# Abstracts of Master of Archival Studies Theses at the University of British Columbia, School of Library, Archival and Information Studies*

**Master of Archival Studies**

*Catherine Aileen Bailey, "Archival Theory and Machine Readable Records: Some Problems and Issues," August 1988.*

It is a common feeling among archivists that the basic principles of archival theory may have to be examined and redefined in light of the development of computer technology. This need exists not so much because archivists are currently faced with a new and unfamiliar medium, but because the new technology changes not only the uses made of the information but also the way in which we perceive it.

   The many attempts to approach the problem in the last twenty years have tended to be focused on single archival functions rather than on fundamental archival principles, and the solutions proposed were essentially practical. This thesis takes a global approach to archival theory and tries to answer the general question: are traditional archival principles valid as a guide in the treatment of machine readable records? In order to answer this question, the thesis puts into relationship the terminologies of computer and archival science, analyses and reconciles them, and proceeds to examine the basic concepts of the nature of archives and records, their life cycle, their appraisal, arrangement and methods of communication, and studies their application to machine readable records. The conclusion of this study is that the theoretical foundation of archival science is valid for the management of all archival documents regardless of their physical medium, and that any differences in treatment are a result of practical application of the theory. However, the development and diffused use of computer technology have opened new areas of concern to all archivists which must be explored from a theoretical

perspective. Archival science does not, therefore, need to be redefined, but merely expanded.

### Richard Klumpenhouwer, "Concepts of Value in the Archival Appraisal Literature: An Historical and Critical Analysis," October 1988.

Archival appraisal is the most challenging and at the same time the most important task performed by archivists. The complex meaning, varied form, and massive volume of modern documentary information, which now occupies the lion's share of archivists' attention, present immense challenges during the appraisal process. Yet it is precisely these factors which make archival appraisal such an important activity, for it is the responsibility of archivists to preserve and make available a documentary record that is both usable and complete.

This thesis works on the premise that archival appraisal involves a process of applying value concepts to the preservation or destruction of records. Therefore, it is a critical examination of the nature and development of value concepts throughout the history of archives in western civilization from the Middle Ages to the recent past. The preservation of archives before the late nineteenth century depended upon the political, legal, and military values of the original record-creators which persisted over a relatively long period of time. From the 1880s to the 1930s, the value of archives as historical sources became dominant and appraisal followed theories of archival administration based on historicist concepts. From 1930 to 1980, the quality and quantity of records being generated by institutions forced archivists to develop management systems for appraisal and to define value which best conformed to the structures and processes of such systems. Especially in the last two chapters, which deal with modern archival appraisal in the United States and Europe respectively, the analysis of theories and practices serves to reveal inconsistencies and problems in the application of value concepts. From such an examination, certain patterns emerge which suggest directions for the future development of archival appraisal theory.

### Ann Elizabeth Carroll, "Acquisition of Photographs Determining Archival Quality," February 1989.

This thesis examines the collection or acquisition of photographs by archives. It focuses on those documents which are not generated by the archives' sponsoring institution but are potentially archival. The thesis identifies the characteristics of archival documents by which archivists can judge the archival quality of photographs and thus their suitability for acquisition. Such documents form organic collections which have been set aside by their creator and responsibly cared for. These characteristics are drawn from the theories formulated by European archivists Sir Hilary Jenkinson, S. Muller, J.A. Feith, R.

Fruin, Eugenio Casanova, and American archivists Theodore Schellenberg and Lester Cappon.

This paper also examines the question of whether archives should establish a separate collections policy for photographs. Conservation, description and copyright implications posed by photographs suggest this as a plausible procedure to take. However, the integrity of collections and their increasingly multimedia nature suggest otherwise. Archival documents should not be collected focussing on the form of the record, but rather as forming part of the total documentation of their creator.

### Susan Mary Anne Hart, "Archival Acquisition of the Records of Voluntary Associations," June 1989.

While acquisition is a vital responsibility for all archival repositories, generally accepted principles and practices of archival acquisition are sadly lacking in North America. This problem is particularly apparent with regard to the records of voluntary associations, the nature and significance of which are largely unknown to archivists. This thesis studies the problem of, and proposes a system for, archival acquisition of the records of voluntary associations. To begin with, it provides a definition, description, and categorization of voluntary associations, and delineates their life cycle and relationships with other organizations. The thesis subsequently moves on to consider the records-keeping practices of archival repositories, and applicable archival theories of acquisition and appraisal. Ethnographic methodology is used to analyse two voluntary associations, their activities, and their records-keeping practices. Finally it is proposed that archival repositories acquire the records of voluntary associations, that this can be done by existing repositories and through such arrangements as special committees, consortiums of associations, and special repositories, and that a standard procedure be followed by repositories when acquiring the records of a voluntary association.

