure that records, whether generated by public institutions or private individuals, are systematically transferred, preserved, and made accessible for future generations. This collaborative approach allows the archives to safeguard materials of historical, cultural, and administrative importance, which are crucial for understanding the nation's past and informing its future.

The transfer of public records is a structured process, governed by a legal framework that mandates the preservation of documents produced by government bodies and public institutions. These records are essential not only for documenting the functioning of the state but also for providing transparency and accountability. The process of transferring public records begins once they are no longer needed for day-to-day operations. At this point, public institutions are required to organize, catalog, and prepare the records for transfer to the State Archives. This system ensures that critical government records are preserved in a systematic manner and are available for research, legal purposes, or public interest.

On the other hand, private archival records, such as those generated by individuals, families, businesses, or organizations are not subject to the same mandatory transfer laws. Nevertheless, the State Archives encourages the voluntary transfer of private records, recognizing their historical, cultural, and societal value. Private archival materials offer unique perspectives and personal accounts of historical events, societal changes, and cultural developments, complementing the official government records. The transfer of these materials is typically handled through donation or deposit agreements, where private individuals or entities entrust their records to the archives while often retaining certain rights over their use. Before accepting private records, the State Archives carefully evaluates their historical significance and relevance to ensure that they contribute meaningfully to the national collection. The collaboration between the creators of archival records and the State Archives ensures that North Macedonia's documentary heritage is protected, accessible, and valuable for research, education, and public knowledge.

Typology: 1.04 Professional Article

Svetlana Usprcova

¹THE STATE ARCHIVES OF THE REPUBLIC OF NORTH MACEDONIA (FOUNDATION, ORGANIZATION AND MAIN ACTIVITIES)

Abstract

Purpose: *The purpose of this article is to inform about the importance of the State Archives of the Republic of North Macedonia as a National Archives, the development of the archival legislation and the role of each sector at the Archives.*

Method: *Presentation of the significance of the State Archives of the Republic of North Macedonia in the processes of locating, collecting, protecting and making available the archival materials important for the history of the Macedonian people and the Macedonian State.*

Results: *Informing the wider professional public about the state and organizational setup of the State Archives of the Republic of North Macedonia and creating opportunities for its advancement and connection with other archival institutions.*

Conclusions/finding: *The State Archives of the Republic of North Macedonia is a significant historical-scientific and cultural institution. The State Archives, as an institution responsible for archival activity, covers all segments of archival working, from research, acquisition, protection, arrangement and processing, to the publication of archival material and inspection supervision and international cooperation, as an important moment in the process of researching documents about the history of Macedonia abroad and in the process of exchanging experiences.*

Keywords: *Archives, archival material, archival legislation, education of archivists, research.*

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ARCHIVI DI STATO DELLA REPUBBLICA DI MACEDONIA DEL NORD (FONDAZIONE, ORGANIZZAZIONE E PRINCIPALI ATTIVITÀ)

Abstract

Scopo: *Lo scopo di questo articolo è informare sull'importanza degli Archivi di Stato della Repubblica di Macedonia del Nord come archivi nazionali, sullo sviluppo della legislazione archivistica e sul ruolo di ciascun settore negli archivi.*

Metodo: *Presentazione del significato degli Archivi di Stato della Repubblica di Macedonia del Nord nei processi di individuazione, raccolta, protezione e messa a disposizione dei materiali archivistici importanti per la storia del popolo macedone e dello Stato macedone.*

Risultati: *Informare il più ampio pubblico professionale sullo stato e sull'assetto organizzativo degli Archivi di Stato della Repubblica di Macedonia del Nord e creare opportunità per il suo avanzamento e collegamento con altre istituzioni archivistiche.*

Conclusioni: *Gli Archivi di Stato della Repubblica di Macedonia del Nord sono un'importante istituzione storico-scientifica e culturale. L'Archivio di Stato, in quanto istituzione responsabile dell'attività archivistica, copre tutti i segmenti del lavoro archivistico, dalla ricerca, acquisizione, protezione, sistemazione ed elaborazione, alla pubblicazione del materiale archivistico, alla supervisione ispettiva e alla cooperazione internazionale, come momento importante nel processo di ricerca di documenti sulla storia della Macedonia all'estero e nel processo di scambio di esperienze.*

Parole chiave: *Archivi, materiale archivistico, legislazione archivistica, formazione degli archivisti, ricerca.*

DRŽAVNI ARHIV REPUBLIKE SEVERNE MAKEDONIJE (USTANOVITEV, ORGANIZACIJA I GLAVNE DEJAVNOSTI)

Izvleček

Namen: *Namen tega članka je podati informacije o pomenu Državnega arhiva Republike Severne Makedonije kot nacionalnega arhiva, razvoju arhivske zakonodaje in vlogi posameznih sektorjev v arhivu.*

Metoda: *Predstavitev pomena Državnega arhiva Republike Severne Makedonije v procesih lociranja, zbiranja, zaščite in dajanja na voljo arhivskega gradiva, pomembnega za zgodovino makedonskega naroda in makedonske države.*

Rezultati: *Seznanjanje širše strokovne javnosti s stanjem in organizacijsko ureditvijo Državnega arhiva Republike Severne Makedonije ter ustvarjanje možnosti za njegov napredek in povezovanje z drugimi arhivi.*

Sklepi/ugotovitve: *Državni arhiv Republike Severne Makedonije je pomembna zgodovinsko-znanstvena in kulturna ustanova. Državni arhiv kot institucija, pristojna za arhivsko dejavnost, pokriva vse segmente arhivskega dela, od raziskovanja, pridobivanja, varovanja, urejanja in obdelave do objavljanja arhivskega gradiva ter inšpekcijskega nadzora in mednarodnega sodelovanja, kot pomembnega trenutka v procesu raziskovanja dokumentov o zgodovini Makedonije v tujini in v procesu izmenjave izkušenj.*

Ključne besede: *arhivi, arhivsko gradivo, arhivska zakonodaja, izobraževanje arhivistov, raziskovanje.*

The State Archives of the Republic of North Macedonia is a very important historical, scientific and cultural institution that has been developing in the past 73 years as a significant foundation of the history, the culture, the tradition and everything that characterizes the Macedonian national identity. It is a protector of the past and the present, with a multitude of documents, writings and other historical materials, which are irrefutable evidence of our existence.

Despite the fact that archival activities can be noticed much earlier, after the adoption of the General Law on State Archives of Yugoslavia in 1950, the National Assembly of the People's Republic of Macedonia on 6 January 1951 adopted the Law on State Archives, which laid down the foundation of the Archives of Macedonia (today State Archives of the Republic of North Macedonia).

Immediately after its establishment, the State Archives started to establish a network of archival institutions throughout the state. Initially, they had functioned as archival centers at the National Museums, and later grew into independent institutions. In the period from 1953 to 1960, nine regional archives were established and started operating, and with the Law on Archival Material in 1990 they became part of the Archives of Macedonia as regional units and they did not hold the status of legal entities anymore.

The establishment of the State Archives presupposed the solution of a series of complex and essential problems related to the archival activity, that meant solving the spatial problem, internal organization, training of new archival workers, who for the first time specialized in certain segments of the work of the Archives and who over the time assigned to special departments.

In 1969, the new specially designed building was unveiled, and the Central part of the State Archives stayed there until December 2013, when the Government of the Republic of Macedonia adopted a decision to move the Archives in a new building in the center of the town.

The process of building the modern archival legislation went simultaneously with the independence of the Republic of Macedonia. In 1990, the Law on Archive Material was adopted, that was amended in 1995. In accordance with the Law the status of the archival material was improved and the holders were obliged to regularly select and register the archival material and to hand it over to the Archives in such a condition. The general deadlines for handing over the material and its

availability are 20 years after its creation.

Based on the Law, in the period 1996–2005. several decrees and instructions have been adopted, which regulate the office and archive work of the holders; preservation of the material in a state of war and emergency; extended deadlines for availability and use of the material; the methodology of the professional work in the organizational units of the Archives, etc.

Today, the State Archives of the Republic of North Macedonia realizes its jurisdiction in accordance with the legislation, i.e. in compliance with the Law on Archive Material (Official Journal of RM No. 95/2012, 41/2014, 72/2015, 148/2015, 169/2015, 53/2016), but also on the basis of by-law acts, internal by-law acts and international standards and norms.

The State Archives of the Republic of Macedonia has the status of an administrative organization within the state administration of the Republic of North Macedonia. It is directly connected to the Government along a vertical line and is directly responsible to it.

The activities of the State Archives include: collection, recording, storage, processing, protection, preservation, research and publication of archival material.

The central office of the State Archives has jurisdiction over the creators and holders of archival material of national rank, while the regional departments have local jurisdiction.

The State Archives passed a Policy of Quality on 20.11.2019, that is a vision of strategic goals, i.e. the State Archives aim for strengthening its expert capacities in preserving the cultural heritage, efficient digitalization, implementation of modern communication technologies, etc. As a result of this the State Archives is a recipient of the certificate which confirms the application and future advancement of an efficient quality management system ISO 9001:2015. The Quality Policy in its original version.

In the last years, the State Archives of the Republic of North Macedonia has been intensively working on the realization of the process of digitalization of the archival materials, in which direction it is trying to fully implement the computerization of the Archives. The State Archives has been actively involved in the electronic DMS system since January 1, 2020, using the electronic register, the

general moving documents in the institution and managing business processes, which modernized the office and archival work in the State Archives. Namely, in 2019 the Ministry of Information Society and Administration has launched the project for Modernization of the Electronic Document Management System (DMS). It includes 20 state institutions at the highest level, which are integrated with the e-Government system.

According to the 2023 Annual Report, the following material has been scanned in the past year: 350 archival boxes, with 55,000 individual documents (regardless of the number of pages), 42 microfilms with 11,000 recordings and 500 books.

EDUCATION OF ARCHIVISTS

At the beginning of the existence of the organized archival service in Macedonia, there were no trained archival professionals. Archivists were mainly historians and linguists by background.

The first forms of professional training of the staff were the organized archival courses and seminars. In the period between 1950 and 1952, four archivists from Macedonia had completed courses in Dubrovnik and Belgrade. In 1955/1956, in Skopje, six month seminar was organized for assistant archivists.

Later the professional upgrading of archival staff has been organized through seminars and expert consultations.

In the 80's, in the framework of the vocational secondary level education, major in culture was introduced, including the subject titled Archival Science.

In the framework of the higher education in Macedonia, the archive science was represented only by one subject - Auxiliary Historical Science at the Department of History under the Faculty of Philosophy in Skopje.

According to the Law on Archive Activity, in the period 1973–1990, the archivists acquired higher expert titles - Senior Archivist and Counseling Archivist, based on expert works and recognized results from their work. These titles were intended to serve the promotion of archival profession and activity. However, the issue of expert titles lost its prominence with the integration of the Archives of Macedonia in the state administration (1978), and especially after 1991, as of when the employees of the Archives acquire the same titles as civil servants.

The State Archives also builds the capacity of its staff through specialized study visits to foreign archives and schools, where they acquire specialized knowledge in archive records research and publication.

The Faculty of Philosophy in Skopje, at the State University “St. Cyril and Methodius”, at its History Department, upon the initiative raised by the State Archives, established studies about History with Archive Science as major in 2000, as well as post graduate studies as of 2004, but since 2023 there is no master degree and doctoral studies.

The Faculty of History and Archivistics includes the following subjects and exams: auxiliary historical sciences, introduction to the archival science, archival legislation, history of the archives, office management, sociology, ancient letters and sources, arrangement and description of archival material, valuation of archival material, archival standards, history of the institutions, digital archives, use and presentation of archival material, diplomatic history, protection of the archival material, history of the Macedonian contemporary state and similar.

The archivist personnel have noted significant growth and development in the course of the past 73 years. The State Archives of the People’s Republic of Macedonia started its activity with only two archivists in 1951. Today the number of the employees at the State Archives of the Republic of North Macedonia is 238.

ORGANIZATIONAL AND FUNCTIONAL SETTING

The State Archive of the Republic of North Macedonia draws its own organizational-functional set-up according to the nature of the works and functions that are standard and characteristic of a modern Archives. These are the following functions:

- management and administration of the Archive;
- performing inspection supervision and providing expert assistance in the protection of the archival material that occurs with the holders;
- protection of the archival material in the Archive;
- arranging and processing the archive funds and material in the Archive;
- organizing a service for information, availability and use of archival material in a specialized reading room;

- research of archival material in the country and abroad;
- publishing archival material and scientific-informative means;
- presentation and popularization of archival material;
- building a unique information system of DARM;
- organizing a general service for legal, personnel, financial, office-archive and security affairs.

Hence, the organizational set-up of the State Archives of the Republic of North Macedonia arises from the grouping of the above-mentioned functions and activities according to its functional kinship and connection.

The State Archives has a functional organizational structure which serves as a basis for the activities and the performance of ongoing tasks according to its competences arising from the Archives Records Act and there are 7 sectors with 27 departments.

According to the organizational structure, the State Archives of the Republic of North Macedonia has the following sectors:

1. Department for arrangement and processing of archival material;
2. Department for inspection supervision, professional supervision and assistance to owners;
3. Department for protection of archival material in the State Archive;
4. Department for research, international and domestic cooperation and publication of archival material;
5. Department for information technology and digitization of archival material;
6. Department for general affairs and
7. Department of Financial Affairs.

FUNDS AND COLLECTIONS

The State Archives in Macedonia has a total of 7,769 fonds, 68369 archival books, 382 collections or 113087 archival boxes. There are 11.208,450 images on micro-film and around 2 millions of scanned archival material.

According to the last information there are 13.427 linear meters of archival material, around 14 km.

These figures show a continuous increase of archival material stored in the depots, as well as materials taken from state institutions and other legal and natural persons.

The funds at the Archives are classified in the following groups:

A. Archives funds of state bodies, institutions, associations, organizations and other institutions:

1. Administration and public services;
2. Judiciary;
3. Military units, institutions and organizations;
4. Educational, cultural and scientific organizations;
5. Social and health institutions;
6. Economy and banking,
7. Social-political organizations, political parties, companies and associations;
8. Religious organizations;
9. Other

B. Family and personal funds.

The oldest document kept in the Archives is the Gospel of St. Luke, written in Greek, on parchment, from the 12th century.

PROTECTION OF ARCHIVAL MATERIAL IN THE ARCHIVES

A very important activity at the Archives is done at the Department for protection of archival material - Depot, that works on the receipt of archival material which is done by: taking over from the holders, redemption, gift, deposit and archival research in archives abroad.

The archival material from the depot is issued for: processing and production of information aids, technical-technological protection (microfilming, digitization conservation and restoration and bookbinding), use, exhibitions, etc.

The protection of the archival material begins with the reception in the State Archives, where after the undertaking protective measures are performed: de-dusting, disinfection, microfilming, digitalization, conservation and restoration.

PRESERVATION OF ARCHIVAL MATERIAL AT THE HOLDERS

One of the key obligations of the State Archives is regular monitoring of the condition of the archival material at the holders or creators. These tasks are realized by the Archives through the Sector for Inspection and Preservation of Archival Material at the Holders and Arranging and Processing the Archive Materials.

The Department for protection of the archival material with the holders keeps records and continuous monitoring of the creators and holders of the archival material. Holders are classified into two categories - priority and non-priority and a file is created for each holder separately.

Visits to the holders and professional-methodological assistance consist of: professional assistance in making plans and lists, archival signs of office work, selection, recording and receipt of material, etc. Minutes of the visits are prepared for each visit, by ascertaining the conditions and measures and deadlines for elimination of ascertained irregularities.

The State Archives carries out inspection and professional supervision over the office and archival work of more than 3000 priority holders and more than 5000 non-priority holders and produces scientific and information resources (inventories, registries, guides, etc.).

ARRANGEMENT AND PROCESSING OF ARCHIVAL MATERIAL

In the Department for Arrangement and processing of archival material due to the unique methodological approach in arranging, recording and processing the archival material, general and special professional-methodological instructions for work are used. The general guidelines regulate the methodology of certain phases and processes in the work, and the special professional-methodological guidelines regulate the methodology of arranging-processing of individual funds or collections, or group of funds-collections, the manner of recording and the type of scientific information means to be made.

The process of arranging and processing the archive funds takes place in stages. The arrangement of the archival material is carried out on all funds and collections that have been received in a disordered and unrecorded condition.

RESEARCH AND USE OF ARCHIVAL MATERIAL

In order to supplement the archival funds research is carried out to discover, record and supply documents that are in private ownership or in various archives, libraries and other institutions abroad.

Special attention is paid to the conclusion of bilateral agreements for cooperation with the relevant archival services in countries where there is interest in mutual research. So far, the State Archives of Macedonia has concluded agreements with the archival centers in Albania, Austria, Bulgaria, Bosnia and Herzegovina, Croatia, Italy, Montenegro, Serbia, Slovenia, Sweden, Turkey, Poland, and others.

The use of the archival material in the State Archives is regulated by the Law on Archives Material (2012 with further additions) and other acts of the Archives, as well as by the deadlines and conditions determined between the holders of the material and the State Archives upon its receipt.

The archival material can be used, if the funds and collections that are of interest to the users, are in an arranged or archived state. In principle, copies of the material (xerox copies or microfilms) are used. The State Archives of Macedonia has dedicated rooms - reading rooms for the use of the material in all of its buildings.

Based on the authorization from the Law on Archive Material, the Director of the State Archive of the Republic of Northern Macedonia adopts Rulebook on the general and special conditions for the use of archival material in the Archive.

The archival material is available for use for state, scientific and other purposes under equal conditions.

Foreign citizens can use the archival material in accordance with the Law, the Rulebook and the Rulebook for stay of foreigners in the State Archives.

The Rulebook confirms the general legal deadline for using the archive material (20 years after its creation), i.e. the agreed deadlines between the holder and the Archives, as well as the longer deadlines for use prescribed by the Government of the Republic of North Macedonia. If the holder who submitted his/her own material to the Archives has not determined the deadlines, the manner and the conditions for its use, it is determined by the Archives.

The Archives will not allow the use of archival material if its use is not in accordance with existing regulations, if it would reveal a state or official secret or would violate

the personal interests and rights of citizens. The use of the material can be postponed according to the criteria for longer terms of use, prescribed by the Government.

The original archival material and certain documents of special historical and cultural significance are not given for use in their original form, except in some cases, when its use is required by state, scientific and cultural institutions (for court expertise, expertise, etc.).

The State Archives Library has about 11,000 editions, of which 881 are rare books. There are 35 old slavic and church manuscripts, created in the period from XIII to XX century.

PUBLISHING ACTIVITY

Publishing of archival material and scientific-information means is an important function of the State Archives of Macedonia. The publication of documents is a logical end to the previous archival work in the Archives. This allows the documents to live a new life and benefit a wide range of users. Based on the published documents, historiographical and other papers with greater factual and historical value are prepared. In this way the archival material is better protected (the editions are used, not the original material).

The State Archives of the Republic of North Macedonia for a long time was oriented towards publishing archival material that is important for the history of the Macedonian people and Macedonia and for that purpose undertook extensive archival research abroad. This seeks to complete the fund gaps. The published documents shed additional light on some topics, events and personalities that are important for Macedonian history.

The collections of documents are published in Macedonian translation (if written in foreign languages) or with transcription or facsimiles, and with a short content of the document (register), displayed according to the chronological principle, with an appropriate scientific apparatus (footnotes, etc.) and with indexes for personal and geographical names.

The State Archives started issuing documents in 1963. As a result of the intensive and continuous publishing activity, the Archives has published several editions and separate editions that are contained in the Catalog of Publications of the State Archives of the Republic of Northern Macedonia.

In 2016 The State Archives of the Republic of Macedonia has published a Macedonian translation of the international standards for archival work prepared by the International Archive Council.

INTERNATIONAL COOPERATION AND RESEARCH

In September 1992 in Montreal - Canada the State Archive of the Republic of Macedonia was admitted to the International Council on Archives (ICA), as a member of category A.

The State Archives of the Republic of North Macedonia since 2008 has a very close cooperation with the Institute of Archival Science in Trieste and Maribor and with the Forum of Slavic Cultures (FSC).

On December 6, 2010, the State Archives of the Republic of North Macedonia became a member of ICARUS (International Center for Archival Research), based in Vienna, Austria.

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Summary

Through all the past years, the constant growth of the State Archives is obvious, which acquires its European character by accepting the European principles and regulations related to archiving and which are interested in the new Law on Archival Activity, as well as by implementing the process of digitization of historical documents and materials.

It is especially important for the State Archives to be modernized as much as possible and to be open to researchers, scientists, students and all those who are

interested in history. With the digitalization and publishing, in practice, it not only provides protection of archival material and historical documents, but also makes them more accessible to all.

The genuine and unabridged representation of a country, of its history, culture and tradition is possible only on the basis of the existence of national archives and as long as they endure as places of collective, public, social memory, the feeling of affiliation, security and national consciousness will prevail among and in us.

By collecting, storing, arranging the archival material to date, the Archives has managed to achieve its goal which is in line with the European Policy Recommendation for the availability of archival material. It explicitly states that a society can be considered democratic only when it allows all its citizens to get to know their own history through documents.