### Jan M. Norman, "Accessibility of Broadcast Archives in Canada," August 1989.

Canada's broadcasting industry has a rich history and yet by their own admission, Canadian archivists once overlooked the value of broadcast documentation. This thesis explores the many issues which govern the acquisition, appraisal and description of broadcast records and the relevance of these issues to access and use. Because archivists have frequently discussed access to textual material, this exposition focuses on the special media records produced by the broadcasting industry: film, videotape and sound recordings.

This discussion reviews the problems associated with the development of an acquisition strategy for these records and outlines the development of

appraisal criteria which recognize their intellectual, artistic and sociological content. The descriptive practices preferred by archivists working with broadcast material are evaluated to determine whether they actually respond to users' needs. The physical characteristics which influence access and use are also reviewed. The proposed revisions to Canada's *Copyright Act* are examined and the implications for access and use are noted. Finally, throughout this exposition attention is given to the financial obligations associated with the preservation and use of these records.

This study is based on an examination of Canadian, American, and European archival literature and the discussion of each archival function incorporates the theoretical views and practical experiences of various archival institutions. The study concludes that to facilitate accessibility and use, repositories should more thoroughly investigate the requirements of broadcast records and agree to participate in preserving these documents based on a sound assessment of the impact such involvement has on operational resources.

*Victoria Louise Bryans, "Canadian Provincial and Territorial Archival Legislation: A Case Study of the Disjunction Between Theory and Law," November 1989.*

This thesis is an inquiry into the nature of current provincial and territorial archival legislation in Canada. It provides an analysis of archival legislation as a form of written communication and argues that the legislation suffers from the same deficiencies inherent in other forms of communication as a result of external social influences on its meaning. Chapter one therefore traces the evolution of the legislation from 1790 to the present and shows how the meaning of current legislative texts emerged neither from objective legal considerations nor archival theory, but as an ad hoc response to a variety of social influences. The remaining chapters are based on a detailed content analysis of the three main components of current provincial and territorial archival legislation: provisions establishing definitions of key terms, provisions establishing the scope and authority of administrative structures for archival pro-grammes and provisions establishing programme elements. They elaborate on the argument advanced in chapter one that the social production of meaning, arising from the manner in which current provincial and territorial archival legislation has developed, adversely affects its ability to promote the preservation of documents in two ways. First, this process of development has meant that wording in legislative texts carries overtones of outdated attitudes and assumptions about archives. Second, it has led to inconsistency, conflict, vagueness and ambiguity in the meaning of the texts. These chapters also put forth prescriptive ideas regarding how the adverse effects of social influences on the meaning of current provincial and territorial archival legislation might be overcome.

**James Kenneth Burrows, "A Critical Guide to Sources for the Study of the History of the Family in British Columbia, 1849–1918," November 1989.**

Access to archival holdings is one of the fundamental problems faced by archivists. The difficulties in providing access to the wide variety of subjects contained within even one archives is further complicated by the changing fields of research which require the use of archives. Neither provenance-based or subject indexing access systems have been able to cope with these changing needs. The creation of thematic guides has been an attempt to offer more flexible subject access to collections since each guide deals with a separate topic. Despite its value in providing access to current themes, the thematic guide has been simply a listing of collections and does not offer any analysis of how various forms of records, their availability and their uses relate to the subject.

The creation of such a critical guide forms the bulk of the paper. To investigate the effectiveness of this type of guide, records which relate to the study of the history of the family in British Columbia were identified. This particular subject area was chosen because of its relative newness and since many of the records applicable to its study are not easily found. The holdings of the British Columbia Archives and Records Service and the City of Vancouver Archives provided the relevant materials for the study. The record chosen as useful to the study of the family were listed and many collections were examined closely. From this review of holdings, an analysis of record types and their value to the study of the family in British Columbia was developed. Standard appraisal and descriptive techniques were employed for the analysis. In addition, a study of past research uses was done to provide a better understanding of how the records could be employed.

It was found that a critical guide could be produced using modifications of standard formats, such as the basic form for inventories suggested by the Society of American Archivists. In addition, appraisal criteria were applied to the categories of documents in order to assess their value. Using these standardized techniques means that an analysis of record types will be better understood by others. The critical guide offers a vehicle for archivists to provide researchers with more information about the records in a less haphazard fashion.

**Sandra Kiemele, "A Study of Archivists' Perceptions of Reference Service," November 1989.**

To identify the relationships between particular characteristics of archivists and their perceptions of users and reference service, data was collected from two surveys distributed to two survey populations of archivists. One survey

asked archivists' own perceptions of reference service, the other asked archivists' perceptions of their colleagues' perceptions of reference service.

Five hypotheses were developed, drawing upon models of reference process from the literature of library science and upon ideas expressed by authors of archival reference service literature. These hypotheses are that archivists' perceptions of reference service relate to: 1) the type of repository with which archivists are most familiar; 2) the functions (e.g., arrangement and description) with which archivists are most familiar; 3) the forms of records (such as government records) with which archivists are most familiar; 4) the amount of time archivists have spent in reference service; and 5) the education level of archivists.

The results suggest that the type of repository with which the archivist is most familiar relates to his or her perceptions of reference service. While the other categories also exhibited significant relationships, the overall analysis of the results of the other categories was less interesting than the results obtained from the category regarding the type of repository. Determining the existence of such relationships was the preliminary investigation upon which to base further research.

The results of this study suggest that likely areas for further examination of this topic are the methods of reference service used in particular repositories.

### *Valerie May Billesberger, "Municipal Records Keeping in British Columbia: An Exploratory Survey," April 1990.*

An exploratory investigation of records keeping practices among villages, towns, districts and cities in British Columbia was conducted to determine how municipalities are currently managing their records. Drawing from literature on records management theory and practice, a model of a records keeping system was developed based on the premise that records pass through a series or continuum of identifiable stages from the moment of their creation to their final disposition. A questionnaire constructed around key elements of the model was distributed by mail to a non-random sample of 144 municipalities. Data was acquired on the three general field of activity considered integral to managing records, namely: records generation and receipt, records classification, and records maintenance. Among the key findings of the survey were a lack of standardized file classification systems, records retention schedules, and records procedures manuals which are identified in records management literature as the core elements of any records keeping system. Based on a response rate of 81% (116/144), it is concluded that among those villages, towns, districts and cities surveyed, most do not have adequate records keeping systems to effectively serve their information needs.

**Frances Margaret Fournier, "Faculty Papers: Appraisal for Acquisition and Selection," May 1990.**

In the past, little has been written about the systematic acquisition of faculty papers, which are important sources for documenting not only the faculty members themselves, but also universities and the academic disciplines. This thesis investigates the theoretical and practical issues involved in the appraisal for acquisition and selection of faculty papers. The work of the professor is analyzed in terms of the competences that he exercises in carrying out the functions of the university. Interviews with academics verify the functional analysis, confirm the existence of documents predicted by it, and alert the archivist to professors' attitudes that could affect the acquisition of the faculty papers. The account of the interviews is followed by a discussion of various questions concerning the ownership of faculty papers and the most appropriate repositories for them.

To further resolve the problems identified, and to lay the groundwork for an acquisition plan, a report is made on interviews and correspondence with archivists from universities and subject discipline history centres and repositories. These sources illustrate current archival practices. It is concluded that most faculty papers belong in a university archives, although there is an important role for the subject discipline history centre and repository. The latter institutions offer a different outlook than can be reached through a documentation plan that is focussed on one university.

To provide a framework for the acquisition of faculty papers, it is suggested that a university-wide records policy be drafted, as the necessary foundation on which to base an archival mandate, an acquisition policy, and a plan for the appraisal for acquisition of faculty papers. Finally, the appraisal for selection of faculty papers is analyzed and seen to be primarily a process of weeding rather than the elimination of whole series.

**Heather Mary Heywood, "Appraising Legal Value: Concepts and Issues," November 1990.**

Historically, legal records were the main focus of archival preservation, and archives served primarily as arsenals of law – instruments for control and management of the State. Today, archives have many different values and uses, and legal value is only one criterion considered during the archival appraisal process. It is an important criterion, though, since archivists have an obligation to preserve not only those documents needed to understand society and its culture, but also those required to protect the rights and interests of society, its institutions, its citizens, and its heirs. Unfortunately, little has been written in the archival literature about what constitutes documentary legal value nor how this value can be recognized and evaluated.

This thesis draws on literature from archival science, sociology, records management, diplomatics, law, and jurisprudence in order to define legal value and to identify its components. Since the study focuses on North American archives, the legal literature consulted pertains to the English legal system and its particular manifestations in the United States and Canada.