Typology: 1.04 Professional Article

Stefano Allegrezza¹

BORN DIGITAL AND DIGITIZED ARCHIVES: ADDRESSING THE ISSUE OF FILE FORMAT OBSOLESCENCE

Abstract

Purpose: *The obsolescence of file formats presents a significant challenge for the long-term preservation of digital archives. As technology advances, existing formats become outdated, requiring conversion to newer formats to maintain usability. This issue impacts both born-digital and digitized records, often exacerbated by vendors who promote new formats through planned obsolescence.*

Methods: *To address file format obsolescence, the general approach of file format conversion is proposed. This involves systematically converting digital records from outdated formats to more current ones, based on a review of international standards and guidelines.*

Results: *Despite the recognized importance of file format conversion, its practical implementation remains limited. Barriers include insufficient knowledge and expertise, as well as a lack of clear operational guidelines and recommendations, which impedes widespread adoption.*

Discussion: *This paper aims to bridge these gaps by exploring the rationale behind format conversion (Why), determining appropriate timings for conversion (When), and detailing methodologies (How) supported by standards and best practices. Through this framework, it seeks to advance practical solutions to the ongoing challenge of digital preservation in the face of format obsolescence.*

Keywords: Digital archives, File formats, Migration, Conversion, Obsolescence

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ARCHIVI NATI DIGITALI E DIGITALIZZATI: AFFRONTARE IL PROBLEMA DELL'OBSOLESCENZA DEI FORMATI DI FILE

Abstract

Scopo: *Il problema dell'obsolescenza dei formati elettronici rappresenta una sfida significativa per la conservazione a lungo termine degli archivi digitali. I continui sviluppi tecnologici rendono i formati esistenti obsoleti, e talvolta i fornitori incoraggiano la transizione a nuovi formati attraverso l'obsolescenza programmata. Questo problema interessa sia i documenti nativi digitali sia quelli digitalizzati, ottenuti tramite la conversione di documenti analogici in digitale.*

Metodi: *Per affrontare l'obsolescenza dei formati, viene generalmente proposta la strategia della conversione di formato. Questa prevede il riversamento dei documenti digitali dai formati obsoleti a quelli più attuali, basandosi su una revisione di standard internazionali e linee guida.*

Risultati: *Nonostante l'importanza riconosciuta della conversione di formato, la sua attuazione pratica è ancora limitata. Le barriere principali includono la carenza di conoscenze e competenze adeguate, insieme alla mancanza di linee guida operative e raccomandazioni chiare, ostacolando una più ampia adozione della pratica.*

Discussione: *Il presente articolo si propone di colmare queste lacune esplorando le motivazioni alla base della conversione di formato (Perché), il momento opportuno per attuarla (Quando) e le metodologie da seguire (Come), supportate da standard e buone pratiche. Attraverso questo quadro, mira a promuovere soluzioni pratiche alla sfida continua della conservazione digitale di fronte all'obsolescenza dei formati.*

Parole chiave: *Archivi Digitali, Formati di File, Migrazione, Conversione, Obsolescenza*

DIGITALNO IN DIGITALIZIRANO ARHIVSKO GRADIVO: REŠEVANJE PROBLEMA ZASTARELOSTI FORMATOV DATOTEK

Izvleček

Namen: *Zastarelost formatov datotek predstavlja pomemben izziv za dolgoročno hrambo digitalnih arhivov. Ko tehnologija napreduje, obstoječi formati zastarajo, kar zahteva pretvorbo v novejše formate, da bi ohranili uporabnost. Ta težava vpliva tako na digitalno ustvarjene kot tudi digitalizirane zapise, kar pogosto poslabšajo ponudniki, ki spodbujajo nove formate skozi načrtovano zastarelost.*

Metode: *Za reševanje problema zastarelosti formatov datotek je predlagan splošen pristop pretvorbe formatov datotek. To vključuje sistematično pretvorbo digitalnih zapisov iz zastarelih formatov v novejše, na podlagi pregleda mednarodnih standardov in smernic.*

Rezultati: *Kljub prepoznani pomembnosti pretvorbe formatov datotek je njena praktična izvedba še vedno omejena. Ovire vključujejo pomanjkanje znanja in strokovnosti, pa tudi pomanjkanje jasnih operativnih smernic in priporočil, kar ovira široko sprejetje.*

Razprava: *Namen tega prispevka je zapolniti te vrzeli z raziskovanjem razlogov za pretvorbo formatov (Zakaj), določanjem ustreznih časovnih okvirov za pretvorbo (Kdaj) in podrobno opisovanjem metodologij (Kako), ki jih podpirajo standardi in najboljše prakse. S tem okvirom si prizadeva razviti praktične rešitve za trajno ohranjanje digitalnih vsebin ob soočanju z obsolescenco formatov.*

Ključne besede: *digitalni arhivi, formati datotek, migracija, pretvorba, zastarelost*

1. INTRODUCTION

One of the issues that is beginning to become increasingly pressing in digital archives is the conversion of file formats, which affects both born and digitized digital records. Indeed, a digital archive may include text, still images, audio, video, digital records, or other digital media formats created natively in digital form, but it may also include digital records obtained by a digitization process that transforms records from an analogue format to a digital format. This typically involves scanning physical records, such as paper records or photographs, acquiring audio recordings, or any other non-digital media to create digital copies that can be stored and accessed electronically. For example, scanning a paper record or converting a vinyl record into an MP3 file are instances of digitization. The primary aim is to preserve the content in a more durable and accessible digital form without altering its original structure or function. In both cases, we are dealing with digital records encoded in a certain file format that will sooner or later become obsolete.

More generally, all records, regardless of the category to which they belong (text documents, images, audio and audiovisual records, technical records, etc.) are encoded in the most diverse file formats, which are bound to become obsolete sooner or later (and in some cases already are). As developers identify and incorporate new features, file formats evolve, and new formats (or new versions) are brought to market. Over time, old formats (or their old versions) become obsolete, and new generations of software phase out support for those formats, with the result that it becomes increasingly difficult to view or reproduce records encoded according to obsolete formats. The international archival community has identified the solution to the problem of obsolescence of file formats in the conversion strategy (Digital Preservation Coalition, 2015; Archives of New Zealand, 2024), which involves converting a digital record from a format usable in each hardware and software environment to a format usable in another (usually temporally later) environment while retaining its significant properties. This means that content encoded in older formats is converted to new formats that can be used on more modern computers.

This is a strategy that must be implemented early when changes in hardware and software begin to threaten the usability of digital content. Indeed, it is a critical

process: it does not allow for delays and must be executed as soon as new formats are defined and before the current format becomes obsolete. If one generation of new formats is lost, records may be difficult to recover; if multiple generations are lost, records may even be unrecoverable. Conversion cycles must be relatively frequent, since few digital documents today are able to survive for more than 10 to 15 years without any format reversal. However, it is necessary to keep in mind that each reversion corresponds to a loss of information (even if in some cases minimal) so it is essential to reduce the number of reversions and steer toward formats that are expected to be more “long-lived” over time.

Although the problem of obsolescence of file formats appears less serious today than it might have appeared a few decades ago, thanks also to increased attention to this critical issue, it should not be underestimated. It is important to be able to identify precisely when file formats need to be converted, to choose the most suitable formats for conversion, and to use the correct methodologies from an operational point of view. Currently, many digital archives include digital records acquired in the 1990s and encoded in outdated formats that urgently need to be converted. Unfortunately, it must be acknowledged that despite being theorized as one of the most effective digital preservation strategies, format reversion is still not sufficiently practiced. Even when it is necessary to transfer digital objects from an obsolete format to a more modern one, in many cases the process is delayed due to lack of knowledge and expertise, as well as lack of guidelines and technical-operational recommendations on how to carry out the conversion and what tools to use. This paper aims to address this issue by highlighting the rationale behind format conversion (why), when such conversion should be done (when), and the methodologies for implementing it (how), referring to both international standards and guidelines.

2. SOME TERMINOLOGICAL ISSUES

Before proceeding with the discussion, it is necessary to make a few terminological clarifications. Unfortunately, the terminology used in the scientific literature is not always homogeneous. For example, the ISO 13008 standard, both in its first version, published in 2012, and in the subsequent one, released in 2022, uses the terms ‘conversion’ and ‘migration’. The former (conversion) is defined as

«the process of changing records from one format to another» while the second (migration) is defined as «the process of moving records from one hardware or software configuration to another without changing the format». In essence, the first operation consists in converting a record from one file format to another; the second operation consists in transferring a record from one storage medium to another without altering its file format.

Similar definitions are provided by the ISO 15489-1 standard according to which ‘conversion’ is the «process of changing records from one format to another»; ‘migration’ is the «process of moving records from one hardware or software configuration to another without changing the format». According to ISO 30300 ‘conversion’ is defined as «changing records from one format to another» while ‘migration’ consists of «moving records from one hardware or software configuration to another». Of the same opinion is the dictionary produced within the InterPARES 2 project, which defines ‘conversion’ as «the process of transforming a digital document or other digital object from one format, or format version, to another one» and ‘migration’ as «the process of moving or transferring digital objects from one system to another».

On the contrary, the Society of American Archivists (SAA) Dictionary of archival terminology defines ‘format migration’ as «the practice of converting an electronic file to a different standard file type to circumvent obsolescence», i.e. the operation that the above-mentioned sources call ‘conversion’. A note to the entry specifies that «in format migration, the content is preserved but the bits are not. In past use, the term has been less precise and could have included media migration». The same term, ‘migration’, is also used in the case of transfer from one storage medium to another; in fact, the dictionary defines ‘media migration’ as «the practice of copying records from one physical carrier to another for preservation» but also attributes substantially the same meaning to the term ‘conversion’, defined as the process «to move data to a different format, especially data from an obsolete format to a current format». The dictionary also provides an entry for the term ‘migration’ which is defined as «the process of moving data from one information system or storage medium to another to ensure continued access to the information as the system or medium becomes obsolete or degrades over time».

The ISO 14721 standard deals in depth with the subject of conversion, to which it dedicates the entire Chapter 5 ‘Preservation Perspectives’, in which it outlines the different motivations that may lead to undertake conversion operations and what the various types are. The terminology used is ‘digital migration’, defined as «the transfer of digital information, while intending to preserve it, within the OAIS».

Even the ‘Digital Preservation Handbook’ (DPC, 2015) only uses the term ‘migration’ and distinguishes between ‘format migration’ and ‘storage media migration’; the former is defined as «transfer or transformation (i.e. migration) of data from an obsolete/old format to a new format, possibly using new application systems at each stage to interpret the information». To further clarify the meaning, an example is also given: «moving from one version of a format standard to a later standard is a version of this method; for example, moving from MS Word version 6 (from 1993) to MS Word for Windows 2010».

In summary, some authors do not use the term ‘conversion’ but only the term ‘migration’, applying it from time to time to the migration from one file format to another or from one storage medium to another. It is no coincidence that Fleischhauer and Bradley wrote that in the field of digital preservation, the term migration is used in two ways. Media or system migration refers to moving digital files from obsolete data storage media or an obsolete data management system to new media or a new system. Media migration is sometimes called physical migration and media upgrading. In this form of migration, ‘the bits do not change’. In contrast, format migration, also known as logical migration, refers to the movement of content from one format to another: ‘the bits change’. There are also authors who use the terms ‘migration’ and ‘conversion’ interchangeably, others who give them opposite meanings. All this, unfortunately, contributes to a certain level of confusion in a field that is already quite complex and would have needed much more clarity.

Recently, the ‘Regulation (EU) 2024/1183 of the European Parliament and of the Council of 11 April 2024’ also referred in several places to the concepts of conversion and migration as operations necessary to ensure long-term preservation. In particular, it specifies that «a legal framework for qualified electronic archiving services should be established, inspired by the framework of the other trust services set out in this Regulation. The legal framework for qualified electronic

archiving services should offer trust service providers and users an efficient toolbox that includes functional requirements for the electronic archiving service, as well as clear legal effects when a qualified electronic archiving service is used. Those provisions should apply to electronic data and electronic documents created in electronic form as well as paper documents that have been scanned and digitised. When required, those provisions should permit the preserved electronic data and electronic documents to be ported on different media or formats for the purpose of extending their durability and legibility beyond the technological validity period, while preventing loss and alteration to the extent possible».

Conversion and migration are also mentioned in Article 45j “Requirements for qualified electronic archiving services” where, among the requirements to be met by qualified electronic storage services, is listed that of ensuring that electronic data and documents «are preserved in such a way that they are safeguarded against loss and alteration, except for changes concerning their medium or electronic format»

In the following, we will use the terminology of the ISO 13008 standard and thus speak in general of ‘format conversion’ and ‘media migration’. In addition, we will speak for simplicity’s sake of “digital records” (often abbreviated to “records” so as not to make the discussion more cumbersome) and “digital archives,” but it is understood that the concepts and thoughts that will be set forth can be applied, in general, to all types of digital objects, as much to those in a digital archive as to those in a digital library or any other repository.

3. WHY TO CONVERT FILE FORMATS

When it comes to file format conversion, the first issue to consider is the reason why the conversion is necessary. According to the ISO 13008 standard, there are four reasons.

- obsolescence: records are encoded in obsolete but still readable formats and therefore need to be converted to more modern formats.
- ownership issues: records are encoded according to proprietary file formats and must therefore be converted to non-proprietary formats.
- interoperability reasons: records must be converted to a file format that guarantees perfect interoperability with certain technological infrastructures.

- legal reasons: records must be converted according to explicit legal or regulatory requirements concerning file formats or service providers.

When converting the file format of a record, the result may be one of the following:

a) Replacing one format with another

In this first scenario occurs when conversion is necessary to maintain access to records in the digital archive and ensure that they are fully available and usable over time. For example, this may be due to changes in the software tools used in the digital archive, abandonment of legacy formats at risk of obsolescence, or changes in the standard format used by the digital archive for online publication. To maintain access, file formats need to be converted not only because they age naturally and may become risky, but also for reasons related to technological changes. In other words, a file format may still be current but needs to be converted because the technological environment used to manage the digital archive has changed. If file formats were not converted with a proactive approach, over time one could find oneself unable to access records or use them in the desired manner, or in the need to use special and expensive software in order to regain access. However, when converting file formats, one must beware that the original files could potentially be deleted, which could pose risks in the long run.

b) Creating an additional version in a different file format to meet usability requirements

In this second scenario, rather than converting a record to a new format, additional versions of that record are created in different formats to enable new forms of access and use, such as sharing or publishing information, using information in new ways, and aggregating information from various sources. This occurs, for example, when a document created using a word processing format (such as DOCX) needs to be converted to another format (such as PDF) to be published online. This does not imply that the original format is obsolete, but that it is necessary to have the same document in more than one format to fulfil certain requirements. A typical example is a digital archive containing a series of images obtained because of a digitisation project. Usually, an image is produced in TIFF format at the highest possible quality for preservation purposes ('master' format) and from this a series of images is produced in JPG format, possibly with different resolutions and qualities, for use purposes ('derived' formats); images

may also be produced in GIF format to be used as thumbnails. However, formats should not be multiplied unnecessarily: if a single format satisfies all access needs, it is usually the best solution.

4. WHEN TO CONVERT FILE FORMATS

Once it has been established that it is necessary to convert records from one file format to another, it is necessary to decide when it is appropriate to carry out this conversion. There are basically three methods, which depend largely on the motivations behind the conversion process (but may also depend on the technical environment or other requirements of the preservation system): a) on demand conversion; b) early conversion; c) late conversion. It is important to analyse them in detail.

a) On demand conversion.

With this strategy, conversion is dynamic in that it is carried out 'on demand', whenever a request to do so is received. It is generally performed on a single document at a time but is also applicable to mass (batch) conversions. This strategy can also be used to replace formats, but more often it is used to create additional versions of records in different formats, as required. The advantages are manifold: only one document needs to be archived and not the different versions of that document in the various formats required, thus minimising the need for storage space; it is not necessary to convert a large number of records at once, which could be burdensome for the system and time-consuming; adding new records to the system is simple, as it is not necessary to provide all the required formats in advance; the system can be updated to provide different formats as required, again without having to process all existing records in advance. However, there are also downsides: there is almost no way to guarantee the quality of the converted files; if this strategy is adopted, it is necessary to ensure that the conversion process is sufficiently reliable for one's needs; on-demand conversion may be slow or overly burdensome for systems, depending on the size, complexity and number of conversions, forcing the user to wait too long.

b) Early Conversion

With this strategy, the conversion of records into different formats is performed as soon as possible (but not on demand). Early conversion is a strategy that is

performed not for preservation purposes but for management purposes. In other words, the objective is to convert a set of records into a format that best suits the needs of the digital archive, even if the previous format is not yet obsolete. For example, if the archive manager has decided to use a new format provided by updated software, it is possible to convert all records from the previous format to the new one. This strategy has many advantages. The number of different file formats to be supported is greatly reduced by converting records into a set of standardised formats. This can mean that information is always encoded in the current formats, thus reducing support, maintenance and software licence costs; the risk of document format obsolescence becomes negligible. The user has the opportunity to review the information and guarantee its quality. With frequent conversion, these processes are streamlined and each conversion benefits from previous experience. Of course, there are also disadvantages: the records are converted more frequently and, as the number of conversions increases, both the risk of information loss and the costs associated with the conversion operations increase in parallel ; if the new formats are quite recent, the conversion tools may not be as readily available, may have bugs or may not handle complex or unusual records well, and this too may affect the cost and quality of the conversion process; the new format may not be as widely adopted, so additional formats may need to be created to share records with users who have not yet upgraded, with the consequence that archiving all converted records will require more space than on-demand conversion.

c) Late conversion

With this strategy, it was decided to postpone the conversion until the last useful moment. Of course, the definition of ‘last useful moment’ varies greatly depending on the risk/benefit assessment of the digital archive. This strategy has many advantages: records are converted less frequently, thus minimising the risk of information loss and reducing the costs associated with the conversion operation; if the target format is widely adopted, more conversion tools are likely to be available and these are likely to be able to handle unusual or complex records better, because there has been time to resolve bugs and special cases; some records may have exceeded their retention time and thus be destined for discarding, thus avoiding the need to convert them. There are also disadvantages: in the digital

archive there will be a greater variety of different formats in use and this may increase the support, maintenance and licensing costs of the software, reduce flexibility in the choice of different software and prevent older information from being usable in newer contexts; more file formats may need to be converted at the same time, which complicates the management and quality assurance of the conversion; if it is necessary for the same records to be accessible in several formats, storing all the records in the various formats will require more space than on-demand conversion; finally, the identification of the ‘last useful moment’ may be wrong and one may find that it is now too late and the conversion of some records is no longer economically or technically feasible.

Each of these different strategies (on-demand, early and late conversion) has advantages and disadvantages, with different risks due to the timing of the conversion. There is no one-size-fits-all strategy and only by assessing the needs of the digital archive can the right balance between costs and benefits be determined and the most appropriate strategy implemented.

5. HOW TO CONVERT FILE FORMATS

According to the ISO 13008 standard, the file format conversion process is done by following four basic steps: a) planning, b) testing, c) conversion, and d) validation (see Figure 1). In the following, the characteristics of each stage will be examined.

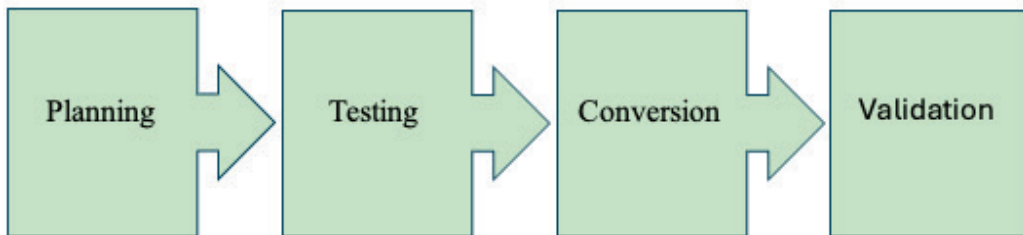


Figure 1. The four key steps of a conversion process

(a) *Planning.* This is the most important step, because the greatest likelihood of a successful conversion process comes from careful and thorough planning. First, the records to be converted need to be assessed to understand what characteristics and features need to be preserved in the conversion process. These requirements may not be immediately obvious, and you will need to work with the

digital archive manager and users to understand whether the records in the formats from which you are migrating have particular characteristics that you want to ensure remain unchanged, and to ensure that all their requirements are met. Some conversion processes only change the file format of the records, but others also change some of their properties. As a rule of thumb, records with a very simple structure (such as those in .txt format) can be expected to pass through the conversion process without significant change, but complex records will almost always undergo some form of modification.

It is important to keep in mind that any conversion process potentially exposes records to the risk of information loss. Therefore, prior to conversion, it is necessary to identify the “significant properties”, i.e. the file format’s properties that must be retained during the conversion process and that must ‘survive’ the conversion without (or with little) change. In this regard, it is important to mention that the research project that has been devoted more than any other to these aspects was InSPECT (Investigating the Significant Properties of Electronic Content Over Time), funded in the United Kingdom by JISC between March 2007 and March 2009 under the “Repositories and Preservation” program². The project aimed to establish a methodology for identifying “significant properties” of various categories of digital records. By “significant properties,” the project initiators mean the characteristics of digital records that must be preserved over time, even following transformation operations. For example, some of these properties are the content of the records, the metadata that contextualizes their production and function, their appearance (e.g., layout, colors, etc.), the purpose for which they were produced, or even their logical structure³. It is important to make sure that the file formats to which records are to be converted are able to support ‘significant properties’ and that the conversion process is able to maintain them during conversion. If the new file format does not support the required features, the choice of that file format would need to be reevaluated. Some less obvious

2 The project was led by the Arts and Humanities Data Service (AHDS) Executive in collaboration with The National Archives. Later, after the AHDS was discontinued in March 2008, it was led by the Centre for e-Research (CeReh) at Kings College London, again in collaboration with The National Archives. Much of the material produced under the project is still available today at <<https://significantproperties.kdl.kcl.ac.uk>>.

3 These significant properties vary depending on the category of digital document: the project focused on four categories of records 1) raster images; 2) e-mails; 3) text documents; and 4) sound documents. For example, in text formats it will be important to consider content, font, etc.; in image formats it will be important to consider resolution, color depth, etc.; in audio formats it will be important to consider sampling rate, sound depth, and so on.

features, usually related to complex or hidden features of the format, must also often be considered. The following is a non-exhaustive list of some of them (The National Archives of United Kingdom, 2011, 18–20).

- *embedded metadata*. Many formats allow various descriptive metadata to be embedded. For example, some formats for textual documents embed metadata to identify the author, date of creation, date of last modification, etc.; some formats for photographs embed metadata indicating camera settings, geographic location at the time the shot was taken, etc.⁴. This is often relevant information, and it is worth considering whether such embedded metadata also needs to be converted and whether conversion tools are capable of transferring it.
- *embedded objects*. Many complex formats allow digital objects to be embedded in various formats. For example, text documents may contain embedded images or spreadsheets; presentations may contain audio and video content. Not all conversion tools can handle all types of embedded objects. Therefore, checks must be made on documents with embedded objects to ensure the quality of the conversion process.
- *scripts and macros*. Some formats may contain code written with programming languages. For example, text documents may include macros to automate common tasks. In general, scripts and macros do not ‘survive’ conversion processes, unless they are conversions from one version of a format to another version of the same format⁵. Therefore, if support for scripts and macros is absolutely necessary, it may be necessary to manually rewrite them into the version intended by the new format.
- *digital signatures*. Some categories of records allow digital signatures to be embedded within them (or to have digital signatures in external systems attached to those records). In format conversion, the binary sequence changes; therefore, after conversion the digital signature will lose its validity and strategies will need to be found to maintain the legal value of the document.

A very important step in the planning phase is the choice of the tool for converting records from one format to another; this is a difficult choice, because

4 This is the case for EXIF metadata in the case of photographs in JPG format or ID3 metadata in the case of sound documents in MP3 format.