To begin with, the thesis examines the document-event relationship and the relationship of this unit to a society's juridical system. This analysis illustrates the functions that documents play in society, and aims to provide an understanding of the capacity of documents to protect society and to serve as legal evidence. It is then proposed that the presence of a relationship between a document and a juridical event (one in which the society's legal system has an interest) be considered the first component of legal value. Perhaps the most important and most useful of the documents having relevance to events with legal significance is the class identified in this thesis as "legal records," consisting of those documents that execute or constitute written evidence of acts and events which directly affect legal rights and duties.

Exploring the first component further, the thesis makes a distinction between actual and potential legal value based on whether the relationship of the document to a juridical event is direct or indirect, and whether the event currently has juridical relevance.

Determining the strength of potential legal value involves consideration of the second and third components of legal value, which are related to the use of documents as legal evidence. These two components are admissibility and weight (in the sense of a document's effectiveness as a representation of facts). External factors, such as retention regulations, may play a role in determining this aspect of legal value, and some of these factors are discussed. More often though, the archivist will need to search for indications of reliability and completeness in the documentary formation process and in the elements of form intrinsic to a type of document. The thesis identifies many of the internal factors that contribute to legal value and proposes some criteria and a methodology for appraisal of legal value.

Appraisal of legal value is not a mysterious process. With the exception of some diplomatic analysis, much of the information and analysis needed to determine legal value is fundamental to any appraisal process. In a society governed by law in all its aspects, determining legal value is a central part of any archival appraisal.

***Donna Irene Nisbet Humphries, "Canadian Universities: A Functional Analysis," February 1991.***

This thesis identifies a university's typical administrative structure for the purpose of establishing a framework which working university archivists can use to acquire control of university records. The organizational structure of Cana-

dian universities is examined with respect to their functions, juridical persons, and their relative competences. This study may be defined as a "functional analysis."

The intertwined concepts of function, competence, and juridical persons serve as foundations for this thesis. A function is defined as the whole of the activities, considered abstractly, necessary to accomplish one purpose. A competence is the authority to carry out a determined sphere of activities within one function. Such authority, however, has to be delegated or assigned to a given office or individual, and that office or individual is termed a juridical person. Therefore, a link is forged between a function and a competence through a juridical person, because it is a juridical person who carries out certain duties and responsibilities within a specified function.

Since juridical persons create records in the course of executing their competence, a functional analysis establishes the provenance of the records and places the records of an administrative body in the context of their creation. A functional analysis also reveals and explains the relationships and bonds between the records, record series, and record groups that comprise an administration's archival residue. These objectives – understanding the organizational structure of the administrative body, identifying its functions, determining the provenance of its records, and placing records in the context of the activities that generate them – help archivists and records managers acquire a fundamental level of intellectual control over the administrative body's records. Without this knowledge, archivists and records managers cannot proceed with any of their own practices.

By studying the history and development of universities from the Middle Ages to the twentieth century, this thesis identifies four functions which are common to all universities: Sustaining Itself, Teaching, Research, and Service to the Community. A number of juridical persons, either in the form of administrative bodies or individuals who comprise the administrative structure of the university, are then examined, and the functions with which they are entrusted are ascertained by studying their competences. As a result of this analysis, the typical organizational structure of a university is revealed, the functional provenance of records created by universities (as a whole) are identified, and its records are placed in the context of the activities that generate them.

### Trevor Livelton, "Public Records: A Study in Archival Theory," February 1991.

This thesis provides a theoretical examination of the nature of public records. The study begins by outlining a view of archival theory as knowledge resulting from the analysis of ideas. This form of analysis is first applied to the concept of records, and then to the narrower concept of public records. The result

is a view of public records as documents made or received and preserved by the sovereign or its agents in the legitimate conduct of governance.

### *William Scott Reid, "A Multi-Component Study of the Administration and Preservation of Nitrate Negatives," June 1991.*

Cellulose nitrate negatives pose serious problems of preservation and accessibility to archival institutions, and create pressure on an archives' physical and administrative resources. Archivists must take precautionary actions designed to prolong the life of the images in their care until they can be copied, and to safeguard against damage to other archival material that shares space with them.

This thesis presents and discusses the issues surrounding the management of nitrate negatives in archival institutions of all sizes. The physical and chemical characteristics of cellulose nitrate, and its role in the historical development of photography introduces the specific archival concerns of preservation and access. A diplomatic analysis of the photographic negative, which shows that it does not need to be retained for evidentiary purposes, prompts the recommendation that cellulose nitrate negatives can be copied onto stable base film and then destroyed. The need for proper long-term storage facilities is however recognised, and types of facilities are presented.

Finally, this thesis provides guidelines for the preservation of cellulose nitrate negatives, and discusses the types of procedures presently in Canadian archival repositories.

This thesis proposes that archivists concentrate their efforts towards the preservation of the information contained in the images themselves, rather than in their physical form, and thereby minimise the danger posed by the nitrate negatives by investing in a systematic copying program and in the construction of separate storage vaults.

### *Vincent Ouellette, « La législation archivistique du Québec et la gestion des archives publiques », août 1991.*

Cette étude présente et tente d'expliquer la législation archivistique du Québec dans le but de dégager la conception de la gestion des archives publiques que sous-tend cette législation. Nous avons défini une législation archivistique comme étant l'ensemble des dispositions légales adoptées par un gouvernement pour régir la conservation, la gestion et l'accessibilité des archives. Notre étude s'est doc principalement limitée à une analyse des dispositions de la *Loi sur les archives* (adoptée en décembre 1983) et des textes qui lui sont directement reliés, puisque cette loi traite de la gestion des archives publiques et privées du Québec. Avec l'intention de privilégier une approche archivistique pour mener notre analyse, nous nous sommes inspirés

de la littérature portant sur la législation archivistique et sur la théorie archivistique en général. L'analyse s'est effectuée à l'aide d'un ensemble de catégories d'analyse structuré selon trois paliers d'investigation : le champ d'application de la *Loi sur les archives*, la gestion des archives publiques prévue par cette loi et l'administration de la loi. L'analyse a révélé que la *Loi sur les archives* officialise des concepts et des principes propres à susciter une gestion des archives publiques en reconnaissant aux archives une valeur administrative autant que culturelle. Toutefois, certains aspects de la *Loi sur les archives* atténuent quelque peu le caractère intégré de la gestion des archives publiques que suggère l'esprit de cette loi.

### Erwin Wodarczak, "'The Facts About Fax': Facsimile Transmission and Archives," September 1991.

In recent years, facsimile transmission, or "fax," has become the leading medium of written telecommunication. At the same time, the basic technology for fax has been in existence for some 150 years. Nevertheless, there has been little analysis of facsimile transmission in an archival context. This thesis aims to fill at least part of this gap in archival literature.

The first chapter is an overview of the history of fax, and examines the various transmission and recording techniques developed over the years, discusses the uses to which these techniques have been put, and describes potential sources from which an archives might acquire facsimile documents. The next chapter illustrates modern facsimile processes in detail, analyzes the chemical and physical make-up of papers and inks used, and explores the conservation problems inherent in certain kinds of facsimile paper. On the basis of this technical examination, the rest of the dissertation discusses the treatment of fax documents in the archival context, in terms of both theory and practice, with specific reference to law, archival theory, and records management. The nature of facsimiles as records and the characteristics of their physical form are amply discussed; and their legal value is examined to determine the criteria to be used in their appraisal. In this regard, special attention is given to the way in which the legal profession handles problems of authenticity and security inherent in fax transmission, and to the way in which organizations deal with the operational and legal problems presented by facsimiles.

Archivists have to be alert to changes in communication technology in order to determine if archival theory and practice have to adapt to such changes. In the case of facsimile transmission, this study concludes that no fundamental changes in archival theory are required in order to deal with it effectively in the archival context. What is needed is a basic understanding of the technology involved, and a thorough knowledge of archival concepts and of relevant legal principles.

***Jane Turner, "A Study of the Theory of Appraisal for Selection," January 1992.***

Appraisal for selection is a vital archival function that demarcates knowledge of our past and influences our ability to form our future. Present archival theory, however, includes a profusion of conflicting and ambiguous criteria and terminology that correspond to the imprecise conceptualization of the appraisal issues involved. The central problem of appraisal is how to mitigate the distortion in the documentary heritage of society that is caused by the subjective process of apportioning value to records. This thesis evaluates international appraisal theory in western continental Europe, Britain, United States and Canada through a study of existing literature that explains appraisal ideas and discusses their practical application. It identifies areas of contradiction and generally accepted principles of appraisal. The study then builds on the strengths of international traditions of appraisal by focussing on three theoretically coherent principles that can guide appraisal for selection: the principle of impartiality, the principle of provenance, and the principle of contemporary value.