5 For example, from the DOCX format of Microsoft Word 2007 to the DOCX format of Microsoft Word 2013.

there are numerous ones, whether proprietary, freeware or open source. However, there is not the same level of ‘coverage’ for all file formats. For popular formats, such as images, several programs are available, but for niche or older formats the choices can be very limited. For formats with poor support, it may be necessary to perform two conversions, using an intermediate file format to bridge the gap between the format to be converted and the desired format⁶. In some cases, it may be necessary to commission ad hoc software to perform the conversion, especially if the file formats are very specific. It is important to assess whether the software can fully convert significant document properties and related metadata, and not just whether it ‘simply’ converts from the source format to the target format.

(b) *Testing.* Once the tools to be used have been identified and before starting the conversion process in its entirety, it is a good idea to carry out a testing phase on a representative sample of the records to verify that their significant properties and metadata are accurately converted and without loss of authenticity, reliability, integrity, and usability. The test requires accurate knowledge of the source and target file formats and hardware or software configuration. The test must ensure not only that an acceptable level of quality is achieved in converting the record, but also that the metadata is converted with the same level of quality; this requires the use of metadata extraction tools to compare the source and target metadata. It may also be necessary to use different metadata extraction tools for source and target formats and convert their results into a common form to facilitate comparison. Finally, it would be desirable to identify metrics to automatically or semi-automatically measure the level of conversion quality and to be able to choose the most valuable software tool⁷.

(c) *Conversion.* Once you have gained a sufficient understanding of the information and environment and selected formats and tools, you are ready to begin the document conversion operation. At this stage it is very important to set the parameters of the conversion software tool correctly (Bajcsy 2010). Some conver-

6 For example, in the case of converting old text documents created in the 1980s using the well known WordStar word processor, one could assume a first conversion from the WordStar format (.WS) to the format of the first versions of Microsoft Word (.DOC) and then a second conversion from the latter to the format introduced with Microsoft Word 2007 (.DOCX).

7 Projects that have addressed quality assurance include AQUA (Automating Quality Assurance), <<https://wiki.opf-labs.org/display/AQuA/Home>>; SPRUCE (Sustainable PReservation Using Community Engagement), <<https://wiki.opf-labs.org/display/SPR/Home>>; SCAPE (Scalable Preservation Environments), <<https://scape-project.eu>>. See also P. Wheatley, B. Middleton, J. Double, People Mashing: Agile Digital Preservation and the AQUA Project, <<https://services.phaidra.univie.ac.at/api/object/o:294255/download>>.

sion tools operate only on the single document; if you want to convert multiple records, you need to write a script to automate the processing of a batch of records or use tools that allow you to operate on entire batches of records. Today there are also many companies that perform conversion of file formats as a service, also offering it through an online interface and ensuring the confidentiality of records sent for conversion.

(d) *Validation.* At the conclusion of the conversion process, an additional validation process (beyond that of the initial test) is required to verify that significant properties and metadata have indeed remained unchanged or whether, on the contrary, losses have occurred. Obviously, manually checking each document can be impractical; therefore, the best solution is to perform a check on a representative sample of converted records, comparing the original document with the converted one. Depending on the type of document, this type of direct comparison can be of various kinds. For example, while images can be visually analyzed, sound objects will require listening to the original and the transferred document to see if there are any differences. Of course, automatic or even artificial intelligence-based comparison tools can be used. Similarly, it is necessary to compare, using appropriate extraction tools, the metadata of the original and the converted document to verify that they too have been converted correctly.

The end users of the information should be involved in this process, as they may detect subtle problems that non-users would not notice.

Even if the original records are intended to be discarded after the preservation process, it is a good idea to keep them for a certain period of time to reduce the risk that significant properties may emerge over time that were not taken into account and thus were lost in the conversion process. This is true even if quality verification processes have shown that the conversion is fully successful. It is not possible to determine a priori how long originals should be retained, as this will depend on the importance of the records, the rationale behind the conversion, the organization's risk tolerance, its confidence in the conversion process, the cost of retaining the originals and maintaining the relationships between them and the converted records, and the balance with the need to reduce the amount of records stored.

6. FINAL CONSIDERATIONS

File format conversion has been theorized as one of the most effective preservation strategies, although we are not currently aware of any digital preservation systems that have already implemented the necessary functionality to initiate conversion operations, at least in the Italian context. In fact, as already highlighted in the Introduction, even when there is a need to convert records from an obsolete format to a more modern one, the operation is often delayed due to a lack of knowledge and expertise, as well to the lack of clear and precise guidelines and recommendations. Unfortunately, the few guidelines and recommendations available to date do not provide concrete and operational guidance on the conversion process (e.g., what software tools to use, what metrics to use to measure information loss and test the accuracy and quality of conversions, etc.). Also of concern is the lack of conversion software tools that have been “certified” by an independent authority or certifying body and that give reliable guarantees on the results that can be obtained and to whom conversion processes can be entrusted. Finally, there are issues of no small concern that need further consideration, such as the loss of “informational” content that could occur because of the repeated conversions that will be necessary over time, or the anticipated need to preserve all versions of documents undergoing conversion that will be produced over time in the various and successive formats. However, since there are already many documents in digital archives that are in obsolete formats and at risk of no longer being readable, it is time to start the first conversion operations.

Highly specialized professionals are needed to govern these processes, and it would be desirable to initiate training courses that can provide the necessary knowledge and skills. In addition, it would be desirable for the digital preservation community to begin to focus on these issues and initiate a collaborative effort to develop guidelines and recommendations.

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Summary

The obsolescence of file formats is a pressing issue in the long-term preservation of digital archives. As technology evolves, many formats become outdated, necessitating conversion to newer ones to ensure continued accessibility. This issue affects both born-digital and digitized records, often exacerbated by vendors' practices of planned obsolescence. This study proposes a systematic approach to address file format obsolescence through file format conversion, guided by international standards and best practices. Despite its importance, the practical application of format conversion remains limited, hindered by gaps in expertise and operational guidelines. This paper addresses these gaps by discussing the necessity (Why), timing (When), and methodologies (How) for format conversion, aiming to provide a practical framework for advancing digital preservation efforts.

The paper examines the challenges posed by file format obsolescence in preserving digital archives, highlighting the need for systematic file format conversion. It identifies barriers to implementation, including a lack of expertise and clear guidelines, and discusses ways to overcome them through international standards. The study aims to provide a practical framework covering the motivations, timing, and methodologies for format conversion to improve digital preservation practices in the face of advancing technology and planned obsolescence.

Typology: 1.02 Review Article

VARIE /MISCELLANEOUS/ RAZNO

Sabina Prelogar¹

FROM USER CUSTOMIZATION TO ARCHIVE INVENTORY TO USER CUSTOMIZATION OF ARCHIVE INVENTORY

Abstract

Purpose: *The paper presents the importance of the field of user adaptation to the archive inventory and the adaptation of the archive inventory to the user, the adaptation of databases for searching through archive material based on the user's knowledge and skills, and taking into account the user's search habits.*

Method/approach: *A study of selected literature and a descriptive method are used. The needs and expectations of the users of the archive material and their use and accessibility to the archive material is described.*

Results: *Focusing on the search habits, needs, wishes and requirements of the beginning user of the archive inventory is essential, because by searching through more demanding inventories, there are no desired results for the basic user, perhaps only for experienced archival professionals. The adaptation will reduce the role of archival advisors to users and increase the availability of material online with accurate inventories. According to Semlič Rajh and Šauperl (2013), as many as 71% of errors occur when creating the address, which significantly complicates or makes search results impossible. There is a huge amount of data on the currently active VAČ database, which is constantly being changed, supplemented and new created, so accuracy is essential when listing archival material.*

Conclusions/findings: *Orientation to the user's search habits will be with appropriate adjustment of the addresses of the census units and also the descriptors, which will find as many hits as possible during the search, thereby reducing the role of archivists who help users. A proposal for more specific investigations is a detailed survey of archive professionals' search habits of users in the current active database Virtualna arhivska čitlnica (VAČ).*

Keywords: *archival material, user, archival workers, public archives, archival inventory*

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DALLA PERSONALIZZAZIONE DELL'UTENTE ALL'INVENTARIO DELL'ARCHIVIO ALLA PERSONALIZZAZIONE DELL'INVENTARIO DELL'ARCHIVIO DELL'UTENTE

Abstract

Scopo: *Il documento presenta l'importanza del campo dell'adattamento dell'utente all'inventario dell'archivio e dell'adattamento dell'inventario dell'archivio all'utente, l'adattamento dei database per la ricerca nel materiale d'archivio in base alle conoscenze e alle competenze dell'utente e tenendo conto delle abitudini di ricerca dell'utente.*

Metodo/approccio: *Vengono utilizzati uno studio della letteratura selezionata e un metodo descrittivo. Vengono descritte le esigenze e le aspettative degli utenti del materiale d'archivio e il loro utilizzo e accessibilità al materiale d'archivio.*

Risultati: *È essenziale concentrarsi sulle abitudini di ricerca, sulle esigenze, sui desideri e sui requisiti dell'utente principiante dell'inventario dell'archivio, perché cercando in inventari più esigenti non ci sono risultati desiderati per l'utente di base, forse solo per i professionisti archivistici esperti. L'adattamento ridurrà il ruolo dei consulenti archivistici per gli utenti e aumenterà la disponibilità del materiale online con inventari accurati. Secondo Semlič Rajh e Šaupperl (2013), ben il 71% degli errori si verifica durante la creazione dell'indirizzo, il che complica notevolmente o rende impossibili i risultati della ricerca. C'è un'enorme quantità di dati sul database VAC attualmente attivo, che viene costantemente modificato, integrato e creato di nuovo, quindi l'accuratezza è essenziale quando si elenca il materiale d'archivio.*

Conclusioni/risultati: *l'orientamento alle abitudini di ricerca dell'utente avverrà con un adeguamento appropriato degli indirizzi delle unità censuarie e anche dei descrittori, che troveranno quanti più risultati possibili durante la ricerca, riducendo così il ruolo degli archivisti che aiutano gli utenti. Una proposta per indagini più specifiche è un'indagine dettagliata delle abitudini di ricerca dei professionisti dell'archivio degli utenti nel database attivo attuale Virtualna arhivska čitlnica (VAC).*

Parole chiave: *materiale d'archivio, utente, archivisti, archivi pubblici, inventario d'archivio*

OD PRILAGAJANJA UPORABNIKA ARHIVSKEMU POPISU K PRILAGAJANJU ARHIVSKEGA POPISA UPORABNIKU

Izvleček

Namen: *V prispevku je predstavljen pomen področja prilagajanja uporabnika arhivskemu popisu in prilagajanje arhivskega popisa uporabniku, prilagoditev podatkovnih zbirk za iskanje po arhivskem gradivu zasnovane znanju in veščinam uporabnika ter upoštevati uporabnikove iskalne navade.*

Metoda/pristop: *Uporabljena je študija izbrane literature in deskriptivna metoda. Opisane so potrebe in pričakovanja uporabnikov arhivskega gradiva ter njihova uporaba in dostopnost do arhivskega gradiva.*

Rezultati: *Usmerjenost na navade iskanja, potrebe, želje in zahteve začetnega uporabnika arhivskega popisa je bistvenega pomena, ker z iskanjem po zahtevnejših popisih ni željenih rezultatov za osnovnega uporabnika, mogoče le za izkušene arhivske strokovne delavce. S prilagoditvijo se bo zmanjšala vloga arhivskih svetovalcev uporabnikom in povečala dostopnost gradiva preko spleta z natančnimi popisi. Kot navajata Semlič Rajh in Šauperl (2013) se v kar 71% pojavljajo napake pri oblikovanju naslova, kar bistveno oteži oziroma onemogoči zadetke iskanja, z razbremenitvijo arhivskih strokovnih delavcev bi lahko pridobili čas za bolj natančne popise. Na trenutno aktivni podatkovni zbirki VAČ je ogromno podatkov, ki se sproti spreminjajo, dopolnjujejo in ustvarjajo novi, zato je bistvena natančnost pri popisu arhivskega gradiva.*

Sklepi/ugotovitve: *Usmerjenost na iskalne navade uporabnika bodo z ustrezno prilagoditvijo naslovov popisnih enot in tudi deskriptorji, ki bodo pri iskanju našli čim več zadetkov s tem pa bo zmanjšana vloga arhivistov, ki so v pomoč uporabnikom. Predlog za konkretnejše preiskave je podrobna raziskava arhivskih strokovnih delavcev navad iskanja uporabnikov po trenutni aktivni podatkovni zbirki Virtualna arhivska čitalnica (VAČ).*

Ključne besede: *arhivsko gradivo, uporabnik, arhivski delavci, javni arhivi, arhivski popis*

1 UVOD

Arhivski popisi so se začeli ustvarjati z namenom za arhivske strokovne delavce in njihove potrebe. Vendar pa se v zadnjem času vse bolj uveljavlja pristop, ki poudarja pomen prilagajanja arhivskih popisov uporabnikom. To pomeni, da se popis ne osredotoča le na strukturo in opis arhivskega gradiva, ampak tudi na to, kako bo uporabnik to gradivo našel in uporabil.

V prispevku bomo preučevali navade uporabnika arhivskega popisa ter iskali rešitve kako približati uporabnika k popisu arhivskega gradiva, da bo imel pri iskanju čim manj težav. Treba je poudariti, da se že tako pojavljajo težave pri napačnih zapisih arhivskega gradiva ter, da bo uporabnik s svojim znanjem lahko iskal arhivsko gradivo tudi po drugih možnostih iskanja ne le po osnovnem iskanju po iskalnikih oziroma iskal pomoč bibliotekarjev ali arhivskih strokovnih delavcev.

Obstaja več načinov za prilagoditev arhivskega popisa uporabniku tako, da se popis strukturira na način, ki je intuitiven za uporabnika se pravi, da se gradivo razvrsti po temah, ki so relevantne za uporabnika, in da se uporabijo jasni in razumljivi opisi. Naslednja prilagoditev arhivskega popisa uporabniku je, da se uporabijo orodja in tehnologije, ki olajšajo iskanje in uporabo gradiva.

Prilagajanje arhivskega popisa uporabniku ima več prednosti lahko omogoča uporabnikom, da lažje najdejo gradivo, ki ga potrebujejo, spodbuja uporabo arhivskega gradiva s strani širšega kroga ljudi ter, pomaga arhivom pri izpolnjevanju njihove vloge ohranjanja in dostopa do zgodovinske dediščine.

2 POTREBE IN PRIČAKOVANJA UPORABNIKOV ARHIVSKEGA GRADIVA

Zajšek (2014, 201) ugotavlja, da po vsem svetu in tudi v Sloveniji ni nič drugače, da se spopadamo z neprestano rastjo količine arhivskega gradiva, medtem ko se manjša število arhivskih strokovnih delavcev, ki brez informacijske podpore težko obvladujejo podatke o hranjenju arhivskega gradiva. Cvelfar (2020, 5) meni, da na podlagi podatkov iz leta 2020 je razvidno, da je bilo v državnem Arhivu Republike Slovenije zaposlenih 68 uslužbencev, za kar 10 manj kot jih je bilo zaposlenih leta 2000.

Zajšek (2014, 202-203) opozarja, da so raziskave pokazale, da večina uporabnikov arhivskega gradiva začne z iskanjem z iskalnikom Google in Wikipedija, po že poznane podatke pa pridejo k arhivistu ali bibliotekarju. Kot uporabnica

arhivskega gradiva sem za predhodna raziskovanja za diplomsko nalogo in ostale seminarske naloge tudi sama do sedaj iskala po omenjenih spletnih brskalnikih ali se po pomoč zatekla k bibliotekarjem. V prihodnje se vsekakor nadejam, da bom z pridobljenimi znanji uspešnejše dostopala do željenih iskanj.

Zajšek (2014, 202) ugotavlja, da uporabniki arhivskega gradiva pričakujejo čim hitrejši dostop do arhivskega gradiva, pri čemer jim ni mar za vedno več arhivskega gradiva in zmanjšano število zaposlenih v arhivih. Arhivi, kljub tem težavam ne smejo zmanjšati svoje usmeritve v organizacijski razvoj in izboljšave, kar je nujno potrebno za vsako organizacijo. Temeljno načelo za kakovostno storitev je usmeritev na uporabnika arhivskega gradiva, saj se z zadovoljstvom uporabnika meri kakovost storitve arhiva. Budna Kodrič (2016, 210) navaja, da so pričakovanja uporabnikov usmerjena tudi v pravilno in natančno informacijo o gradivu, ker njegova pogostejša uporaba težita k določenim pripomočkom za uporabo. Pojavlja se težnja, da se arhivsko gradivo čim bolj natančno in strokovno popiše že pred prevzemom v arhiv vendar delavci na terenu, kljub navodilom dela velikokrat ne opravijo.

3 UPORABA IN DOSTOPNOST ARHIVSKEGA GRADIVA

Semlič Rajh (2016, 74) v svojem delu navaja, da arhivi in popisi niso namenjeni le lastnemu obstoju in arhivistom, temveč se jih izdeluje predvsem, da bodo v uporabo končnim uporabnikom in tudi arhivistom, ki bodo znali zadovoljiti uporabnikove informacijske potrebe glede iskanja arhivskega gradiva. Čeprav arhivsko gradivo dnevno uporablja veliko uporabnikov ni skoraj nobenih uporabniških študij na to temo. Arhivsko gradivo se v današnjem času v veliki meri uporablja na spletnih dostopnih arhivskih podatkovnih zbirkah, na tem področju arhivistom primanjkuje znanj glede uporabe dostopa v elektronski obliki.

Dostop do arhivskega gradiva ureja arhivska zakonodaja:

- Zakon o varstvu arhivskega in dokumentarnega gradiva ter arhivih (ZVDAGA, 2006) v 3. poglavju Uporaba arhivskega gradiva v arhivih 63.-70.člen,
- Uredba o varstvu dokumentarnega in arhivskega gradiva v 12. poglavju Uporaba arhivskega gradiva 70.—86.člen (2017),
- Zakon o arhivskem gradivu, ki vsebuje osebne podatke o zdravljenju pacienta (ZAGOPP, 2016).

V ZVDAGA (2006) je v 63.členu navedeno, da je:

- javno arhivsko gradivo je dostopno vsem na podlagi pisne zahteve za uporabo ali preko objave na spletu dostopno vsem,
- zahteva za uporabo vsebuje: osebno ime in njeno uradno dodeljeno identifikacijsko oznako, namen uporabe gradiva in druge podatke pomembne za dostop,
- lahko se izposoja za razstavne namene,
- arhiv lahko dovoli razmnoževanje arhivskega gradiva,
- uporabnik podpiše izjavo, da: je seznanjen z uporabo glede tajnih in osebnih podatkov, o varovanju podatkov, da je seznanjen s kazenskimi sankcijami ter da je dolžan spoštovati avtorske pravice pri uporabi podatkov.

4 POPISI ARHIVSKEGA GRADIVA

Naloga arhivskih strokovnih delavcev je, da preko spleta predstavijo podatkovne zbirke, na način, ki bodo v skladu z navadami uporabnikov arhivskega gradiva, kljub temu da se s tem zmanjšuje funkcija arhivista kot svetovalca uporabniku. Zato je neizbežno, da je čim več postopkov vnesenih podatkov v podatkovno zbirko standardiziranih, da ne pride do zmede.

Zajšek (2014, 204) navaja, da je potrebno je pripraviti arhivski popis čim bolj uporaben za raziskovalca pri tem je potrebno nameniti ključno pozornost oblikovanju popisnih enot (PE). Naslov PE mora delovati čim bolj samostojno, saj bo le tako uporabnik neglede, če gre za iskanje po celotnem besedilu, deskriptorju, vsebini ali naslovu kot zadetek dobil naslov PE. Semlič Rajh (2016,74) meni, da so se v arhivih začeli ukvarjati z problemi uporabnikov pri iskanju arhivskega gradiva, komaj takrat, ko se je začelo popisovanje arhivskega gradiva v arhivskih podatkovnih zbirkah, ki so uporabnikom dostopne tudi preko spleta. Postalo je pomembno, da se arhivisti ukvarjati z možnostmi poizvedovanja preko spleta po informativnih popisih in pomagali do dostopa arhivskega gradiva.

4.1 SPLOŠNI MEDNARODNI STANDARD ZA ARHIVSKO POPISOVANJE ISAD(G)

Na mednarodnem arhivskem svetu leta 1994 je bil sprejet mednarodni arhivski standard ISAD(g), ki je bil spremenjen z dopolnitvami leta 2000 v ISAD(g)2. Za slovensko arhivsko zakonodajo je standard pomenil velik korak pri vzpostavitvi

enotnega sistema popisovanja arhivskega gradiva slovenske javne arhivske službe (SJAS). V veliki meri je doprinesel k poenotenju metodologije dela pri popisovanju arhivskega gradiva, predvsem pa večjo uporabo različnih elementov popisa in uveljavi popisa v nivoju.

Arhivski standardi določajo smernice, ki naj bi z razvojem informacijskih sistemov omogočali primerljivost arhivskih popisov v enoten mednarodno povezljiv informacijski sistem. S tem bi izboljšali iskanje in izmenjavo informacij o arhivskem gradivu, s tem pa pridobili natančnejša navodila za popisovanje in možnosti za napake. Juričić Čargo (2018,366), navaja, da so bili na mednarodni ravni sprejeti še trije specialni standardi za popisovanje Standard za arhivski zapis o ustvarjalcih arhivskega gradiva (ISAAR/CPF), Standard za opis ustanov, ki hranijo arhivsko gradivo (ISDIAH) in standard za popis funkcij (ISDF).

Novak (2013) v svojem delu navaja mednarodni arhivski standard ISAD(g)2, ki določa nivoje popisovanja kot obvezne elemente popisnih enot, ki določajo opisov arhivskega gradiva v strukturi popisnih enot znotraj celote arhivskega gradiva določenega ustvarjalca. Klasifikacija temelji na klasifikacijski shemi na več nivojih.

Budna Kodrič (2016, 217) navaja, da v današnjih časih lahko že z navadnimi računalniškimi programi arhivski strokovni delavci vzpostavijo arhivske popise za različne potrebe uporabnikov, s katerimi lahko ustvarijo virtualne popisne enote kot so podfond, serija, podserija, dosje ali dokument in po svoji volji gradivo razvrstijo glede na popisne enote. Arhivski fond se uredi v računalniškem programu, fizično pa naknadno, če je potrebno.