***Christina Ruth Andrews, "Canadian Copyright Legislation and Archival Material," February 1992.***

This thesis analyses the nature and common law history of copyright, highlights the problematic aspects of the current Canadian legislation with respect to archival material, proposes revisions to the law which would take into account the special nature of this material, and provides some suggestions to archivists who have to deal with the copyright dilemmas encountered in the daily, routine administration of an archival institution. Copyright legislation has traditionally grouped archival and library material under one section on special exemptions, notwithstanding the fact that archival material has characteristics which dictate a treatment fundamentally different from that of library material. Therefore, this thesis focuses on copyright as it relates specifically to archival material in order to present recommendations for its adequate treatment under the copyright law. This is not a legal paper, and does not presume to give an exhaustive legal study of all of the ramifications of copyright legislation. It is intended as a review of those copyright issues which are of special interest to archivists.

   Because Canada derives it common law tradition from Great Britain and is often influenced by American legislation, the earlier British legislation and more recent copyright legislation in the United States and Great Britain are studied and compared to the present Canadian legislation. Because legal trends generally first appear in court decisions before they become codified in statute, decisions found in recent case law, as well as their discussion in current legal literature are examined. The official recommendations which have

been made to the Canadian government for the revision of copyright law are also analyzed.

It is concluded that the Canadian statute must be revised to reflect the unique nature of archival material. Archival documents are not created for sale, distribution, display, or publication. They are the instruments of transactions, natural by-products of practical activities, means to purposes; they lack the autonomy of final products, and are non-commercial by nature. This thesis recommends that a separate piece of copyright legislation for archival material be introduced to deal effectively with these unique characteristics.

### Jane Parkinson, "Accountability in Archival Science," March 1993.

Laws proclaiming freedom of information have been introduced in many countries in the past twenty years, creating familiarity with the idea that governments can achieve accountability by providing public access to current records. Some archivists hold the view that the preservation and accessibility of non-current records in archival repositories is similarly related to the principle of accountability; however, this idea is not widely diffused and even less accepted, primarily because the concept of accountability is imprecise and has not been integrated into archival theory.

This thesis analyses the concept of accountability and demonstrates its relevance in the context of archival science. It provides an explanation of the relationship between accountability and recordkeeping, which is found in an agent's obligation to create, preserve and provide access to records in order to account to the source of authority for the actions documented by the records. Also, it shows the connection between the concept of accountability and other administrative, legal, political and ethical values, a connection which is found in the complex and sometimes abstract social relationships that involve delegation of authority. Then, the thesis proceeds to examine the appearance of the concept of accountability in archival literature on issues of preservation, ownership, accessibility and management of records, and analyses it in relation to archival as well as administrative, political or legal concerns. Finally, the accountability owed by archivists is examined, through analysis of the claims made by repositories, users and the archival profession for authority over archives and their care. The thesis proposes that recognition of the importance for archives of meeting accountability obligations depends on the general understanding of records as evidence of actions, and acknowledgement of an organizational and public interest in their preservation.

### Lisbeth Joy Pitblado, "Developing an Acquisition Strategy for the Records of Environmental Non-Government Organizations," June 1993.

The acquisition of records from environmental non-governmental organiza-

tions will be of increasing interest to archivists over the next few years. The impact of these organizations on our society is only beginning to be felt. Their records will form an important facet of our documentary heritage. This thesis studies the approaches which might be taken for the strategic acquisition of these records by archival repositories and programs. Environmental non-government organizations are examined in light of the development of the movement, the general structure of the organizations, and in greater detail through a survey of organizations in British Columbia. The results of this survey indicate the possibilities for successful acquisition of these records through cooperative inter-institutional strategies, acquisition strategies, and documentation strategies.

***Bernice Willene Chong, "Conceiving Local Archival Institutions: A Study of the Development of Archival Programs in Richmond and Delta, British Columbia," July 1993.***

This essay tries to determine how two municipal archival programs develop from their origins as collections of historical documents in museums, and whether they fit into the larger pattern of archival development found in Canadian federal and provincial public archives, which is identified as "total archives." To provide some context for the two case studies, the essay first examines the main features of the Canadian tradition of "total archives" and tries to locate Canadian archives in the context of the worldwide evolution of modern archival institutions. The essay then explores the development of municipal archival programs in Delta and Richmond, British Columbia to reveal how they were conceived, advanced and sustained. The study concludes that local archival programs do fit into the Canadian tradition of "total archives"; however, a conceptual framework which includes both the cultural and administrative purposes of archival institutions appears to be lacking. The conclusion summarizes some of the aspects of a conceptual framework including: the nature of archives, the legal status of public records and the need for archival legislation, the administrative role of an archival program, the need for a commitment of adequate resources, and the need for local governments to recognize their duty to preserve and make accessible public records of continuing value.