4.2 PRETEKLE IZKUŠNJE POPISOVANJA ARHIVSKEGA GRADIVA

Budna Korič (2016, 210) navaja svoje izkušnje o ugotovljenih napakah pri popisih, ki so najpogostejše:

- naslov popisne enote ne ustreza vsebini,
- leto nastanka ni enako letu na katero se vsebina nanaša,
- ni izpostavljena vsebina dokumentov.

Ostale značilnosti popisov so:

- odstopanja pri vrednotenju arhivskega gradiva,
- prevelika samostojnost arhivistov možnostih izbira elementa,

- popis elementov brez pomembnosti za uporabnika,
- prevelika spodbuda arhivskih voznikov po fondih in zbirkah, čeprav smo že v digitalni dobi.

Zajšek (2014, 202) navaja, da je ScopeArchiv programska oprema s katero so slovenski arhivi dobili orodje s katerim lahko na različne načine in na različni kakovostni ravni zadovoljijo potrebe po informacijah o arhivskem gradivu. Budna Kodrič (2016, 217) pa meni, da je ta programska oprema korak nazaj, ker ne ponuja več možnosti kot ostala programska oprema ter zapletenem dostopu do informacij, kar je zakomplicirano že za arhivske strokovne delavce, uporabnikom še veliko bolj. Semlič Rajh in Šauperl (2013, 152) sta z analizo oblikovanja naslova in vsebine ugotovili, da gre kar v 71% za nepopolne zapise.

Semlič Rajh (2016, 80) ugotavlja, da je na podatkovni zbirki SIRAnet shranjena ogromna količina spreminjajočih se podatkov, zato temeljita predstavitev gradiva in geslenje postajajo vse pomembnejši zaradi vedno večjega odpiranja arhivov javnosti. Uporabniki arhivskega gradiva lahko pri uporabi podatkovne zbirke računajo le nase in na svoje znanje. Zato je pomembno, da so iskani podatki bogati, da prikličejo informacije.

Dostop do popisanega arhivskega gradiva v podatkovni zbirki SIRAnet so slovenski regionalni arhivi ponujali preko spleta, od leta 2022 se podatkovna zbirka SIRAnet ne posodablja, ker se za iskanje po slovenskih javnih arhivih uporablja portal VAČ-Virtualna arhivska čitalnica (ZAC, 2010).

4.3 VIRTUALNA ARHIVSKA ČITALNICA – VAČ

VAČ nadomešča iskalnika scopeQuery in SIRAnet ter ju z združitvijo baz državnega arhiva in regionalnih arhivov nadgrajuje za učinkovitejšo uporabniško izkušnjo. Z večletnim projektom SJAS, kjer je poleg Arhiva Republike Slovenije sodelovalo tudi vseh šest regionalnih arhivov iz Ljubljane, Maribora, Celja, Ptujja, Nove Gorice in Kopra, je nastala Virtualna arhivska čitalnica.

VAČ ponuja uporabnikom:

- orodje in točko vstopa za naročanje in uporabo fizičnega in elektronskega gradiva, ki ga hranijo slovenski javni arhivi,
- virtualno razstavo,
- iskanje gradiva.

Na portalu VAČ so na voljo so štirje načini iskanja gradiva (VAČ,2023):

- iskanje po besedilu,
- iskanje po poljih,
- iskanje po tektoniki arhiva,
- iskanje po deskriptorjih.

5 POPISOVANJE ARHIVSKEGA GRADIVA Z VIDIKA UPORABNIKA

V Slovenski zakonodaji (UVDAG, 2017) je določeno, da je treba arhivsko gradivo popisati po nivojih, ki se izražajo v strukturi zbirke ali fonda ter določajo položaj popisne enote na podlagi elementov popisovanja, s tem popisno enoto identificirajo, navedejo njen izvor, ureditev in vsebino, same pogoje uporabe in dostopa. Prav tako so navedene tudi obvezne sestavine popisa, ki so signatura, naslov, čas nastanka gradiva, količina gradiva ter nivo popisa.

Budna Kodrič (2016, 210-211) navaja, da uporabniki v današnjem času zahtevajo od arhivskih strokovnih delavcev vedno več pravih in natančnih informacij o arhivskem gradivu v primerjavi s preteklostjo. Tako se pojavlja potreba po natančnem in strokovnem popisu gradiva že pred prevzemom v arhiv. Prednostna naloga arhivov v Sloveniji je uporabnikom arhivskega gradiva dostop do podatkov poenotenega informacijskega sistema.

Zajšek (2014, 203) navaja okoliščine nastanka dokumenta, ki so pomembne tako za uporabnika kot arhivskega strokovnega delavca, ker je pomembno poznati okoliščine kdo ga je ustvaril in zakaj. V primeru dokumentov, ki so natisnjeni na papir, obstaja možnost, da se uporabnik v čitalnici obrne na arhivista za nasvet ali pojasnilo, ki bi ga pripeljalo do željenih iskanj, pa te možnosti nima uporabnik, kadar je poizvedovanje prek spleta njegova prva točka dostopa.

Kot navajata Novak in Semlič Rajh (2013) v primeru, ko uporabnikovo iskanje poteka le na temelju podatkov, ki so vneseni v podatkovno zbirko, toliko bolj je pomembno, da so ti podatki čim bogatejši, dosledno enakovredni in opremljeni z ustreznimi deskriptorji.

Na podlagi opravljene analize popisovanja, ki je nastala v sklopu slovenske javne arhivske službe Juričič Čargo (2018, 381) navaja, da je to odraz delovanja tako

državnega arhiva in tudi regionalnih arhivov. Popisovanje se izvaja na podlagi mednarodnega arhivskega standarda ISAD(G) pri čemer se v podatkovnih zbirkah zazna uporaba novih samostojnih postopkov uporabe ter nova imenovanja elementov popisa pri čemer so vidne nepravilnosti pri zapisih naslova in vsebine, kar uporabniku še onemogoča uspešno iskanje gradiva. V analizi je ugotovljeno da bi bilo nujno potrebno uskladiti same metode popisovanja, ker bi tako uporabnik arhivskega gradiva z dostopom do arhivskih podatkovnih zbirk pridobil kvalitetne informacije o iskanem gradivu. Gradivo bo tako popisano na podlagi strokovnih navodil s tem pa se bodo znižala tveganja napačnih vsebin v elemente popisovanja.

Zajšek (2014, 203) meni, da je obdelava in popisovanje arhivskega gradiva mora biti predvsem usmerjena k uporabniku in ne le biti sama sebi namen.

6 ZAKLJUČEK

Prilagajanje popisa uporabniku je ključnega pomena za sodobno arhiviranje. Ta pristop se osredotoča na potrebe uporabnikov in jim omogoča lažje iskanje in uporabo arhivskega gradiva. V prispevku smo prikazali spoznanja, da je usmerjenost na uporabnika arhivskega gradiva po podatkovnih zbirkah temeljnega in izrazitega pomena za uporabnika samega in tudi za zaposlene arhivske strokovne delavce, ki se ukvarjajo s popisovanjem arhivskega gradiva. S samostojnostjo uporabnika se tudi zmanjša vloga arhivistov s svetovanjem pri iskanju.

Osredotočenost na zadovoljstvo uporabnika je odločilnega pomena, da arhivisti prilagodijo novo trenutno podatkovno zbirko VAČ z jasnimi prikazi in navodili za iskanje po njej. Velik učinek na najdbo zadetkov po podatkovnih zbirkah je tudi pravilnost zapisov naslovov v podatkovnih zbirkah, kjer se pojavljajo napake in onemogočijo zahtevane iskalne zadetke. Naloga arhivistov je, da poglobljeno raziščejo raziskovalne uporabnikove navade, njihova znanja in večšine iskanja po podatkovnih zbirkah in strmijo k izpolnjevanju in napredku strokovnega dela, kar je odločilnega pomena za vsako organizacijo.

Prilagajanje popisa uporabniku se bo še naprej razvijalo z napredkom tehnologije tako bodo arhivi morali biti inovativni in odprti za nove načine prilagajanja svojih popisov potrebam uporabnikov.

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Summary

In the paper, we have shown the knowledge that user orientation of archival material in databases is of fundamental and significant importance for the user himself and also for the employed archival professionals who deal with the inventory of archival material. The independence of the user also reduces the role of archivists by providing search advice.

Zajšek (2014, 203) states the circumstances of the creation of the document, which are important for both the user and the archive professional, because it is important to know the circumstances of who created it and why. In the case of documents that are printed on paper, there is a possibility for the user to contact the archivist in the reading room for advice or clarification that would lead him to the desired searches, but the user does not have this possibility when the inquiry via the Internet is his first point of access.

Focusing on user satisfaction is crucial for archivists to adapt the new current VAC database with clear displays and search instructions. The correctness of the address records in the databases also has a big effect on finding hits in the databases, where errors occur and disable the required search hits.

The task of archivists is to deeply investigate the research user's habits, their knowledge and skills of searching through databases and to look to the fulfillment and progress of professional work, which is of decisive importance for any organization.

As stated by (Novak and Semlič Rajh, 2013), in the case where the user's search takes place only on the basis of data entered into the database, it is all the more important that this data is as rich as possible, consistently equivalent and equipped with appropriate descriptors.

Zajšek (2014, 203) believes that the processing and cataloging of archival material must primarily be aimed at the user and not just be an end in itself.

Typology: 1.02 Review Article

Gregor Petrič¹

STATUS ANIMARUM OF THE PARISH OF ČRNUČE BETWEEN 1810 AND 1914

Abstract

Purpose: *The books of status animarum or soul protocols are valuable sources of historical, demographic, ethnographic and genealogical data. The purpose of this article is to present a historical survey of their development from the beginning when first prescribed in the Roman Ritual (Rituale Romanum) in 1614 until the end of the 19th century as well as their application in the parish of (Ljubljana) Črnuče. A detailed analysis of these documents was carried out for the part of Črnuče named Gmajna for the period between 1810 and the beginning of the First World War.*

Methods: *Historical and descriptive methods were employed to carry out a survey of the historical development of soul protocols along with the broader geographical and demographic context of the research. To identify and collect data the narrative method was used, followed by the analytical method employed in order to analyse and interpret data; the empirical part of the study makes use of the synthesis as well as the comparative method.*

Results: *The results show that soul protocols only gain their full value when in harmony with registry books. They are a reflection of the person (the priest) who writes them, as we can determine the personal characteristics of the person filling in the entries. The soul protocols also reflect the external circumstances that the writers could not change, such as their illnesses and deaths, natural disasters such as floods and earthquakes (due to which a new church had to be built), epidemics and the First World War.*

Conclusions: *In contrast to registry books, soul protocols are not so well researched. Digitalisation, which was carried out in the Archdioceses of Ljubljana and Maribor as well as the Diocese of Koper, marks an important step in the direction of the popularisation of the aforementioned books and encourages their continual research.*

Key words: *soul protocol/status animarum, narrative form, tabular form, Črnuče parish*

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STATUS ANIMARUM DELLA PARROCCHIA DI ČRNUČE TRA IL 1810 E IL 1914

Abstract

Scopo: *I libri di status animarum o protocolli delle anime sono fonti preziose di dati storici, demografici, etnografici e genealogici. Lo scopo di questo articolo è presentare un'indagine storica del loro sviluppo dall'inizio, quando furono prescritti per la prima volta nel Rituale Romano (Rituale Romanum) nel 1614, fino alla fine del XIX secolo, nonché la loro applicazione nella parrocchia di (Lubiana) Črnuče. Un'analisi dettagliata di questi documenti è stata condotta per la parte di Črnuče denominata Gmajna per il periodo tra il 1810 e l'inizio della prima guerra mondiale.*

Metodi: *Sono stati impiegati metodi storici e descrittivi per condurre un'indagine sullo sviluppo storico dei protocolli delle anime insieme al più ampio contesto geografico e demografico della ricerca. Per identificare e raccogliere i dati è stato utilizzato il metodo narrativo, seguito dal metodo analitico impiegato per analizzare e interpretare i dati; la parte empirica dello studio si avvale sia della sintesi che del metodo comparativo.*

Risultati: *I risultati mostrano che i protocolli dell'anima acquisiscono il loro pieno valore solo quando sono in armonia con i registri. Sono un riflesso della persona (il sacerdote) che li scrive, poiché possiamo determinare le caratteristiche personali della persona che compila le voci. I protocolli dell'anima riflettono anche le circostanze esterne che gli scrittori non potevano cambiare, come le loro malattie e morti, disastri naturali come inondazioni e terremoti (a causa dei quali è stata costruita una nuova chiesa), epidemie e la prima guerra mondiale.*

Conclusioni: *A differenza dei registri, i protocolli dell'anima non sono così ben studiati. La digitalizzazione, realizzata nelle arcidiocesi di Lubiana e Maribor nonché nella diocesi di Capodistria, segna un passo importante nella direzione della divulgazione dei libri sopra menzionati e stimola la loro continua ricerca.*

Parole chiave: *protocollo delle anime/status animarum, forma narrativa, forma tabellare, parrocchia di Črnuče*

STATUS ANIMARUM ŽUPNIJE ČRNUČE MED LETI 1810 IN 1914

Izvleček

Namen: Zapisniki duš oz. knjige status animarum so dragocen vir zgodovinskih, demografskih, etnografskih in rodoslovnih podatkov. Namen prispevka je podati historični pregled njihovega razvoja od začetkov, ko jih je 1614 predpisal Rimski obrednik (*Rituale Romanum*) do konca 19. stoletja in njihovo uporabo v župniji (Ljubljana) Črnuče, s podrobno analizo podatkov za predel Črnuč, imenovan Gmajna v obdobju od 1810 do začetka 1. svetovne vojne.

Metodologija: S pomočjo zgodovinske in deskriptivne metode je podan historični pregled zapisnikov duš ter širšega geografskega in demografskega konteksta raziskave. Za identifikacijo in zbiranje podatkov je bila uporabljena narativna metoda, ki ji je sledila analitična metoda za analizo in interpretacijo podatkov; Empirični del študije uporablja sintezo in primerjalno metodo.

Rezultati: Raziskava je dokazala, da zapisniki duš svojo polno veljavo dobijo v sožitju z matičnimi knjigami. So ogledalo osebe (duhovnika), ki jih je pisala, saj iz njih lahko razberemo tudi osebnostne značilnosti vpisovalca. Zapisniki duš odražajo tudi zunanje okoliščine, na katere vpisovalci niso mogli vplivati, na primer njihove bolezni in smrti, naravne katastrofe kot so poplave in potres, zaradi česar je bilo potrebno zgraditi novo cerkev, epidemije bolezni in 1. svetovna vojna.

Sklepi: V primerjavi z matičnimi knjigami so zapisniki duš slabše raziskani. Digitalizacija, ki so jo izvedli v ljubljanski in mariborski nadškofiji ter koprski škofiji je pomemben korak v smeri popularizacije omenjenih knjig in spodbuda raziskovalcem k novim raziskavam.

Ključne besede: zapisnik duš/ status animarum, narativni obrazec, tabelarni obrazec, župnija Črnuče

1 UVOD

Knjige, ki so se izvirno imenovale *libri de statu animarum* (Rimski obrednik, 1614) in za katere se je ustalilo poimenovanje *status animarum*, so po svetu in pri nas znane pod različnimi imeni. Med slovenskimi poimenovanji so najpogostejša knjiga faranov, popis župljanov, zapisnik oz. knjiga župljanov, družinska knjiga, status duš, zapisnik duš, dušni zapisnik in popis župnije.²

V pričujočem prispevku se izmenično uporabljata izraz zapisnik duš, ki dobesedno povzema latinski izvirnik, in *status animarum*, saj se knjige pod tem imenom vodijo v župnijskih, škofijskem in dveh nadškofijskih arhivih v Sloveniji.

Zapisniki duš, ki so bili predmet pričujočega raziskovanja, so nastali v podeželskem vikariatu Črnuče, ki je bil ustanovljen v drugi polovici 18. stoletja³ in bil 1862 povzdignjen v Župnijo Črnuče. Čeprav so Črnuče danes predel Ljubljane, so bile v 19. stoletju majhna sestavljena vas na obrobju mesta, ki v popise prebivalstva ni bila zajeta, to pa kakršno koli raziskovanje močno omejuje. Zato so prav zapisniki duš zelo uporaben vir, ki, kot ugotavlja Hernja Mesten, »vsaj delno zapolni raziskovalno praznino nekega obdobja ali tematike« (2021, 5) in nam s tem omogoča preučevanje socialne, gospodarske, kulturne in narodne zgodovine kraja.

Tako kot se niso ohranile vse matične knjige⁴ in smo s tem izgubili dragocene demografske podatke, se pojavljajo praznine tudi pri zapisnikih duš. Kar se jih je ohranilo,⁵ je bilo v Nadškofijskem arhivu Ljubljana digitalizirano. Potem ko so v omenjenem arhivu leta 2021 zaključili digitalizacijo matičnih knjig ljubljanske nadškofije, so pričeli s projektom digitalizacije družinskih knjig oz. zapisnikov duš, o čemer poroča Krampač (2017; 2023). Sprva so digitalizirali zaradi prepogoste uporabe in delno neustreznega hranjenja močno poškodovane knjige, temu pa je sledila sistematična digitalizacija po abecednem vrstnem redu župnij. Projekt Digitalizacija družinskih knjig je v letih 2021-22 dobil nov zagon, ko ga je finančno podprlo Ministrstvo za kulturo RS. Po letu 2023, ko je bilo sofinanciranje ustavljeno, se je digitalizacija ponovno upočasnila (Krampač, 2023).

2 Nemški spletni portal GenWiki na svoji obsežni in dokumentirani spletni strani Status animarum omenja še *Catalogus Parochianos*, *Catalogus accolarum*, *Catalogus incolarum* in *Status animarum*.

3 Ustanovna listina nima datuma. Za začetno leto se šteje 1764, uradno je bil potrjen 1768.

4 Vzporedno z digitalizacijo je potekalo tudi restavriranje poškodovanih izvirnikov, tako matičnih knjig kot zapisnikov duš, ki se dandanes v uporabo dajejo samo v izrednih primerih (prim. Krampač, Visočnik 2017).

5 Mišljeni so zapisniki duš, v katerih po cerkvenem zakonu o nedostopnosti (*Pravilnik o uporabi gradiva škofijskih arhivov Katoliške cerkve*) ni osebnih podatkov, mlajših od 100 let.

Zapisniki duš so dostopni na internih računalnikih v čitalnicah obeh nadškofij in koprške škofije vsem zainteresiranim obiskovalcem, ni pa jih na portalu Matricula. Proces digitalizacije še vedno poteka.

Medtem ko se nam zdi danes samoumevno, da se na državni ravni vodijo evidence o rojstvih, porokah in smrtih, na cerkveni pa poleg tega še knjige župljanov oziroma družinske knjige, pa ni bilo vedno tako. Šele leta 1563 je tridentinski koncil predpisal, da morajo katoliški duhovniki voditi krstne, poročne in matične knjige. Zapisniki duš v ta predpis še niso bili zajeti, ampak jih je potem, ko je papež Pavel V. leta 1614 odobril prvo izdajo besedila, prvič predpisal Rimski obrednik (*Rituale Romanum*). *Libri de statu animarum* (skrajšano *status animarum*) so se pisali občasno. Ker ni šlo za uradni dokument, ampak za interni dokument katoliške cerkve, so jih ponekod pisali in drugod ne.

V obdobju Habsburške monarhije je bilo do druge polovice 18. stoletja vodenje cerkvenih knjig v domeni cerkve. Zaukazane so bile s strani cerkvenih oblasti ter so se omejevale na cerkvena opravila, kot npr. krst, birma, poroka, cerkveni pogreb, medtem ko so zapisniki duš podajali pregled vernikov v določenem pastoralnem okrožju. Govorimo o času modernizacije avstrijskega cesarstva, ko so »iz upravnih, ekonomskih in vojaških razlogov nekatere značilnosti osebne statusa postale pravno relevantne«:

Der Staat wollte die einzelne Person sicher identifizieren und als statistische Größe erfassen können. Fragen nach Namen (Vor- und Zuname), religiösem Bekenntnis, Geschlecht, Geburtsort, Geburtszeit, Abstammung, Verwandtschaft, Familienstand, Beruf, Wohnort, Staatsangehörigkeit mussten nun geklärt und eindeutig beantwortet werden.⁶ (Beimrohr 1987, 3).

Podatki iz zapisnikov duš so seveda prišli še kako prav tudi civilnim oblastem. Kolar navaja, da so si oblasti po potrebi postregle z njimi, zato da so lahko izpopolnile svoje vojaške evidence; razen tega so v zapisnike marljivejši župniki pod opombe vpisovali tudi razne dokumente, npr. dovoljenja, potrebna za sklenitev zakona... »Včasih so vsebovali tudi obsežnejše vpise ali navajali dokumente, ki so bili pomembni za sklenitev kakšnega pravnega dejanja (...) več podatkov je bilo zbranih o priseljencih, ki so prihajali od drugod« (Kolar, 1996, 5).

⁶ Država je posameznika želela natančno identificirati in omogočiti njegovo statistično obdelavo. Vprašanja o imenu (ime in priimek), veroizpovedi, spolu, kraju in času rojstva, poreklu, sorodstvu, družinskem statusu, poklicu, prebivališču in državljanstvu je bilo treba sedaj razjasniti in nanja nedvoumno odgovoriti (Prev. G.P.).

Cesar Jožef II. je leta 1784 s patentom matične knjige razglasil za uradne dokumente, s tem pa so duhovniki postali državni uslužbenci (Beimrohr, 1987, 3). Edino zapisniki duš so bili izvzeti iz posredovanja države in so ostali interni cerkveni dokumenti. V omenjeni cesarski odredbi zaman iščemo določila, ki bi zadevala vodenje zapisnikov duš. Pač pa omenja Gundacker, da je salzburška provincialna sinoda že 1569 (!) zahtevala poleg vodenja matric tudi vodenje zapisnikov duš vseh verujočih v župniji (Gundacker, 2018, 4).

»Na našem področju so v večjem številu začeli pisati *status animarum* sredi 18. stol., nekako po letu 1750, ko postanejo vse pogostejši«, ko je bilo uvedeno enotno poimenovanje naselij in je vsako gospodinjstvo dobilo svojo številko, poroča Kolar (1996, 5). Pisali so jih tako, da so sproti vnašali tekoče podatke in dodajali tudi starejše, če so jih poznali: »V tem obdobju se je uporabljala deskriptivna oblika statusov, to je brez formularjev, čeprav so iz povsem praktičnih razlogov že uporabljali tabele; narediti jih je moral vsak dušni pastir sam. Statuse so vodili po župnijah ali po podružnicah ter v njihovem okviru po vaseh« (Ibid.).

Vodili so jih v latinskem jeziku, tako da je imela vsaka hišna številka svojo stran. To pomeni, da je običajno »tak vpis v knjigi večjega formata obsegal čas treh generacij oz. ok. 100 let. Statusi so običajno imeli obliko obsežnejših knjig, ustrezno vezanih in podobnih matičnim knjigam« (Ibid.). Po letu 1830 se začnejo uporabljati tabelarični vpisi na tiskanih obrazcih, čeprav na roko narisani obrazci ponekod vztrajajo še daleč v 19. stoletje. Kolar poudarja pastoralni namen teh knjig, ki naj bodo v pomoč dušnemu pastirju pri vodenju župnije, še posebej, če je v župnijo prišel na novo (Ibid.).

V primerjavi z matičnimi knjigami so zapisniki duš pogosto na pogled precej neugledni in lepa pisava prej izjema kot pravilo:

Pri zapisih se vidi, da so pisani s hitro roko, polni so opomb v obliki kratic, prečrtanih zapisov in neprepoznavnih znakov. Takšni so zato, ker so avtorji skušali opisati aktualno stanje. To pa se je pogosto spreminjalo. /.../. Na prvi pogled neurejeni sezname naslovov, imen, priimkov, datumov in spremljajočih opomb oživijo ob pravilni interpretaciji zapisov. Iz njih lahko preberemo, kako so na daljši čas potekale interakcije med sorodniki, sosedi in poklici, če je vir zares popoln, lahko sledimo tudi priseljevanju in odseljevanju prebivalstva na mikro ravni. (Bogastvo, b.d.)

Kot bomo videli, so se vpisne rubrike v zapisnikih duš spreminjale, dolgoletna stalnica pa so bila okenca, v katera so vpisovalci označevali znanje oz. neznanje krščanskega nauka pri velikonočnem izpraševanju. Beležili so tudi odsotnosti. Status je, kot piše Kolar, smela voditi samo župnija. Natančnost in obseg zapisnikov duš sta bila zelo odvisna od zavzetosti dušnega pastirja (1996, 5).

Neenotnost vodenja zapisnikov duš ni značilnost samo naših krajev, pač pa cele Evrope. Ponekod so vanje vpisovali nadvse zanimive podatke, ki se danes s pridom uporabljajo za demografske raziskave. Ena od takšnih, ki so jo leta 2022 opravili Schmidt, Albrecht-Birkner in drugi, je šla v smer ugotavljanja pismenosti ljudi severnih predelov Evrope v predmoderni dobi, pri čemer so bili izbrani tisti zapisniki duš, »in denen Pfarrer die Gemeindeglieder auf ihren religiösen Wissensstand, Schulbesuch, Buchbesitz und auch ihre Beherrschung elementarer Kulturtechniken geprüft und die Ergebnisse dokumentiert hat«⁷ (Ibid., poudarki G.P.).

Zanimivo je, da je podobno ravnal tudi avtor čisto prvega in v vsakem pogledu zgledega zapisnika duš na Slovenskem, Peter Pavel Glavar⁸ iz Komende. Viktorijan Demšar v študiji z naslovom *Prebivalci Komende po družinski knjigi Petra Pavla Glavarja* piše o »čudovito smiselno in sistematično urejen/i/ »družinski knjigi«« (Demšar, 1979, 18) Petra Pavla Glavarja, z naslovom *Examen doctrinae christianae ab anno 1754—1760*⁹, ki ji je nekdo kasneje prilepil napis *Status animarum*. V Glavarjevi knjigi posebej izstopajo vpisi, ki se tičejo pridnosti in inteligentnosti prebivalcev Komende. Med drugim si je pripravil vprašanja za velikonočno spraševanje za odrasle in posebej za otroke, njihovo znanje je ocenjeval z opisnimi ocenami in bil nepopustljiv, ko nekdo ni znal. Moral se je naučiti, sam pa mu je bil pripravljen pri tem pomagati. Posebej izstopajo rubrike iz Glavarjevega zapisnika duš, v katere je vpisoval podatke o *sposobnosti oziroma nadarjenosti (indoles, ingenium)*; učenosti (*doctrina*) in *značaj (mores)* (Filipič 2003, 304), saj prvih dveh v kasnejših zapisnikih duš ne najdemo več, tretja pa je sicer obstajala, a se ni izpolnjevala.

Zapisniki duš niso imeli neke stalne oblike, ampak so se s časom spreminjali. Čeprav je priročnik *Pfarrämtliche Notariats - Geschäfte dann Verwaltung des*

7 v katerih je župnik za člane verske skupnosti ugotovil stopnjo njihovega verskega znanja, obiskovanja šole, posedivanja knjig pa tudi obvladovanja osnovnih tehnik kulture ter svoje izsledke dokumentiral. (Prev. G.P.)

8 Peter Pavel Glavar (Glovar), slovenski rimskokatoliški duhovnik, gospodarstvenik in mecen, roj. 2. maja 1721 v Ljubljani, umrl 24. januarja 1784 na gradu Lanšprež pri Trebnjem (povzeto po Slovenskem biografskem leksikonu).

9 Preverjanje krščanskega nauka od 1754–1760.

Kirchenvermögens und Beaufsichtigung der Kirchen und Pfarr Gebäude in den k. k. österreichisch-deutschen Ländern... iz leta 1847 priporočal tudi rubriko za vpis obhajila, je večinoma ostajala prazna, prav tako rubrika za spoved, dosledno pa so vpisovali velikonočno izpraševanje. V 19. stoletju so se namreč osredotočili na znanje krščanskega nauka (Filipič, 2003, 305).

Po letu 1830 se je ustalil osnovni formular. »Najpogosteje je vsako gospodinjstvo imelo svojo stran. Na začetku strani so vpisovali hišno številko; gospostvo, ki mu je posest podrejena (do zemljiške odveze, G.P.); kraj; stan; domače ime« (Filipič, 2003, 305). Na en obrazec so lahko vpisovali približno deset let (Ibid.). Kolar k temu dodaja, da je bil po letu 1830 »popis že obsežnejši in v drugačni obliki; to so bili tabelarični vpisi. Formularji so bili že tiskani, čeprav so lahko še daleč v 19. stoletju uporabljali rokopisno obliko. Tabelarični vpisi so bili obvezni« (2006, 5). Obrazci v zapisnikih duš so se najbolj spremenili po zemljiški odvezi leta 1848, ko je iz njih izginila rubrika, v katero so vpisovali, kateri gosposčini je bila podrejena določena posest.

2 GEOGRAFSKI, ČASOVNI IN DRUŽBENI KONTEKST

2.1. ČRNUČE

Črnuče ležijo 6 kilometrov severno od središča Ljubljane na levem bregu reke Save. Današnje Črnuče so nastale tako, da se je staro vaško jedro, imenovano Stare Črnuče, spojilo z zaselki v bližini. Eden od njih, Gmajna oz. Črnuška Gmajna predstavlja severni del Črnuč; leži v dolini potoka Črnušnica in je obdana s pobočji okoliških gričev (Perne, 2010, 7–8).

Črnuče so od leta 1979 del Ljubljane, do tega časa pa so bile samostojno obmestno naselje. Med 2. svetovno vojno so bile pod nemško okupacijo, po 2. svetovni vojni pa so postale samostojna občina (Zupančič, 1987, 1). Vse do petdesetih in šestdesetih let preteklega stoletja so bile poseljene s pretežno kmečkim in delavskim prebivalstvom. V stoletju med 1825 in 1931 so se Črnuče močno povečale, s 43 na 97 hiš, saj kraj leži ob pomembni prometni cesti in železniški progi, do največjega porasta pa je prišlo po letu 1890 in še bolj po 1910 (Malovrh, 1946, 48). Kraj ima pestro zgodovino, saj njegovi začetki segajo v čas rimskega imperija. S stališča pričujoče raziskave pa je pomembno leto 1848, ko sta avstrijski državni

zbor in cesar Ferdinand I sprejela Zakon o zemljiški odvezi. S tem se je končala tedanja hierarhična ureditev v državi, ukinjeno je bilo podložništvo in odpravljene vrhovne pravice plemstva nad zemljišči.

Zaradi slabih prometnih povezav z mestom so Črnuče dolgo ohranile povsem vaški značaj. Gmajna je imela poseben status, saj so jo stoletja sestavljali revni prebivalci, kočarji, s številnimi družinami. Demografska podoba se je pričela spreminjati, ko je bila leta 1891 vzpostavljena železniška povezava med Kamnikom in Ljubljano. Mladi ljudje so si pričeli iskati zaslužek v mestu in pojavili so se prvi dnevni migranti, sprva moški, nato tudi ženske, ki so se zaposlovale v »cigarfabriki« oz. tobačni tovarni. Nekateri so se zaradi zaposlitve tudi začasno ali za stalno preselili v Ljubljano. Po drugi strani pa so na Gmajno prihajali tujci od drugod – opekarniški delavci in razni obrtniki – in se kot gostači naseljevali v hišah stalnih prebivalcev.

2.2. PREBIVALCI ČRNUČ V 19. STOLETJU

Do leta 1848 so bili Črnučani, pretežno kmetje, podložniki raznih zemljiških gospostev, pri čemer velja izpostaviti, da je veljal severni predel Črnuč, sprva imenovan Pekel in nato Gmajna, od nekdanj za najmanj premožnega. Prebivalci so se preživljali z nabiranjem borovnic in drugih gozdnih sadežev, ženske so hodile na dnino k bogatim posestnikom, moški pa so kopali gramoz za ceste. Med kmetijami je bilo največ majhnih, z eno ali dvema kravama, kjer so pridelovali hrano za lastne potrebe in morebitne viške (npr. mleko, jajca, zelenjavo) prodajali, da so lahko kupili najnujnejše. Kdor je imel nekaj gozda, si je pomagal s prodajo lesa. Leta 1754 je Marija Terezija odredila prvo štetje prebivalstva, ki pa ni bilo popis, kot ga razumemo danes, saj je bil njegov osnovni namen pridobiti podatke za reforme davčnega in naborniškega sistema (Bizjak Pitamic, 2013). Bizjak Pitamic ni našel tega Terezijanskega popisa za župnijo Mengeš, kamor so spadale Črnuče, ampak le popis podložnikov za sosesko Črnuče, katerega cilj je bila ustanovitev župnije Sv. Jakob ob Savi. Glede na ta popis so Črnuče štejele 40 družin oz. 243 duš, *Pekel (Pekóv)*, danes *Gmajna*, 15 družin oz. 60 duš (podč. G.P.), Podboršt 7 oz. 39 in Dobrava 7 oz. 43 (Bizjak Pitamic, 2013, 414–5).

Leta 1906 je izšel *Leksikon občin in kraljestev zastopanih v državnem zboru*, ki je bil izdelan po rezultatih popisa leta 1900. Za razliko od prejšnjega popisa je ta skoraj v celoti v slovenskem jeziku, le pri nekaterih krajih je navedeno kot drugo tudi nemško ime.

Iz popisa razberemo, da se je število prebivalcev štirih predelov Črnuč s 541 povečalo na 549, Gmajna pa je bila edini kraj, kjer so se naselili neslovensko govoreči, vendar niso zavedeni v nobeno od obstoječih jezikovnih rubrik (nemški jezik ali drugi) (Leksikon občin, 1906, 106).

2.3. ŽIVLJENJE ČRNUČANOV OD KONCA 18. DO ZAČETKA 20. STOLETJA

Še dolgo po odhodu Francozov po letu 1813 so imele Črnuče kmetijski značaj, poroča Zupančič (1987, 13). Ljudem so veliko skrbi prinašale poplave Črnušnice s pritoki in Save. Kmetje so prestavili polja na višje ležeča mesta, ki so ob poplavah navadno ostala suha, preostala zemlja pa se je uporabljala za travnike in pašnike (Ibid.). Kaj več o življenju Črnučanov v prvi polovici 19. stoletja ni znanega. Zato pa je bila druga polovica stoletja toliko bolj burna, za kar so poskrbele epidemije nalezljivih bolezni.

Velika epidemija črnih koz, ki jo je sprožila francosko-pruska vojna 1870–71 in ki je posebno v Franciji in na Pruskem zahtevala mnogo smrtnih žrtev, se je razširila po vsej Evropi in v letih 1872, 1873 in 1874 močno prizadela tudi bivšo Avstrijo. /.../ V letih 1872 in 1873 se je bolezen razširila tudi na Štajersko, Koroško in Kranjsko, kjer je največji obseg zavzela leta 1874. (Vodopivec, 1972, 92)

Čeprav so avstrijske oblasti že leta 1836 s predpisom priporočale cepljenje proti črnim kozam, to ni bilo obvezno in ljudje so se ga branili, ker je imelo stranske učinke in ni bilo učinkovito (Ibid.).

Statističnih podatkov o žrtvah ponavljajočih se epidemij na Črnučah žal nimamo, vendar že bežen pogled v mrliško matično knjigo župnije Črnuče za november in december leta 1872 zgolj na Gmajni navaja smrtne primere zaradi »bösertigen Pocken« (zločestih koz, G.P.) na naslednjih naslovih: Gmajna 3 (dva otroka), Gmajna 7, Gmajna 8, Gmajna 11... Veliko smrti otrok z enako diagnozo je bilo tudi v drugih predelih Črnuč. Otroci so največ umirali v starosti od dveh do petih let. Posledica je bila, da je v sicer številčnih družinah preživelo zelo malo otrok, zato je bil naravni prirastek prebivalstva nizek.

V publikaciji, izdani v počastitev 80-letnice osnovne šole na Črnučah (2018), preberemo, da se je epidemija črnih koz ponovila v letih 1881/2 in 1887/8 in da sta oba vala epidemije zelo ohromila šolsko delo: »V šolskem letu 1881/82 in 1887/88 so na Črnučah razsajale črne koze, kasneje tudi griža, mnogo otrok in odraslih je pomrlo, zato je bila šola dalj časa zaprta« (Osnovna šola, 2018, 9). »Veliko smrti

je povzročila tudi epidemija leta 1888 in takrat so zdravniki zahtevali, da se nujno revakcinira (ponovno cepi) vse šolske otroke« (Zupanec Slavec 2017, 89). Ista avtorica poroča še o ponavljajočih se valovih epidemije kolere, »imenovali so jo tudi bljuvodriska iz jutrovih dežel. Na Slovenskem je bilo nekaj večjih epidemij v letih 1836, 1849, 1855, 1866 in 1886« (Ibid. 89).

Za Veliko noč 1895 je prebivalce Ljubljane in s tem tudi Črnuč prestrašil močan potres, ki je povzročil veliko materialno škodo. Med drugim je povsem porušil komaj petnajst let staro črnuško cerkev, ki so jo morali vaščani, po večini v obliki tlake, zgraditi na novo.

28. julija 1914 se je pričela 1. svetovna vojna. Razen železničarjev, bolnih, županov in župnikov so bili mobilizirani skoraj vsi moški, 112 po številu, kar je bilo za kmetije usodno.

2.4. OPEKARNIŠTVO NA ČRNUČAH

Edina industrija v kraju je bilo opekarništvo. Izdelovanje opeke ima na Črnučah po poročanju Kovača dolgoletno tradicijo: »Že v prejšnjem stoletju so opekarski mojstri in delavci iz Furlanije izdelovali in žgali opeko na področju Gmajne, kjer so izdatna ležišča dobre glin« (Kovač, 1974, 45). Košutnik poroča, da so »opeko /.../ sprva izdelovali ročno¹⁰, zato so rabili veliko delavcev: Zaposlovala je domačine in obrtnike iz Furlanije in Prekmurja. (Košutnik, 2006, 18)

Priseljevanje tuje delovne sile so beležili župniki v zapisnikih duš. Tuji delavci (veliko je bilo Italijanov) so velikokrat s sabo pripeljali ženo in otroke ter se naseljevali pri domačinih kot gostači. Precej se jih je naselilo ravno na Gmajni in poskrbelo za multikulturni značaj te vaške skupnosti.

2.5. USTANOVITEV VIKARIATA IN ŽUPNIJE NA ČRNUČAH

17. oktobra 1768 je prvi goriški nadškof Mihael grof Attems potrdil ustanovitev novega župnijskega vikariata na Črnučah, vendar podatki iz prve ohranjene krstne knjige župnijskega vikariata Črnuče (1764–1770) kažejo, da je bil v resnici ustanovljen že štiri leta pred tem, 1764 (Dolinar, 2013, 112). Po štetju župnika iz Mengša Mihaela Evstahija pl. Rasterna je bilo v tem času na Gmajni 15 hiš, v katerih je živelo 60 duš (Ibid., 111). Prvi črnuški vikar je postal Peter Jungovič (Jungovitsch), Črnučani pa so mu nasproti cerkve sv. Simona in Jude Tadeja zgradili župnišče (Ibid., 113).

¹⁰ Strojno mehanizacijo so začeli uporabljati leta 1928.

Po pravilih je smel poročne knjige voditi samo »pravi« župnik in na Črnučah se je to po vsej verjetnosti zgodilo julija 1764, ko so bili v matice vpisani prvi krsti in smrti. Prizadevanja za samostojno župnijo dolgo niso rodila sadov, ker Črnuče niso dosegale predpisane kvote prebivalcev in dohodkov (Dolinar 1997, 48). Po dolgi seriji vikarjev, je bil za prvega župnika imenovan Jožef Supin (Zupin).

1877 je bil župnik Janez Nepomuk Toman, vendar zaradi bolezni le eno leto. Do 1. 6. 1877 je službo opravljal šentjakobski župnik Valentin Skulj, nato pa je nastopil službo župnijski upravitelj Lovro Mazeč, ki je šele leto dni kasneje opravil župniški izpit in bil 1879 imenovan za župnika na Črnučah. Ko je 1886 umrl, je upravljanje župnije prevzel ježiški župnik Franc Povše. Med 1886 in 1905 je bil župnik Janez Evangelist Kobilica.¹¹ Nasledil ga je župnijski upravitelj, začasno upokojeni Frančišek Mekinec in leto dni kasneje postal črnuški župnik. Vendar je žal že 1908 umrl. Ježiški župnik Simon Zupan je začasno upravljal župnijo, dokler ni dobila novega župnika, Nikolaja Stazinskega, ki je župnikoval med 1908 in 1913, ko je zaradi bolezni odšel na daljši dopust in ga je nadomestil Anton Tomelj (Dolinar, 2013, 145–147).¹²

Ko govorimo o cerkvi sv. Simona in Jude Tadeja na Črnučah, govorimo pravzaprav o treh cerkvenih zgradbah. O prvi vemo le, da je bila verjetno zgrajena v gotskem slogu in prvič omenjena v prvi polovici 16. stoletja. Dobrih dvesto let zatem so jo, leta 1743, prenovili v baročnem slogu (Krečič 2013, 281). Med leti 1880 in 1885 so na Črnučah zgradili novo cerkev ter jo opremili in poslikali do 1887, ko jo je posvetil ljubljanski škof Jakob Missia. Vendar je bila v aprilskem potresu 1895 tako poškodovana, da so jo morali podreti, čeprav je bila stara komaj 15 let in pričeti z gradnjo nove, že tretje cerkve. Nova cerkev v (neo)romanskem slogu (Krečič, 289) je bila sezidana in poslikana 1897, nakar so pričeli z opremljanjem.¹³ 8. septembra 1901 je bila »posvečena in dokončno izročena za opravljanje bogoslužja. Posvetil jo je ljubljanski knezoškof, dr. Anton Bonaventura Jeglič« (Slak, Štefanič, 2013, 309).

¹¹ Za mesto župnika na Črnučah se je takrat potegoval tudi Jakob Aljaž.

¹² Podatki o župnikih so povzeti po Otrin, Duhovniki na Črnučah (*Tam čez Savo na Črnučah*, 2013).

¹³ Podroben opis zunanosti in notranosti cerkve, poslikav, oltarjev, ograje na koru, orgel, Božjega groba, tlakov skupaj z imeni slikarjev oz. podobarjev ter podjetij, ki so izdelala posamičen del notranosti, je podal Peter Krečič v sestavku Stavbna zgodovina in podoba župnijske cerkve sv. Simona in Jude Tadeja (2013). Del opreme je kasneje prispeval tudi arhitekt Jože Plečnik.

3 RAZISKAVA

3.1. ZAPISNIK DUŠ - STATUS ANIMARUM ŽUPNIJE ČRNUČE

Doslej najobsežnejšo raziskavo zapisnikov duš župnije Črnuče je opravil France Dolinar, ki je analiziral sedem knjig zapisnikov duš med leti 1789 in 1912¹⁴ za naselja Črnuče (138 hiš), Dobrava (9 hiš), Gmajna (34 hiš), Ježa (31 hiš), Nadgorica (47 hiš), Podboršt (14 hiš) in Prod (danes Brod) (8 hiš) (Dolinar 2013, 56–94)¹⁵. V tabelah je za vsako od omenjenih vasi, po zaporedju hiš od številke 1 naprej, prikazal domača hišna imena in uradna imena stanovalcev, njihovo stalnost oz. spreminjanje.

3.2. OBRAZCI IN VPISI V ZAPISNIKE DUŠ ŽUPNIJE ČRNUČE V 19. STOLETJU

Najstarejši *status animarum* je pisan še v (pol)narativni obliki v nemškem jeziku. Sledijo zapisniki duš, ki so že poznali tiskane obrazce: dva sta bila latinska in dva slovenska.

3.2.1. *Status animarum* 1759–1842

Nemški obrazec je iz najstarejšega zapisnika duš z letnicama 1759–1842, v katerega se je vpisovalo še v narativni obliki, le da si je duhovnik zaradi lažje preglednosti sam narisal tabele. Vpisi so v nemščini, v pisavi kurenta, le občasno (pri kasnejših dopisih) v latinici. Pisava kurenta je drobna in zelo težko berljiva.

Status animarum je iz dveh delov; v prvem je register oz. seznam, nad katerim je daljši, precej nečitljiv napis: »Verzeichniß der vertheilten Sitze in den Bänken der Kirche des Pfarrvikariats Thschernutsch gegen gebräuchliche Perzeptionsentrichtung pr 1 fl in der Kirche auf dem Chore aber pr 40 kr und dann alljährlichen Abfuhr pr 15, auch Chore aber pr 12 kr«. ¹⁶

Pod tem naslovom je razpredelnica, kjer v prvi vrsti piše: *I. Bank auf der Mannsseite*,¹⁷ torej prva klop na moški strani. Vpisana so imena župljanov, od dveh do štirih imen na eno vrsto oz. eno klop, nekatera so prečrtana. Sledi druga klop itd.