***Heather Chan, "Multiculturalism and Archives," August 1993.***

This thesis examines the implications of multiculturalism for the management of archival material generated by private individuals, groups, and organizations in Canada. The study begins with an analysis of the history and nature of the concept "multiculturalism" to identify the principles and purposes underlying both the social movement and the public policy of multiculturalism. The

implications of these principles and purposes upon the institutional management of archives of private origin are then discussed within the context of archival theory. Finally, the results of a survey conducted to determine how Canadian federal, provincial, and territorial archival repositories are interpreting the concept and implementing the policy of multiculturalism are analysed to show the effect of multiculturalism on current archival methodology.

The study shows that, in an attempt to respect the multicultural policy, the majority of Canadian archival institutions at the federal, provincial, and territorial levels are implementing practices which are contrary to archival principles. This thesis concludes that cultural group affiliation is a non-identifiable entity which cannot govern the institutional management of private archives, and demonstrates that the social goals of multiculturalism and archives are both attainable if archival principles dictate archival practices.

### Jian Xiang Liu, "The Potential for Acquisition of Ethnic Archives: A Case Study of Five Chinese Organizations in Vancouver, British Columbia," August 1993.

This thesis is a study of attitudes towards the final disposition of archival records among representatives of five organizations in the Chinese community, Vancouver, British Columbia. The findings reveal three different types of attitude towards the final disposition of their archival records: "closed," "fairly open," and "open." Organizations with a political mission, a long history, and financially independent of government support tend to hold a "closed" attitude towards the final disposition of archival records; those with a project-oriented mission, existing for a limited time, and financially dependent of the government tend to hold an "open" attitude; those with missions such as cultural and social services tend to hold a "fairly open" attitude. The size of an organization does not influence the attitudes. The organizations open or fairly open towards access of their records possess higher potential for acquisition of ethnic archives by a public archival institution, whereas those closed to access of their records hold lower potential for acquisition. It is argued that these findings, though preliminary in nature, have significant importance for the archival community as regards the development of acquisition policy and strategy in keeping with the situation and desires of records generators, in this case, ethnic groups. Its implications are especially significant in the Canadian setting, being a country widely acknowledged to have many ethnic groups.

### Michael A. Hemmings, "Access and Accessibility to Canadian Vital Event Records," September 1993.

The transfer of copies of vital event records into a government archives repos-

itory is necessary not only to ensure their ongoing preservation, but also to provide access and accessibility to them for all researchers in an appropriate setting. At present all vital event records gatekeepers in Canada, except two, do not have in place a system providing for such regular transferral. The central reason for this lack of process is the assumption that vital event records are somehow different in kind, and not just in type, from other public records that contain personal information. This thesis evaluates that assumption through an analysis of the history of vital statistics legislation and a comparative study of the privacy regime of that legislation with the legislative regime of access to information and privacy. Having done these two studies, the thesis then recommends a way in which legal transfer from the gatekeepers to the repository can be achieved. That recommendation is, first, that all discussion regarding access must be accomplished before their acquisition. Secondly, their acquisition and accessibility must be based upon the expiration of time-limits.

### Rhianna Helen Edwards, "Archivists' Outlook on Service to Genealogists in Selected Canadian Provincial Archives," December 1993.

A long-standing antipathy towards genealogists on the part of archivists is suggested by a study of the archival literature. However, there is evidence in the literature of the past decade to indicate that many archivists are reassessing their position vis-à-vis genealogists. There appears to be several causes. Social historians and other professionals also acknowledge that genealogical endeavours are helpful to their own purposes. Genealogists themselves recognize that their qualifications and standards must be improved in order for them to command respect. Archivists now recognize the lobbying power that can be exercised by this large user constituency. The literature suggests that all these influences are leading archivists to accept the principle that genealogy and genealogists should receive service and respect that is equal to that afforded academic and other researchers.

Interviews with seven archivists at three Canadian provincial archives were conducted. They suggest that different archivists hold different attitudes towards genealogists. One interviewee was clearly antipathetic, but three were impartial and three were frustrated and discouraged, not with genealogists per se, but with the problems inherent in putting the principle of equality into practice.

Regardless of the attitude held, each interviewee believed that an improvement in methods of accommodating genealogists would not only aid the genealogist, but would also provide some relief from the pressures of serving this large and varied user constituency. But does such accommodation through adjustments in the functions of appraisal and acquisition, arrangement and description, reference and access, and public programming undermine archival theory? In general, it was found that sound appraisal practices are compro-

mised by an approach driven by the needs of the user; however, genealogical research required no adjustment of arrangement and description practices following the principles of provenance and original order. It was also found that the functions of reference and access, and public programming could meet the needs and approaches of genealogists without jeopardizing the physical and intellectual aspects of the records.