14 Od tega je v Nadškofjskem arhivu Ljubljana javnosti na voljo pet digitaliziranih knjig zapisnikov duš za obdobja 1759–1842, 1762–1875, 1791–1886, 1810–1914 in knjiga gostačev (osobenjkov) 1775–1913.

15 Dolinar na strani 57 v opombah navaja dve kategoriji: status animarum v ednini in statusi animarumi v množini. Pri slednjih gre za zapisnike duš, ki so bili shranjeni v isti arhivski škatli. Dolinar je raziskavo opravljal tako, da je pregledoval fizično gradivo.

16 Besedilo se zelo težko bere. S pomočjo mag. Matije Sadka mi ga je uspelo v celoti transkribirati in prevesti. Prevod se glasi takole: »Seznam razdeljenih sedežev v klopih cerkve župnijskega vikariata Črnuče za običajno plačilo 1 goldinarja (*fl* = *florin*) v cerkvi, na koro za 40 krajcarjev (*kr* = *Kreuzer*), in nato za celoletno plačevanje v znesku 15 krajcarjev, na koro pa za 12 krajcarjev.«

17 Vsi originalni vpisi v SA so v pričujočem prispevku natisnjeni ležeče. Prevodi v oklepaju so delo G.P.

Moški strani sledi ženska, kjer so imena vpisana na podoben način. Vikar Potočnik si je narisal tabelo s kvadratnimi okenci. V prvi vrsti je zaporedno vpisal letnice od 1825 do 1842. Nato je pri vsakem imenu enkrat letno v okence vpisal znesek njegovega prispevka (15 krajcarjev); po letu 1826 je to delo nadaljeval vikar Poklukar in po letu 1834 vikar Trampuš.

Ta del knjige obsega šest strani. Sledi stran s prazno, neizpolnjeno tabelo za vpis družin. Sledita še dve prazni strani, nato ena delno popisana z imeni (domnevno nadaljevanje že omenjenega seznama), šele nato sledi pravi *status animarum*, s prvim vpisom na naslovu Črnuče 1. V zapisniku duš so predstavljene hišne številke, domača imena, imena družinskih članov in drugih stanovalcev ter ostali podatki, ki so se vpisovali v rubrike, ki sem jih takole transkribiral:

Tabela 2: Transkribiran obrazec v knjigi Status animarum 1759–1842 (Nadškofijski arhiv Ljubljana 2023).

Haus N ^{ro}	Nahmen der Haus-bewohner	Stand	Alter		Kommunikanten	Gefirmte	Ausfrags-und-Osterbeicht-Anmerkungen			
			Tag und Monat	Jahr der Geburt			1826			

Najstarejša vpisana letnica v knjigi je 1758, kar je rojstni datum osebe po imenu Matthäus Wachter (Matevž Vahtar, G.P.), stanujoč na Črnučah 1 za katerega je v rubriki *Stand* zapisano *Hirt* (pastir). Na Črnučah 37 je živela neporočena *Inwohnerin* (gostačica) Apollonija Koß (Apolonija Kos, G.P.), rojena prav tako 1758.¹⁸ Najstarejša vpisana na Gmajni sta bila uradno gostačica Margareta Maurer/Aurer¹⁹ z Gmajne 6 in moj prednik Franz Petritsch *Großvater* (Franc Petrič, stari oče, G.P.), oba rojena 1760.²⁰

Zapisnik duš je začel nastajati različno, odvisno od primera do primera, v letih 1825 in 1826. Knjiga je pretežno v nemškem jeziku, v pisavi kurenta,²¹ ki pa je

18 Letnica rojstva Apollonije Koß je verjetno napačna, kajti v knjigi umrlih župnije Črnuče 1812–1872 je zapisano, da je umrla leta 1830 v starosti 87 let, kar pomeni, da bi se v resnici morala roditi leta 1743.

19 Ime je prečrtano in zato se ne da natančno prebrati. Ni bilo mogoče ugotoviti, od kod je prišla.

20 Letnica rojstva Franza Petritscha je verjetno prav tako napačna; v knjigi umrlih župnije Črnuče 1812–1872 je zabeleženo, da je umrl leta 1828 v starosti 78 let. To pomeni, da bi se v resnici moral roditi leta 1750. Tudi glede na dejstvo, da je bil njegov sin Lovrenc rojen 1777, je letnica rojstva za Franca prejkone res 1750.

21 Kurenta je stara oblika nemškega rokopisa, ki temelji na poznosrednjeveškem kurzivu, znanem tudi kot Kurrentschrift, deutsche Schrift in nemški kurziv. Uporabljala se je le za nemška besedila med 16. in 20. stoletjem. Obstajale so številne različice, ki se v isti knjigi lahko nahajajo sočasno; za nekatere velike črke je npr. obstajalo več kot 30 različnih oblik (Košir, *Nemška paleografija od 16. do 20. stoletja*).

žal zelo nečitljiva. Nekateri datumi so v latinščini, npr. 14. 7^{ber}, 19. X^{ber}, 9. X^{ber}.²² Namesto ponavljanja imen in deskriptorjev je pogosto zapisana kratica *dt.* (*deto*). Med vpisi ponekod občasno razberemo tudi vpise v latinici, ki so morda bili dodani kasneje.

Nad zgornjo črto razpredelnice je levo napisana zaporedna številka strani, nato domače ime vpisane družine, v sredini strani pa *Dorf Gmaina* (vas Gmajna).²³ Prvi stolpec levo je rezerviran za hišno številko, ki je vpisana samo pri prvi osebi, nato sledijo vpisi, kot zahtevajo rubrike. Rubriki *Kommunikanten* in *Gefirmte* (Obhajanci in Birmanci) sta ostali neizpolnjeni, v vsaki vrstici prečrtani s poševnico, nato pa rubrika *Ausfrags-und-Osterbeichtanmerkungen* (Opombe o izpraševanju in Velikonočni spovedi). Pri izpraševanju je vpisana letnica samo prvič, nato je vikar samo izpolnjeval rubrike za naslednja leta, ne da bi vpisal letnico. V vsako rubriko je vpisal kratico, domnevno oceno: *b.*, *b./m.*, *m. d.*, *d. m.*, *b. d.*, *b. dd.* Omenjene kratice si je po mnenju M. Sadka možno razlagati kot tristopenjsko ocenjevanje: *b.* (*bene* – dobro), *b.d.* in *b. dd.* (*bene didicit* – dobro se je naučil/-a), *m. d.* (*mediocriter didicit* – povprečno se je naučil/-a) ter *n. d.* (*non didicit* – ni se naučil/-a) (Sadek, 2024).²⁴

Vikar Potočnik je v razpredelnico vpisal vse družinske člane s pripadajočimi podatki, umrle otroke pa je zatem označil tudi s križem pred imenom. Če je kdo od starih umrl, ga je običajno prečrtal, letnice smrti pa ni navedene nikjer. Vrstni red vpisov ni vedno enak zaporedju rojstev; zadnji rojeni otrok je lahko vpisan npr. za starim očetom, iz česar sklepam, da vikar ni vpisoval sproti, ampak bodisi vse naenkrat ali postopno, »za nazaj«, kar pomeni, da je podatke od nekod prepisal, morda iz matičnih knjig.

3.2.2. *Status animarum 1762–1875*

Latinski obrazec iz knjige *Status animarum 1762–1875* je bil preprost in je imel rubrike, ki so bile med sabo ločene z navpičnimi črtami in so obsegale levi in desni list knjige. Vodoravne črte oz. mrežo za vpisovanje podatkov si je načrtal duhovnik sam. Rubrike so prikazane v tabeli 3.

Zadnja velika vodoravna rubrika je bila rezervirana za *Mores* (običaji, obnašanje). Na desni strani knjige je bil pod *Scientia religionis* čez celo napis *Anno* (leto). Pod

²² 14. september, 19. december, 9. december.

²³ Vsi prevodi Gregor Petrič.

²⁴ Pojasnilo mag. Mitje Sadka, učitelja za latinski jezik na Alma Mater Europea Univerzi, v odgovor na moje vprašanje po elektronski pošti, 5. 3. 2024.

njim je bilo 22 razdelkov z vpisano letnico 18--, zadnji dve mesti za števili sta bili prazni in sta se dopisovali sproti. Navpične in vodoravne črte – mrežo – je vpisovalec narisal sam, po eno vrstico za vsako osebo. Čisto zadnje je okence z napisom *Adnotatio* (Opomba).

V *Status animarum 1762–1875* so začeli vpisovati leta 1836 in nadaljevali do 1857, v nekaterih primerih je znanje krščanskega nauka preverjeno do vključno 1873. Do 1845 je vpisoval vikar Trampuš, za njim pa vikar in pozneje župnik Supin (Zupin). Tako kot je bilo v navadi, se pod vpise nista podpisovala.

Rubrike razpredelnice so že natisnjene in opremljene z besedilom, vrstice pa je moral napraviti vpisovalec sam, glede na število članov družine, ki jih je moral vpisati po načelu ena stran v knjigi, ena hišna številka. Rubrike so v latinščini, vpisi v latinščini in v latinici, medtem ko so imena mesecev v nemškem jeziku, prav tako so ponemčena osebna imena.

Tabela 3: Transkribiran obrazec na levi strani knjige *Status animarum 1762–1875* (Nadškofijski arhiv Ljubljana 2023).

Locus				Tempus						Mores.
Numerus domus.	Nomen vulgare.	Nomen et cognomen.	Conditio.	Nativitatis.	Confirmat.	Confess. Imse.	Commun. Imse.	Copulationis.	Mortis.	

Kot vzorec je izbrana prva stran, kjer sta vpisani samo dve osebi: družinski oče in njegova žena, po domače Oblakova, z naslova Zhernuzh 1. Prvi je umrl star 69 let in označena so velikonočna spraševanja do leta 1850. Od 1839 dalje so rubrike ali prazne ali pa označene samo s piko, kar verjetno pomeni odsotnost, saj so tako označene vse rubrike po njegovi smrti. Za leti 1836 in 1838 je izpraševalec napravil poševno črtico, za leto 1837 je rubrika tudi označena, a drugače. Videti je, kot da sta črtici dve. To bi lahko pomenilo marsikaj: da vprašani iz nekega razloga ni opravil izpraševanja ali da je moral na vprašanja odgovarjati dvakrat ali pa gre morda za znak, ki pomeni oceno znanja. Če si v povečavi ogledamo še oznake pri izpraševanju njegove žene, ki je 1849 umrla v starosti 70 let, vidimo, da je izpraševalec uporabljal različne znake – dvojno in celo trojno poševnico, zraven pa še

kljukico, vse do leta njene smrti. Kjer je pisal s črnilom (do vključno 1838), je še možno kaj razbrati, po letu 1839 pa so rubrike vpisane s svinčnikom, ki je zbledel in so vpisi zabrisani. V desnem polju knjige, ki ni prikazan v tabeli, piše *Scientia religionis. Anno.* in pod letnicama 1845 in 1846 je s črnilom pripisano 1872/73, iz česar bi se dalo sklepati, da je bil zapis v tem obdobju popravljen. Drugih vrstic za ostale družinske člane vpisovalec ni narisal, saj sta bila zakonca očitno brez potomcev. Tako sta preostanka obeh strani knjige ostala prazna.

3.2.3. *Status animarum 1791–1886*

Latinski obrazec knjige *Status animarum 1791–1886* je že imel natisnjene vse rubrike in črte, je pa od vseh najbolj zapleten. Pri večini vpisov je označeno prvo leto izpraševanja krščanskega nauka v letu 1872; leto 1873 je izpuščeno in vpisano ponovno 1874. Vemo, da je v obdobju 1873/4 razsajala epidemija črnih koz, ki je pomorila veliko ljudi in se v drugi polovici 1874 umirila. V tem obdobju, med 1854 in 1875 je bil vikar na Črnučah Jožef Supin (Zupin), ki je leta 1862 postal črnuški župnik. Glede izpuščenega vpisovanja lahko domnevamo, da je bila poleg epidemije in strahu pred širjenjem okužb dodatno kriva še duhovnikova bolezen, saj je, tedaj že župnik, Supin leta 1875 umrl za vodenico. Nato si vpisi sledijo vse do 1876. Leto 1877 je ponovno izpuščeno (vemo, da je bil Supinov naslednik, župnik Toman, celo leto bolan), 1878 pa vpisano. Takrat je bil od junija 1877 začasni administrator Lovro Mazek, ki se je do 1878 pripravljaj na konkurzni izpit ter bil 1879 imenovan za župnika. Dokaj verjetno je, da je zatem bolehal dlje časa, saj je aprila 1886 umrl za trebušno jetiko.²⁵ Tako lahko pojasnimo, zakaj prav do 1886 (leta ponovnega izbruha kolere), ko je sicer vpisano zadnje izpraševanje, ni bilo vpisanega nič. Vpisi si torej sledijo kronološko, a žal z mnogimi izpusti.²⁶

Iz pričujoče knjige je kot primer predstavljena družina na naslovu Črnuče 1, hišno ime Oblak. Začetek vpisovanja je leta 1868. Starša sta imela tri otroke, vpisovalec pa razen imen ni zabeležil njihovih osebnih podatkov; le rojstvo, smrt in poroko staršev, manjka tudi kraj poroke. Vpisi so pomanjkljivi, videti je, da so bili napravljeni v naglici. Pri opombah si je župnik v prvi vrsti napravil številčne zaznambe (0–1) in v naslednji vrsti 2, ki si jih ne znam razložiti. Predvidevam, da so si vpisovalci pogosto pomagali s simboli (črtice, kljukice, pike, števila...), ker

25 Spletni medicinski slovar *Termania* izraza trebušna jetika ne pozna. Leta 1886 je na Slovenskem razsajala epidemija kolere. Glede na leto smrti bi vzrok župnikove smrti lahko bila prav ta bolezen.

26 Podatki o vikarjih in župnikih povzeti po Blaž Otrin, *Duhovniki na Črnučah* (Tam čez Savo na Črnučah, 2013).

je bilo premalo prostora za daljše vpise, kot na primer opisne ocene znanja. Rubrika *vaccinatus* (cepljen) je povsod prazna, čeprav naj bi k cepljenju ljudi nago-varjala tudi Cerkev, a kot kaže niti župniki poziva oblasti niso jemali prav resno.

Tabela 4: Transkribiran obrazec v knjigi *Status animarum 1791–1842* (Nadškofijski arhiv Ljubljana 2023).

Nomen loci, seu Vicinitatis						Nomen vulgare: Numerus Domus									
Singulorum habitantium		Nativitatis				vaccinatus	confirmatus	primo confessus	pimo commun.	matrimon. junc.	Mortuus	1	An communicaverit in Pascha?	ADNOTATIO	
NOMEN & Cognomen	Conditio	locus	dies	mensis	Annus							2	An sciat rudimenta fidei?		
													3		Mores
												Anno millesimo octingentesimo			
												Anno millesimo octingentesimo			

Rubrika o znanju krščanskega nauka je po letu 1906 izginila iz obrazca; enako velja za rubriko značaj (mores).

3.2.4. *Status animarum 1810–1914*

V 20. stoletju se v zapisnikih duš pojavijo slovenski obrazci, ki so prevod prejšnjih, latinskih. *Status animarum* župnije Črnuče 1810–1914 ima tako rubrike kot vpise v slovenskem jeziku.

Znanje krščanskega nauka je vpisano med leti 1887 in 1898, v nekaterih primerih do 1906. To pomeni, da se zapisnik duš začne voditi s prvim letom vpisa; kar je v knjigi starejših datumov (gre za obdobje 77 let!), se nanašajo na rojstne letnice nekaterih vpisanih posameznikov.

Med leti 1886 in 1905 je bil župnik na Črnučah Janez Kobilica, ki je leta 1905 hudo zbolel in umrl (Otrin 2013, 207). Lahko domnevam, da se je njegova bolezen nakazovala že prej, kar bi lahko pojasnilo praznine v izpraševanju oz. zapisovanju znanja krščanskega nauka v zapisniku duš med leti 1898 in 1905/6. Takoj po njegovi smrti je 1906 službo črnuškega župnika prevzel Frančišek Mekinec, a je bil tudi on bolehen in že 1908 umrl. Za njim je prišel župnik Nikolaj Stazinski in ostal do 1913 (Ibid. 207–8). Po letu 1906 vpisov izpraševanja krščanskega nauka ni več.

Kot primer sem izbral stran 72, kjer je zabeležen moj soimenjak in pra-pra-praded Gregor Petrič, stanujoč na Gmajni 12. Hišno ime je zabeleženo v rubriki skrajno desno, kjer piše Tratnik – kajža. Duhovnik se je zelo potrudil in imena

družinskih članov vpisal z res lepo pisavo. Imena mesecev so slovenska (npr. 8. marca), medtem ko je v rubriko *Stan* vpisoval kratice latinskih izrazov – pri očetu *ptf.* – pater familias in pri materi *mtf.* – mater familias, spodaj pa je pripisal v slovenščini *vdova*), in latinske okrajšave za sinove oz. hčere, *fls* (filius) oz. *fla* (filia). Tudi nekatere opombe je zapisal v latinskem jeziku, npr. *vide infra...* (glej spodaj).

Velikonočna izpraševanja so zabeležena le pri ženi Poloni in le delno pri dveh od sedmih otrok, od teh se je sin Jakob, ki je bil vojak, po vrnitvi domov preselil na Gmajno 14, k vdovi, s katero se je poročil 19. 7. 1890. Drugod so rubrike za izpraševanje ostale prazne. Žal v opombah ni pojasnjen razlog. Uspešno opravljeno izpraševanje je župnik označil s +, domnevno neuspešno ali pa morda odsotnost pa s poševnico /.

3.2.5. Posebni Status animarum - Knjiga gostačev²⁷/osobenjkov²⁸ 1775–1913

Ti slovenski obrazci so bili že na prvi pogled drugačni od ostalih za stalne prebivalce. Levo zgoraj je rubrika *Stanuje v:*. Sledi pravokotna rubrika, razdeljena v štiri prazna vodoravna polja, namenjena vpisovanju naslovov stanovanj, zatem razdelek *Hišna štev.:*, ki mu sledijo 4 vodoravna polja.

Spodnje rubrike si sledijo takole: *Ime gostača (osobenjka)*, *Stan*, *Rojstva* (eno vrstico niže pa *Kraj, dan, mesec, leto*) in *Leto* (pod tem *poroke, smrti*). Naslednja rubrika je *Izpraševanje za velikonočno spoved* (pod tem *leta osemnajsto* in še eno vrstico niže 12 praznih kvadratkov za vpis letnic). Sledi rubrika *Kedaj?* (spodaj ima dve okenci za *prišel v faro?* in *odšel iz fare?*). Zadnja rubrika je *Opazka*.

V tem zapisniku duš 1775–1913 je čisto na vrhu strani 1 v rubriki *Stanuje v:* napisano Črnuče št. 1. Kot prvi je vpisan gostač z družino. V rubriki *Stan*, desno od imena, tokrat ne piše pater familias oz. družinski oče, ampak njegov poklic - žel(ezniški) čuvaj, zraven imena Marija, roj. Brgant, pa je pripis žena. Njuni trije otroci so vsak zase označeni z besedo *sin*. Vsi so bili rojeni v Št. Vidu nad Ljubljano, le zadnji sin v Zg(ornji) Šiški. Predpostavljam, da se je družina selila

²⁷ Gostači so bili najemniki na podeželju, večinoma na posestvih bogatejših kmetov. Živeli so v bajtah, ki jih je postavil kmet. Preživljali so se z obrtjo, trgovino, mezdnim delom. Niso imeli svoje zemlje. Včasih so najem bajte odplačevali z delom (povzeto po Leskošek 2012, 9). Slovar slovenskega knjižnega jezika: *gostač* -a m (á) v kmečkem okolju, nekdanj: kdor stanuje v tuji, najeti hiši.

²⁸ Osebenjki (*Freileute*) so zabeleženi že v urbarjih iz 16. stoletja. Gre za kmečko služničad in gostače, ki so bili revni in niso imeli svoje zemlje. Ime prihaja od človeka, ali rodbine, ki živi »ob sebi«, torej ima določeno gospodarsko samostojnost /.../. Gre za neke vrste kmečki proletarijat in polproletarijat (povzeto po Leskošek 2012, 8). V uporabi je bila tudi različica *osobenjki* kot sopomenka za *gostač*. Slovar slovenskega knjižnega jezika izraza v tem smislu ne pozna.

zaradi očetove službe, saj so železniški čuvaji z družinami običajno stanovali v »svoji« čuvajnici. Pri vseh je vpisan datum rojstva. Rubrike o izpraševanju krščanskega nauka so prazne. Zabeležena sta le še datum poroke staršev in leto, ko je prvo imenovani prišel v faro. Datum odselitve ni zabeležen, tako da sklepam, da je družina ostala na Črnučah.

Na koncu knjige gostačev je repozitorij (kazalo), v katerem so sezname, ki se ponekod raztezajo čez več strani knjige (npr. več strani je označeno s številko 22), na katerih se nahajajo naslovi posameznih gostačev. Poimensko upoštevani so le tisti, ki so ves čas živeli na Črnučah.

3.3. PREBIVALCI GMAJNE V ZAPISNIKIH DUŠ

Zapisniki duš župnije Črnuče med 1810 in 1914 vsebujejo zelo veliko količino podatkov, zato se pričujoča analiza omejuje na severni predel Črnuč - Gmajno. Kakšna podoba črnuške Gmajne v drugi polovici 19. stoletja se kaže v zapisnikih duš? Kdo so bili poleg staroselcev še prebivalci tega predela? Mladi so se poročali in če niso našli ženina ali neveste v svoji okolici, so se podali iskat drugam, kam? Koliko so bili stari, ko so vstopali v zakon, koliko otrok so imeli, koliko jih je pomrlo v rani mladosti in zakaj? Vsega naštetega ni bilo mogoče natančno raziskati, ker v zapisnikih duš veliko podatkov manjka. Vprašanje, kako dolgo so včasih ljudje živeli in kako so na neugodno statistiko smrti vplivale ponavljajoče se epidemije nalezljivih bolezni, je tako ostalo odgovorjeno le na pol, s podatki, ki so bili na voljo. In slednjič, kaj so v opombe k posameznikom zapisovali župniki in v kolikšni meri nam le-te, kot koščki sestavljanke, lahko pomagajo pri sestavljanju celotne slike takratnega vaškega življenja.

Raziskava je pokazala, da je bilo 12 nevest doma z Gmajne. Sledijo Črnuče s sedmimi nevestami, na tretjem mestu pa je Tacen s štirimi. Po dve sta bili iz Male vasi, Podgorice, Šentjakoba in Vesce (pri Skaručni). Naslednji kraji so dali po eno nevesto: Beričevo (Dol pri Ljubljani), Boštanj, Buč (Šmartno v Tuhinju), Dravlje, Glince, Homec, Hrastje, Jama (Mavčiče), Javorje pri Litiji, Kamnik, Mlaka (Tunjice), Savlje, Soteska, Stanežiče, Suhadole (Komenda), Veliki Mengeš in Vojsko. Dekleta po večini niso zelo hitela s poroko. Le dve nevesti sta se poročili stari 19 let, dve dvajset, ostale pa po 23. letu in vse do zgodnjih tridesetih. Prve štiri neveste so bile po tedanji zakonodaji še mladoletne in so za poroko morale imeti dovoljenje očeta, kar je bilo, kot piše Krampač, v poročnih knjigah navadno

napisano na desni strani (Krampač, 2012, 151). Krampač celo trdi, da »je bila najvišja starost, pri kateri so ljudje postali polnoletni, 24 let (Ibid. 151), kar bi pomenilo, da so bile mladoletne tudi tri 23 letne neveste.²⁹ Vse, ki so se poročile starejše, so bile vdove in so se poročale drugič. Trikrat se ni poročila nobena.

Tudi pri fantih je bilo največ ženinov z Gmajne, 23 po številu, s Črnuč 10, po dva pa sta prišla iz Most pri Komendi, Podboršta in Pšate. Iz naslednjih krajev je prišel po en ženin: Dobeno, Dragomelj, Gruberjeva ul. (Ljubljana-sv. Jakob), Ježa, Obrije, Podmolnik, Rašica (v Zapisniku duš vpisana kot Vrašica), Spodnje Gameljne, Špital, Trst in Vesca.

Fantje so se po večini poročali potem, ko so odslužili vojsko. Zato prav veliko mladih ženinov ni. Le eden je ob poroki imel 22 let, ostali so se poročali od 24. leta dalje pa do 34 let. Starejši ženini so bili praviloma enkratni ali celo že dvakratni vdovci: najmlajši med njimi je imel le 33 let, najstarejša dva pa 63 in 66.

Na Gmajni v drugi polovici 19. stoletja tako rekoč ni hiše, ki se ne bi soočila z izgubo vsaj enega otroka, so pa bile družine, kjer je v rani mladosti pomrla večina otrok. Tako usodo je doživel zakonski par, ki je živel na Gmajni št. 2. Poročila sta se leta 1882, ženin star 29 in nevesta 34 let in postala starša sedmih otrok, nevesta je v zakon pripeljala še nezakonsko hčerko; umrlo jima je šest otrok, starih 9 let, 6 tednov, nekaj manj kot 4 mesece, 4 leta in 1 leto. Predzadnji otrok je umrl star komaj 7 dni in župnik Mazek je kot vzrok smrti navedel krče³⁰. Le nekaj hiš naprej, na Gmajni št. 6, je imel par, poročen 1874 (ženin star 29 in nevesta 24 let) osem otrok, od katerih sta preživela le dva. Štirje so umrli kmalu po rojstvu oz. v rani mladosti, stari 3 dni, 10 mesecev, 2 leti in 6 dni. Dva sta umrla stara 15 oz. 23 let. Tudi mojemu predniku Gregorju Petriču in ženi Poloni, roj. Kuclar, z Gmajne 12, ki sta se poročila 1851, stara 40 in 26 let, se je rodilo 7 otrok,³¹ od katerih je pomrlo 5 – v starosti 2 leti (vikar Supin je kot vzrok smrti navedel grižo), 7 mesecev (krči), 5 mesecev (krči), 4 dni in 8 let (vnetje grla). Krči so nasploh najpogosteje navedeni vzrok smrti. Le pri petmesečnem dojenčku para z Gmajne 8, poročenega 1898, je župnik Kobilica vpisal kot vzrok smrti meningitis. Ta

29 V Poročni knjigi župnije Črnuče 1836–1900 sem preveril vpis poroke 23-letne Frančiške, ki se je poročila 27. maja 1900. Na dnu rubrik, namenjenih staršem poročencem in prve priče, je župnikov pripis: »Oče ml. neveste dovolim ustmeno (bil je nepismen, op. G.P.) v zakon z /.../«. Namesto očetovega podpisa je križec. Namesto podpisa prve priče enako križec in njeno ime, ki ga je vpisal župnik. Sledi še podpis župnika, ki je tedaj bil J. Kobilica.

30 Vzrok smrti so v zapisnikih duš navajali zelo poredko.

31 Otrok je bilo v resnici devet, vendar se dva v zapisniku duš ne pojavita. Tudi ta dva sta umrla.

otrok je umrl v Ljubljani in je eden redkih, pri katerem je bila ob smrti podana zdravniška diagnoza. Ne smemo pa pozabiti na epidemije črnih koz: 1873/74 je v zapisniku duš zabeležena smrt treh otrok; med naslednjo, 1881/82, so umrli prav tako trije; v tretjem valu, 1887/88, pa je umrlo osem otrok. Vzrok smrti večinoma ni naveden, zato ne moremo z gotovostjo trditi, da so vsi umrli zaradi črnih koz. Ta izrez iz žalostne statistike o umrljivosti otrok na Gmajni priča o težkih življenjskih razmerah v pogojih revščine. Le redko kateri starši so si lahko privoščili zdravnika, tudi higienijski pogoji so bili slabi. V takšnih pogojih je bila smrt otrok pričakovana.

Medtem ko so župniki vestno beležili datume rojstva odraslih prebivalcev Gmajne, pa je v okencih za vpis datuma smrti veliko praznin. Krampač ugotavlja, da je celo v mrliških knjigah starost umrlih velikokrat nenatančna in da je dostikrat potrebno prišteti ali odšteti tudi pet ali več let. Najmanjša odstopanja so pri vpisu starosti umrlih otrok. Krampač ta odstopanja pripisuje matičarjevemu zapisu slišane oz. povedane starosti, ne da bi to preveril v krstni knjigi (Krampač 2012, 187–188).

Na Gmajni je živelo dosti gostačev, ki so se pogosto selili in se je za njimi izgubila vsaka sled. Datum smrti praviloma manjka pri tistih, ki so zabeleženi kot *ribič*, *delavec*, *tesar*, *kovač*, čevljar samec... Vendar tudi pri stalnih prebivalcih pogosto ni zapisano, kdaj so umrli, kot je primer mojih prednikov Franca Petriča z Gmajne 12 in Jakoba Petriča z Gmajne 14. Datum smrti pogosto manjka tudi pri žen(sk)ah. Videti je, da so župniki v zapisnik duš vpisovali datume smrti pri osebah, ki so bile pokopane na Črnučah. O drugih so prejeli informacije od drugod, največkrat od svojcev, kar lahko sklepamo iz opomb, kjer občasno piše, da je nekdo umrl v ljubljanski bolnici ali celo blaznici. Kadar je ob tem naveden datum smrti, je podatek mogoče preveriti.³² Analiza podatkov iz zapisnika duš za obdobje 1810–1914 je pokazala, da je najstarejši prebivalec Gmajne dočakal 80 let, najmlajši umrli v odrasli dobi pa komaj 20 let. Deset oseb lahko uvrstimo v razpon med 70 in 79 let. Starejšega od 80 let ni bilo nikogar.

Na osnovi razpoložljivih podatkov sem napravil izračun povprečnih starosti. Pri ženskah je znašala 56,8 let, pri moških pa le dobrih 48 let. Povprečna starost ne glede na spol je bila le dobrih 52 let.

³² Bolnica v Ljubljani je namreč vodila svojo knjigo umrlih in protokol je zahteval, da se ob datumu smrti navede tudi zdravniška diagnoza, ki je vedno v latinskem jeziku.

Ponavljajoče se epidemije črnih koz so tudi med odraslimi zanesljivo terjale svoj davek. Vse, kar lahko rečemo o tem, je le število odraslih oseb, ki so umrle v letih epidemij. V letih 1873/4 sta v zapisniku duš zabeleženi le dve smrti,³³ v drugem valu črnih koz, 1881/82,³⁴ so zabeleženi trije datumi smrti in pri zadnjem, 1887/88, šest. Tudi v teh dveh obdobjih veliko datumov smrti v zapisniku duš ni bilo zabeleženih.

Dosežena starost odraslih oseb na Gmajni je bila analizirana tudi na podlagi predhodnih zapisnikov duš: SA 1759–1842: leto smrti ni vpisano nikjer; SA 1762–1875: povprečje 56 let, veliko letnic smrti manjka; SA 1791–1886: 59,9 let, veliko podatkov manjka; SA 1775–1913 (gostači): 40,4 leta, zelo pomanjkljivi vpisi smrti.

V drugem in tretjem zapisniku duš (1762–1875 in 1791–1886) pa so pri nekaterih umrlih navedeni razlogi za smrt: moški z Gmajne 1, umrl 1866, ima zabeleženo *Fraisen* – krči;³⁵ ženska, umrla na Gmajni 2 leta 1836, ima zabeleženo *an Folgen ... langwieriger Ruhr* (slabo čitljivo) – za posledicami ... dolgotrajne griže; ženska z Gmajne 8, umrla le nekaj dni prej istega leta, prav tako z oznako *Ruhr* – griža; ženska z Gmajne 12, umrla 1855 ima zabeleženo *Fraisen* – krči. Navedeni primeri smrti so z dokajšnjo verjetnostjo posledica obolelosti s kolerom. Pri ostalih dveh umrlih, v letih 1849 in 1866, sta navedena druga vzroka smrti, *Altersschwäche* - starostna oslabelelost in *Lungenlähmung* - paraliza pljuč.

O življenju župljanov veliko povedo opombe, ki so jih duhovniki vpisovali v rubriko Opombe ali pa kam drugam, kjer je bil prostor. Znanje krščanskega nauka je označeno s križcem (tudi dvema), veliko polj je praznih. Pri številnih je v praznem polju vpisano *vojak*.

Največ opomb zadeva zaposlitev oz. vojaški stan: *Nb (nota bene) dela v Lj* ; žel. del. (železniški delavec); *v Ljubljano železnica; sprevodnik pri železnici; v fabr.; vajenec iz Most; služi; lesar v Lj.; ribič delavec ptf; dragonec; služi: za (pa)stirja; del. v Ljub. tesar, Ljublj. del.; v tovarni; sodar učenec* itd.

33 Pri nobenem od obeh umrlih ni mogoče sklepati, da bi umrla zaradi črnih koz.

34 Tudi pri teh umrlih so v varnostni kopiji navedeni vzroki smrti, iz katerih ni mogoče sklepati o bolezni.

35 *Volksmedizin in Tirol*, str. 94: »Fraisen (von »freisa« = Gefahr) ... die sich in Zittern und Krämpfen äußerten« (Fraisen (iz »freisa« = nevarnost)... ki so se izražali s tresenjem in krči, prev. G.P.). Na strani 97 je zapis »die Fraisen der jungen Kinder« (Krči pri majhnih otrocih, G.P.).

Pri ženskah je bilo zabeleženo, če so bile *vdove*, če so bile drugič poročene: *uxor 2^{da}*; *uxor 3^{ta}*; *poročena pri frančišk.* če so imele kako drugo posebnost: *soror Theresiae slepa.*

Pri imenih otrok je zabeleženo, če so se poročili: *nupsit Černuče n° 43*; *nupsit Ljubljana*; *Nupsit Podboršt N° 3*; *Nupsit Gmajna N° 11*; 20. X. 1895 *nupsit*: Černuče *gostači*; *omož. 27/2 1905*; *oženil v Ameriki.*

Nekaj opomb zadeva izselitev oz. preselitev : v *Amek.* ,12 (Odšel v Ameriko 1912); *Stanuje 1898 – dalje v Ljubljani*; : *Preselil se v Ljublj. 24.4. 1898*; *Prišel s svojo družino na Gmajno*; *Glej: gostači - 1902 si sezidal lastno hišo: Podboršt št. 11*; v *Tomačevem 5 let*, v *Šmartnem Sv. Peter 1894*; *Šmartno*; 1896 *dto.*

Zabeležene so prodaje hiše: *Posestnik /.../ je to svoje posestvo prodal svoji sestri Mariji, omoženi: in odšel 14. 3. 1903 s pelznici³⁶ v Ameriko: žena pride za njim tja – k svojim sorodnikom*; *To hišo prodal: 1902 posestnik: spodaj; kupil 1904*; 1897 *Na Ježici – Savle hišo kupil; Kupil mi je gospodar.*

Pogosto so zabeležene posebnosti v zvezi s smrtjo: za otroka *N.+ (natus +, rojen mrtev)* in pripis *mrtvorojeno*; za odraslega *v blaznici umrl* ; gospodar ima pred imenom križ in v rubriki Opombe je vpisano *bolan*; ob letnici smrti ženske pripis *v ljublj. bolnišnici*; ob letnici smrti mladega moškega pripis *vojak*; v *Trstu utonil v morju – tesar: se ponesrečil*; *umrla v deželni bolnici*; pri gostaču je napisal *ga meče* in zatem *umrl v blaznici ljubljanski*; *Utonila v Savi – šla po »protje« pri povodnji*; *utonil v Črnušnici na jezui pri Mlinarju*; v *Ljublj. hiralnici*; itd.

Moralne pregrehe in zločiniso prav tako zabeleženi: čevljar samec *alkoholista*; *zaprta*; *umorjena*; *filius noquam! Incarcerare Gradisca Istria. Incarceratus 8 annos! Umrl in Gradisca* (nikakršen sin! Zaprt v Gradiški v Istri. 8 let ječe! Umrl v Gradiški); *vagabunda incarcerata 1878 – scandalum!!!* (Potepuhinja: zaprta 1878 – greh!!!). Za nekoga je v rubriki Znanje kerščanskega nauka napisano *in carcere* (v ječi) kot razlog, da ga ni bilo na velikonočno spraševanje.

Včasih se je župnik zmotil in gostače vpisal v glavno knjigo, nato pa je pripisal: *Vide: Statum: Inquillinorum* - Glej Status animarum *gostači*, družino pa vpisal s svinčnikom.³⁷

36 Verjetno je imel v mislih besedo »penezi«, ki je nekoč pomenila denar.

37 Gostače so vedno vpisovali s svinčnikom, verjetno za to, da jih je bilo po potrebi mogoče »prestaviti« na drug naslov.

4 ZAKLJUČEK

Dokler se niso začeli uporabljati slovenski obrazci, je bila poleg pisave kurente zapovedana nemška ortografija in posledično ponemčevanje slovenskih imen, npr. Gertrud ali Gertraud namesto Jera, Matthias namesto Matija, Maria namesto Marija... Enako je veljalo za priimke, imena krajev, ulic ali župnij, za datume in opombe. Tudi v latinsko pisanih zapisnikih duš so vsa imena še vedno ponemčena, čeprav laže berljiva, ker so pisana v latinici. Šele v knjigi *Status animarum 1810–1914* s slovenskimi obrazci so vpisi v slovenskem jeziku, s tem pa tudi vsa imena in opombe. Izpostaviti velja na videz suhoparno uradniško rubriko, namenjeno vpisovanju statusa posameznika, saj je odraz duha časa: v prvem zapisniku duš se je stan posameznika (Stand) vpisoval v nemščini, v drugem in tretjem v latinščini (npr. za gospodarja *possesor* in za njegovo ženo *ejus uxor*), v slovenskem zapisniku duš pa večinoma v latinščini in deloma v slovenščini (npr. *posestnik*, zraven pa *ptfs.* (pater familias in za njegovo ženo *mtfs.*). Podoben mešani model vidimo v knjigi gostačev. V zadnjih dveh zapisnikih duš je bilo pri ženskah s *coelebs* posebej označeno, če so bile samske, saj je bila neporočenost še vedno obravnavana kot nekaj slabega. Neporočene ženske so imele nižji družbeni status od poročenih, najnižjega pa neporočene matere, kar je bilo v rubriki prav tako označeno (*coelebs mtf.*). Tudi izraz *samica*, ki se občasno pojavi v slovensko pisanem zapisniku duš in knjigi gostačev, ima slabšalni prizvok. Izraz *samec* se uporablja tudi za neporočene moške; je ravno tako slabšalen in pogosto v navezi s posameznikovimi pregrehami, kot npr. alkoholizem ali potepuštvu.

Pri otrocih so se uporabljale posebne oznake le, če je šlo za otroke iz različnih zakonov ali nezakonske otroke. V prvem primeru je vpisovalec v rubriko Stan vpisal *fls. I. th.*³⁸ (sin iz prvega zakona) ali morda *fls. II. th.* (sin iz drugega zakona), pri nezakonskem otroku pa je k njegovemu nezakonitemu statusu pripisal tudi ime matere, npr. *fla. illegit. Gertrudis* (nezakonska hči Jere). Nezakonski otroci so bili praviloma vpisani na dnu strani, za ostalimi člani družine, kar tudi kaže na njihov nizek družbeni status. Če se je nezakonska mati poročila, je bil njen otrok pogosto pozakonjen: *legitimata per subsequens matrimonium 20. 10. 1895* (pozakonjena s kasnejšo poroko).

38 Iz *thorus*, zakonska postelja (Mitja Sadek po e-pošti)

Zapisniki duš župnije Črnuče so pisani trezno, stvarno, vpisovalci so se držali predpisanih obrazcev. Tako je župnik, potem ko sta materi z Gmajne 14 (enkrat v prvem in drugič drugem zakonu) v Črnušnici utonila kar dva otroka, stara 14 in 3 leta, tragična dogodka v opombah vestno zabeležil v slovenskem jeziku, a brez komentarja. Le sem in tja se je na nek dogodek, ki ga je razjezil, odzval čustveno, osebno prizadeto, tokrat v latinščini, npr. v primeru potepuštva, pijančevanja in podobnih pregeh.

Včasih bi pričakovali močnejši čustveni odziv, kot v primeru umorjene ženske na Črnučah leta 1904, a je župnik v opombo zapisal le *umorjena*, v zapisniku duš pa družino umorjene prečrtal. Seveda si lahko predstavljamo, da je dogodek ljudi močno pretresel in je marsikdo ostal brez besed, najbrž tudi župnik.

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Summary

*This article contains an analysis of the entries of the inhabitants of the parish of Črnuče in the period between 1810 and 1914, however, due to the wealth of information, the statistical processing was limited to the northern part of the parish named Gmajna. This publication is an excerpt from an extensive master's thesis and summarizes its most important findings. The first, theoretical part, gives an overview of previous publications and research on books entitled *Libri de statu animarum* or *Status animarum*, that were first prescribed by the Roman Rite (*Rituale Romanum*) in 1614, an outline narrowed down to the basic information required to understand the empirical part. In Slovene, various phrases are used to translate the original Latin name, but, for grammatical reasons, the present text employs 'zapisnik duš' (soul protocol) as a parallel name. Like the registers, the soul protocols, which were initially written on an occasional basis, were maintained in a narrative form, however, by 1830 this was gradually replaced by a tabular form. The tables varied over time and adapted to the ever changing requirements. Until 1906, in addition to the personal data of the family members from the head of the family downwards, private addresses were also entered, including the vulgar name of the house, dates of birth, marriage and death, Easter examination of Christian science and notes. Earlier entries also included data*

on a person's first confession, first communion and confirmation; for a time there was also a column for vaccination against smallpox. Soul protocols were and still are internal church documents that served and continue to serve the clerics to facilitate the management of their parishes. In the second half of the theoretical section the author seeks to establish a geographic and chronological framework. This begins with an introduction of Črnuče, once a small village on the outskirts of Ljubljana and from the 1970s onwards one of its suburbs, throughout its history. It begins with the first Roman settlements, then skips periods not relevant for this study, only to concentrate on the time between the 18th century and 1914. The article focuses particularly on the inhabitants of Črnuče between the 19th and the early 20th century. It depicts the life of the local population at that time, epidemics of infectious diseases such as small pox and cholera, the earthquake of 1895 and various other disasters, as well as the beginning of the First World War. A short history of Črnuče as well as its core industry – brick making – is included. The theoretical part wraps up with a review of studies on the origin of the names Črnuče and Gmajna. This is followed by a brief historical summary of the parish of Črnuče from the establishment of the vicariate onwards, with a particular emphasis on the construction of three churches, which is the link between the theoretical and empirical part that forms the core of this composition. The forms of soul protocols used in the parish of Črnuče in the 19th century are presented, with the first three dating back to the middle of the 18th century, as the "age" of the soul protocol is measured by the date of the oldest year recorded in the book. A German, hand-drawn form, two consecutive printed Latin forms and two printed Slovenian forms are presented, with the last form being slightly different and used for entries in the book of tenants. Five soul protocols, beginning with the *Status animarum* 1759–1842, are then presented transparently, ending with the book of tenants for the period 1775–1913. The core of the empirical part of the research focuses on the inhabitants of Gmajna in the *Status animarum* 1810–1914. Marriages at Gmajna, the number of births and child mortality, the average age of adults at death as well as the causes of death were researched and processed. In order to get a clearer picture of reaching adulthood, a comparative analysis was carried out in the previous soul protocols and in the book of tenants. Particular attention was drawn to the cholera and smallpox epidemics. The most interesting information was obtained by examining the notes of the clergymen in

the Status animarum 1810–1914 for the Gmajna area as well as the notes in the book of tenants. The empirical part of the thesis, due to text-volume limitations not included in this article, concludes with an excerpt from the analysis of the linguistic, formative and content-related specifics of the soul protocols discussed, with the most challenging being the Kurrent script, which is used in the oldest soul protocol but occasionally appears in others as well.

Typology: 1.03 Other Scientific Articles

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4. STRUKTURA PRISPEVKA

Prispevek naj vsebuje izvleček in ključne besede v angleškem jeziku in v materinem jeziku avtorja (če je prispevek napisan v maternem jeziku avtorja).

Pred naslovom članka naj bodo navedeni podatki o avtorju prispevka. Ime in priimek avtorja naj bo naveden v polni obliki. Prav tako naj bodo navedeni morebitni akademski in strokovni nazivi, institucija v kateri avtor dela ali se izobražuje, naslov ter elektronski naslov na katerem je avtor dosegljiv uredništvu in bralcem revije. Avtor naj vključi tudi kratko biografijo.

Če je avtorjev več, naj se sami dogovorijo in določijo vrstni red.

- **naslov (podnaslov)** naj bo kratek, jedrnat in informativen, ki natančno opredeli vsebino prispevka. Morebiten podnaslov mora biti od naslova ločen z ločilom. Za naslov in podnaslov naj bodo uporabljene besede, ki so primerne za indeksiranje in iskanje.

Naslov in podnaslov naj bosta tako v jeziku prispevka kot tudi v angleškem jeziku.

- **izvleček** morajo vsebovati vsi prispevki in sicer po strukturi IMRAD v skladu z ISO 214. Izvleček naj ne presega 250 besed ter naj bo napisan v tretji osebi. V izvlečku naj bo jasno opredeljen namen, zasnova, metodologija in pristop, ugotovitve in rezultati članka, omejitve kot tudi uporabnost in zaključki raziskave. Avtor naj določi do 5 ključnih besed ali besednih zvez, ki bodo primerne za indeksiranje in iskanje.

Izvleček naj bo napisan v **angleškem jeziku in v jeziku prispevka**.

Primer:

Izvleček

Namen: Z vrednotenjem dokumentarnega gradiva s pomočjo zakonskih meril arhivisti določajo arhivsko gradivo. Namen prispevka je podati historični pregled razvoja vrednotenja arhivskega gradiva v slovenskem prostoru in sprejemanje zakonske podlage, ki je za ta proces potrebna.

Metodologija: Z deskriptivno metodo je podan pregled vrednotenja od samih začetkov izvajanja tega procesa do danes, ko ima zato pravno podlago. S komparativno metodo je prikazan razvoj pristopov k vrednotenju v primerjavi s tujino.

Rezultati: Raziskava je prikazala, da je trend razvoja sledil mednarodnem okolju, vendar je ta razvoj nekoliko zastal v prelomnem obdobju, ki ga predstavlja uvajanje elektronskega poslovanja in pojav digitalnega arhivskega gradiva.

Sklepi: Vrednotenje v slovenskem prostoru ima trdne temelje in predstavlja dobro izhodišče za prihodnost. Ob vse bolj obsežnem elektronskem poslovanju ustvarjalcev arhivskega gradiva, je potrebno resno razmisliti o nadgradnji pristopa k vrednotenju.

Ključne besede: arhivsko gradivo, vrednotenje, pregled vrednotenja, arhivska zakonodaja.

- **Besedilo prispevka** naj vsebuje najmanj 15.000 in največ 30.000 znakov s presledki. Besedilo prispevka naj bo napisano v pisavi Times New Roman z velikostjo črk 12. Raven odstavkov naj odraža organizacijo članka. Poglavja prispevka so lahko razdeljena na podpoglavja, številčenje naj bo v skladu s standardoma SIST ISO 2145 in SIST ISO 690 (npr. 1, 1.1, 1.1.1 itd).
- **Seznam literature** sledi besedilu prispevka. V seznam literature avtor navede vse uporabljene vire in literaturo v prispevku v skladu z APA citiranjem (navodila glej točko 7 in Prilogo 1).
- **Povzetek (Summary)** naj obsega vsaj 500 besed v angleškem jeziku, zaradi mednarodne prisotnosti revije Atlanti.

5. OPOMBE

Opombe so praviloma napisane pod črto na dnu strani in oštevilčene z arabskimi številkami od začetka do konca besedila prispevka. **Opombe pod črto se uporabljajo za dodatna pojasnila besedila (avtorjeve komentarje) in niso namenjene navajanju in citiranju bibliografskih referenc (avtor jih lahko le nakaže).** Če se opomba nanaša na celoten stavek ali odstavek, se naj nahaja za končnim ločilom stavka. V primeru, da se opomba nanaša le na del stavka, naj se nahaja pred končnim ločilom.

6. SLIKOVNO IN GRAFIČNO GRADIVO

Prispevek lahko vsebuje slikovno in grafično gradivo ter tabele.

Vsak izmed njih naj bo tekoče oštevilčen od začetka do konca besedila (Tabela 1, Tabela 2, Slika 1, Graf 1, Slika 2 ...).

Vsaka tabela, preglednica, slika, graf mora imeti naslov. Naslovi tabel, preglednic in grafov naj bodo napisani nad njo. Tabelam naj bodo dodana ustrezna pojasnila (legenda). Naslovi slik pa naj bodo napisani pod sliko.

Če slikovno in grafično gradivo ni rezultat avtorjevega dela, mora biti naveden vir iz katerega so bili podatki pridobljeni. Slike morajo biti skenirane v primerni resoluciji (vsaj 300 dpi) v formatu .jpg, .tiff ali .png. Te vire je treba navesti tudi v seznamu literature.

7. CITIRANJE IN SEZNAM LITERATURE

Avtorji naj za navajanje virov uporabljajo APA Style in citiranje v tekstu. Podrobnejši primeri so prikazani v preglednici v Prilogi 1.

KLJUČNE SMERNICE ZA CITIRANJE:

- Citirani naj bodo le javnosti dostopni viri.
- Pri citiranju v tekstu je treba navesti **priimek avtorja/avtorjev, letnico vira in številko/številke strani**, ki se med seboj ločijo z vejico (Carruci, 2006); Semlič Rajh (2018, 43) meni ...
- Viri, ki so navedeni kot primer se navajajo kot v primeru. (glej Klasinc, 1999 ali Ratti, 2001), (več o tem, glej Johnsonn, 2006)
- Za navajanje sekundarnih virov se navaja avtorja/avtorje in leto primarnega vira, ki mu sledi navedba avtorja/avtorjev in leto sekundarnega vira. (Line, 1979, kot navedeno v Mihalič, 1984)
- Kadar vir nima avtorja ali urednika, se navaja naslov vira, ki mu sledi letnica publikacije. (Merriam-Webster's, 2003).
- Dobesedno citiranje naj se označi z narekovaji (" ") in številkami strani, tekst pa naj bo v ležeči pisavi.

V tem primeru tudi to novonastalo gradivo postane dediščina, saj »podobno kot analogna kulturna dediščina prehaja skozi procese nastanka, vrednotenja, zbiranja, dokumentiranja, komuniciranja in trajne hrambe« (Šojat-Bikić, 2013, 151).

KLJUČNE SMERNICE ZA NAVAJANJE VIROV V POGLAVJU »SEZNAM LITERATURE«

- Poglavje **Seznam literature** naj vsebuje le vire, ki so uporabljeni in citirani v tekstu. Vsi podatki naj bodo navedeni v izvornem jeziku, razen, če so navedeni v cirilici. V tem primeru naj avtor v oklepaju navede vir tudi v latinici).
- Če so uporabljeni viri istega avtorja in objavljeni v istem letu, se ločijo s črkami a, b, c ... Tako naj se navajajo tudi v tekstu. (Novak, 2002a, 2002b), Novak (2002a, 2002b) predstavlja . . .
- Če je uporabljen vir še vedno v tisku ali še ni bil objavljen, se to navede, kjer se običajno navaja letnica.

- Navajanje virov dostopnih na spletu se smiselno uporabljajo zgornja navodila, treba je dodati »Pridobljeno na« in spletno povezavo na vir ali doi povezavo, ki mu sledi v oklepaju datum dostopa (npr. (dostop 15. 5. 2022)).

8. ODDAJA PRISPEVKOV IN AVTORSKE PRAVICE

Avtor lahko odda prispevke, ki še niso bili objavljeni v drugi publikaciji oziroma niso v postopku objave v drugih publikacijah. Avtor v celoti odgovarja za vsebino prispevka in lekturo besedila. Prispevek za objavo naj bo sestavljen v skladu z navodili revije in znanstvenimi smernicami glede vsebine, stila in strukture članka. Avtor naj uredništvu pošlje slovnično in jezikovno pravilno besedilo. **Besedila, ki ne bodo ustrezala navodilom revije bo uredništvo vrnilo avtorju in zahtevalo dopolnitve in popravke.**

Urednik in tehnični urednik pregledata ustreznost citiranja in navajanja virov v skladu z navodili revije in se odločita ali članek:

- a) posredujeta v recenzijski postopek ali
- b) posredujeta avtorju in zahtevata ustrezne popravke ter šele nato posredujeta članek v recenzijski postopek.

Vse moralne in avtorske pravice v primeru objave pripadajo avtorju. Materialne avtorske pravice pa avtor za vselej, za vse primere, za neomejene naklade in za vse medije neizključno, časovno in prostorsko neomejeno prenese na izdajatelja revije – Mednarodni inštitut arhivskih znanosti Trst – Maribor in Alma Mater Press. Avtor podpiše dovoljenje za objavo prispevka v reviji Atlanti, ki ga predloži ob oddaji članka.

Avtor odda prispevek skupaj s podpisanim dovoljenjem za objavo prispevka (v primeru, da je več avtorjev mora biti dovoljenje podpisano s strani vseh avtorjev) v elektronski obliki na elektronski naslov uredništva revije.

9. RECENZIJSKI POSTOPEK

Uredniški odbor pregleda vse prejete prispevke. Če prispevki niso pripravljene v skladu z navodili in standardi revije, uredniški odbor od avtorja zahteva popravke in dopolnitve. Če prispevek ni znanstveni ali strokovni, o njegovi objavi odloča uredniški odbor.

V anonimni (dvojni slepi) recenzijski postopek se uvrstijo le znanstveni in strokovni članki, ki so pripravljani v skladu z navodili revije in uredništva. Recenzente izbere uredniški odbor.

Recenzent pregleda naslednje sestavine prispevka:

- **vsebino**: splošna zanimivost vsebine, inovativnost ...,
- **metodologijo**: ustreznost uporabljenih metod, vzorčenja, potrditve/zavrnitve hipotez in predpostavk
- **strukturo oziroma zgradbo prispevka**,
- **dosledno citiranje in navajanje virov, opomb, slikovnih in grafičnih virov** ...

Po mnenju recenzenta avtor članek popravi ali dopolni.

Anonimnost avtorjev in recenzentov med recenzijskim postopkom je zagotovljena. Članki bodo objavljeni le s pozitivno oceno recenzijskega postopka.

Recenzent po pregledu določi tipologijo članka in odloči ali je članek:

- a) lahko objavljen kot je bil oddan uredništvu,
- b) lahko objavljen potem, ko avtor opravi manjše zahtevane popravke,
- c) potrebno popraviti in še enkrat poslati v pregled recenzentu,
- d) neprimeren za objavo.

10. TIPOLOGIJA

Na osnovi recenzentskega mnenja uredniški odbor določi tipologijo članka. Upošteva se tipologija za vodenje bibliografij v okviru COBISS.

1.01 Izvirni znanstveni članek

1.02 Pregledni znanstveni članek

1.03 Kratki znanstveni prispevek

1.04 Strokovni članek

11. DOKONČNO BESEDILO IN PRIPRAVA NA OBJAVO

Dokončno besedilo mora avtor poslati preko elektronske pošte (v MS Word formatu) v roku, ki ga je določilo uredništvo na elektronski naslov uredništva.

Uredniški odbor pripravi besedilo za objavo in si pridržuje pravico do spremembe oblike prispevkov in večje oblikovne spremembe v dogovoru z avtorjem.

ATLANTI GUIDELINES FOR AUTHORS

1. JOURNAL SCOPE AND CONTENT

ATLANTI is journal with international editorial board published by the International Institute for Archival Science of Trieste (Italy) - Maribor (Slovenia). The journals are co-published by Alma Mater Europaea University. They have an international editorial board.

ATLANTI publishes original research, scientific and professional articles and discussions of archival issues and records management. Journal Atlanti has been published since 1991. It is published once a year in two volumes. The issues are thematic.

2. LANGUAGE

Published articles in ATLANTI are in the official languages of the IIAS English, Italian and Slovenian as a rule, however other languages are accepted with the decision of the editorial board.

3. FORMAT AND THE LENGTH OF CONTRIBUTIONS

Authors use Times New Roman 12p. The text should not be shorter than 8 pages (15.000 characters with spaces) and not exceed 16 pages (30.000 characters with spaces) including tables, pictures and the list of cited sources and references.

4. STRUCTURE OF CONTRIBUTIONS

All articles must have the abstract and key words in English and abstract and key words in national language if text is written in national language of the author.

Information about the author should be stated before the title in full form (name and surname). If there are more authors, they should define the order of their names. Any academic or professional titles, institutional affiliation, address, and e-mail address should also be stated. The author should also provide a short biography.

If the article is written by multiple authors, authors determine the order by themselves.

- **The title (subtitle)** should be concise and informative. It should specify the content of the article. The title should contain words suitable for indexing and searching. Title and subtitle have to be in the original and English language.
- **The abstract** should clearly define the purpose, methodology and approach, major findings and results as well as conclusions of the article. It should be prepared according to IMRAD formats or compliant with ISO 214. It should not exceed 250 words. It should be written in English and in the national language. The author must define up to 5 key words suitable for indexation.

Example:

Abstract

Purpose: Archival science and Museum science in museums are working in close cooperation. In the process of...

Method/approach: The method used in our paper is case study, with which we demonstrated the usefulness of archival science in museums in practice...

Results: Description of archival records has an important role in museum archives and storage rooms, since it allows employees to...

Conclusions/findings: Museum and Archival science work closely together in museums and they need each other... Due to this, it is possible for the archivist and curator documentarist to look for common solutions in the field of record/documentation management and storage.

Keywords: *archival science, museum science, museum, museum storage room.*

- **Main text** of the article (minimum 15.000, maximum 30.000 characters with spaces) is followed by the reference list and summary in English. It should be written in Times New Roman 12p. Paragraph levels should reflect the organization of the article. Chapters can be divided into subchapters. Numbering should follow SIST ISO 2145 and SIST ISO 690 standards (that is: 1, 1.1, 1.1.1 etc.).
- **Reference list** follows the main text and it must include all used sources cited in article. Authors must use APA style.
- **Summary** should contain at least 500 words written in English due to the international presence of Atlanti Journal.

5. FOOTNOTES

Footnotes are placed at the bottom of the page and numbered with ordinal numbers from the beginning to the end of the article. **Footnotes should provide additional text (author's comments) and not bibliographic references - those can only be referred to.** If the footnote refers to the whole sentence or paragraph, it is placed after the punctuation mark. If it refers to the last part of the sentence or only to the last word, it should be placed before the punctuation mark.

6. FIGURES AND TABLES

The article can also include figures (photos, graphics, maps, sketches, diagrams etc.) and tables, which should be numbered. Each figure and table should have a title. Titles are written above the table and figure (Table 1, Figure 1). Titles of photos are written below the photo.

If graphics are not the result of author's work, a source must be quoted. Pictures should be scanned in an appropriate resolution (at least 300 dpi), saved in .jpg, .tiff or .png format. **Figures and photos must be cited in reference list.**

7. CITATION OF AUTHORS AND REFERENCES

For the citations authors should use APA Style and In-Text citations.

Authors should cite only sources accessible to public.

IN-TEXT CITATION (EXAMPLES):

- In-text references include the **surname of the author(s), year and page number/numbers** separated by a comma.

Example: ... (Carruci, 2006), Carruci (2006) showed that . . .

- For **two authors**, use an ampersand in brackets or and in running text.

Example: ... (Šauperl & Semlič Rajh, 2013), Šauperl and Semlič Rajh (2013) reported that ...

- For **more than two authors**, cite only the surname of the first author followed by et al. In Reference list all authors must be indicated.

Example: ... (Carruci et al., 1980), Carruci et al. (1980) believe that ...

- If only the editor of the work is known and no person is named as author, the editor(s) should be indicated in the same manner as for indicating the author.

- For Internet sources, cite known authors as usual. If no author or date is given, use the name of the organisation/web page. Use the year of the last update of web page. If the year of last update is not available, use the abbreviation „n.d.“ (for „no date“),

Example: (International Council on Archives, 2001); (Technopedia, n. d.)

- Publications stated as an example are indicated as follows.

Example: (see Klasinc, 1999 or Ratti, 2001), (for an overview, see Johnson et al., 2006 and Smith, 2007)

- For secondary references, indicate the author(s) and year of the primary source, followed by the author(s) and year of the secondary source.

Example: (Line, 1979, as cited in Mihalič, 1984)

- When the work does not have an author move the title of the work to the beginning of the references and follow with the date of publication.

Example: (Merriam-Webster's, 2003).

- Quotations should be marked with double quotation marks (“”) and page number.

Example: “The modern librarians have more competencies” (Leight 1996, pp. 4-5).

REFERENCE LIST

Cited sources should be listed at the end of the text in a separate chapter „Reference list“. This chapter should consist only of sources which are referred to in the text. All information should be written in original language. If the original information is in Cyrilic then Author should use Latin in bracket.

Distinguish references to more than one publication by the same author in the same year a, b, c and so on.

Example: ... (Novak, 2002a, 2002b), Novak (2002a, 2002b) presented ...

If the work is still in press, state this in place of the year.

Examples:

Archival sources:

Document title. (time of creation of the document). Signature and name of fond or collection, container/box number, signature of document (if exist), Institutions/ Archives name.

Paper archival source

Report on the judicial strike (15.3.1923). SI_ZAC/0609 District Court Celje, Box. 15, Historical Archives Celje.

Digital archival source

Report on the judicial strike (15.3.1923). SI_ZAC/0609 District Court Celje, Box. 15, Historical Archives Celje. Available at <https://vac.sjas.gov.si> (accessed on 15.11.2019).

Books:

Surname, the initial of the name. (year). *Title: Subtitle*. City: Publisher.

Basic Format for Books:

Krippendorff, K. (2004). *Content analysis: an introduction to its methodology*. 2nd ed. Thousand Oaks, CA: Sage.

Carruci, P. (2006). *L'archivistica tra diplomatica e informatica: inaugurazione del corso biennale, anni accademici 2004-2006*. Citta del Vaticano.

Edited Book, No Author:

Leitch, M. G. & Rushton, C. J. (Eds.). (2019). *A new companion to Malory*. D. S. Brewer.

Contributions or chapters in books, encyclopaedias:

Gregory, I. (2008). Using Geographical Information Systems to Explore Space and Time in the Humanities. In M. Greengrass & L. Hughes (eds.), *The Virtual Representation of the Past* (pp. 135–146). Farnham, Surrey: Ashgate.

Zajšek, B. (2012). Oblikovanje naslovov popisnih enot glede na mednarodne arhivske standarde. In I. Fras (ed.), *Tehnični in vsebinski problemi klasičnega in elektronskega arhiviranja* (pp. 581–604). Maribor: Pokrajinski arhiv.

Articles in Journals:

Sendi, R. (1995). Housing reform and housing conflict: The privatization and denationalisation of public housing in the Republic of Slovenia in practice. *International Journal of Urban and Regional Research*, 19(3), 435–446.

Denny, H., Nordlof, J. & Salem, L. (2018). Tell me exactly what it was that I was doing that was so bad: Understanding the needs and expectations of working-class students in writing centers. *Writing Center Journal*, 37(1), 67–98. Available at <https://www.jstor.org/stable/26537363> (accessed on 15.11.2019).

Legal and other documents:

Protection of Documents and Archives and Archival Institutions Act (ZVDA-GA). (2006, 2014). Official Gazette of RS, (30/06, 51/14).

International Organization for Standardization (ISO). 2016. ISO 15489-1:2016: Information and Documentation - Records Management. Part 1: Concepts and Principles.

International Council on Archives. (2000). ISAD(G): General International Standard Archival Description. Available at <http://www.icacds.org.uk/eng/ISAD%28G%29.pdf> (accessed on 05.01.2013).

Citation of sources accessible on the internet is used logically by the instructions above. It is necessary to add an „Available at“ and online link to the source or a doi link followed by the date of access in brackets (accessed 15. 5. 2022).

8. SUBMISSION AND COPYRIGHT

Manuscripts submitted to the publication should be original contributions and should not be under consideration for publication elsewhere at the same time. The author is fully responsible for the content of the article and proofreading. In compliance with the guidelines, formal academic style and scientific article layout should be used. Authors are asked to submit the entire paper which is expected to be grammatically correct and without spelling or typing errors. Texts which will not comply with the guidelines will be returned with notes on corrections.

The editor and technical editor review the suitability of in text citation and reference list according to the guidelines and decide whether the article:

- a) is send to Peer-Review or
- b) is in need of corrections by Author before sending it to Peer Review.

When published, the author keeps moral copyrights of the article, however, material copyrights are for all times, all cases, unlimited printing and for all media transferred nonexclusively, without time and space limits to the publisher of the review, International Institute for Archival Science of Trieste, and Maribor.

The author also signs a Permission for publishing in the publication Atlanti or Atlanti+.

Articles must be submitted in electronic form via e-mail to the editorial board together with scanned permissions for publishing, signed by all authors.

9. PEER-REVIEWING POLICY:

If the article does not correspond to the publication standards, the editorial board returns it to the author for completion. If the article is not classified as scientific or professional, the editorial board decides on its publishing. If the article is classified as scientific or professional and corresponds to editorial guidelines, it is sent out for the double-blind peer review. Reviewers are chosen by the editorial board.

The reviewers consider the following:

- Content: general interest, innovation ...,
- Methodology: suitability of used methods, sampling, hypothesis confirmation or rejection.
- Paper structure,
- Citations and references: citing consistency, references etc...

According to the reviewer's opinion the author corrects or supplements the article.

The anonymity of authors and peer reviewers during the review procedure is guaranteed. Articles are published only if they receive a positive review.

10. TYPOLOGY

The reviewer classifies the articles and decides whether the article:

- a) will be published as submitted,
- b) needs minor corrections and will be accepted at the editorial board's discretion,
- c) major revision of the article and peer re-review is required, or
- d) is not suitable for publication.

Based on the reviewer's opinion, the editorial board determines the typology of the article. A typology for managing bibliographies within COBISS is considered.

1.01 Original scientific article

1.02 Review scientific article

1.03 Short scientific paper

1.04 Professional Article

11. FINAL TEXT AND PUBLISHING PREPARATION

Final text must be sent to the editorial board via e-mail in MS Word format, within the deadline set by the editorial office. The editorial board prepares the text for printing. All texts are proof-read. The editorial board has the right to change the form of the paper, however, bigger changes are discussed with the author.



**INTERNATIONAL INSTITUTE FOR ARCHIVAL SCIENCE
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ALMA MATER EUROPAEA UNIVERSITY (SLOVENIA)**

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