**Jacqueline Patricia O'Donnell, "The Development of University Archives in British Columbia: A Case Study," 1994.**

This essay attempts to determine how university archives in British Columbia have developed from their origins as collections of historical documents within university libraries, and whether they exemplify the larger trend of archival development evident in Canada. An examination of the history of the National Archives of Canada provides a model of developmental stages and key elements necessary for a modern archival programme. In addition it exemplifies the Canadian tradition of "total archives." Individual case studies explore the evolution of British Columbia's three university archives, in the light of this Canadian tradition. Archival programmes located within the University of British Columbia, the University of Victoria and Simon Fraser University are examined, in order to determine how they were conceived, advanced and sustained. An examination of the administrative records of the three university archives including annual reports, correspondence, policies and committee minutes presents a historical overview of their growth and development. Following decades of progress, the emerging picture is one of an incomplete process with each institution having attained a different level of development. The conclusion compares and contrasts the three institutions and assesses their progress in the broader national context of Canadian university archives generally. The state of university archives in British Columbia mirrors that of their national counterparts and the emerging picture is one of an evolution still incomplete.

**Jennifer Alexandra Mohan, "Origin and Development of Records Scheduling in North America," January 1994.**

This thesis begins by tracing the development of the practice of records scheduling in the federal governments of the United States and Canada, from the initial concern with records disposal in the late 1800s, to the implementation of formal records schedules in the 1940s in the United States and the late 1950s in Canada. These federal initiatives provided a model for later developments at the state and provincial level. However, changes in scheduling methods have lately become necessary to meet the demands of the increasing volume of records, organizational complexity and change, and the widespread use of new media, particularly electronic records.

Many of these changes have occurred at the provincial and state level, where the limited size of government has allowed the agencies responsible for scheduling to be more responsive and innovative. For this reason, analyses of current records scheduling practices in the provinces of British Columbia and Ontario, and the states of Washington and New York were conducted. These studies reveal schedules that are both flexible in their use and adaptable over time because they attempt to accommodate both records in all media and organizational change. Among the scheduling techniques examined are the addition of media-specific elements, the use of functional schedule arrangement, the integration of schedules with other management tools, like classification, and the expanded use of general schedules for records common to more than one organization. These techniques are capable of dealing with the volume, complexity and variety of records which are being created in government today. Despite the changes demonstrated, the studies show that records scheduling remains a viable practice to control the life cycle of all records, from creation until disposal.

Throughout this investigation, the role of archivists is discussed. Archivists' involvement in scheduling began with the earliest developments and continues still today. Archivists have been central to the initiation, development and adaptation of records scheduling in government. With the development of new information technologies, archivists' role is even more important, for they must intervene into the process of records creation if they want to maintain the ability to identify records of enduring value to society, and to ensure that their integrity is maintained throughout administrative procedures and use.

***Kelly Anne Stewart, "The Archival Concept of Competence: A Case Study of the Federal Administration of Agriculture in Canada, 1867–1989," January 1994.***

This thesis sets out to explain how spheres of responsibility or competences are assigned in the administration of government functions in order to assess the ways in which archivists can come to terms with increasingly rapid rates of administrative change in the performance of their work. It examines statutes and government publications to present a picture of the evolution of the competence of agencies of the government of Canada given responsibility for carrying out activities in administration of the function of agriculture.

It is found that knowledge of the assignment of functional responsibility is essential to a number of archival tasks. It is vital to know all the bodies participating in carrying out the function when appraising records. A vital part of identifying the external structure of a fonds lies in determining the competence of the agencies creating records in it, and this knowledge must be effectively communicated in archival description. Finally, the concepts of function,

competence, and activity, if clearly understood, can guide the development of vocabularies to assist users of archives to find loci of administrative action relevant to searches they are undertaking.

Accumulating information about the functions, competences, and activities of organizations and keeping it current can serve many purposes in the administration of records during the entire life cycle. Organizations need this information to control and provide access to records for administrative purposes and to facilitate secondary access under freedom of information and privacy legislation or for historical research purposes. The method of analyzing functional activity employed in this study can be used for all government organizations in Canada.

### Michael Gourlie, "The Records of Lawyers: Archival Appraisal and Access," March 1994.

Despite the importance of lawyers as persons within the legal system, their activities have not been well-represented in the documentary heritage of society as preserved in archives. The primary reason behind this situation is the principle of solicitor-client privilege, which traditionally protects the lawyer-client relationship from disclosure. The privilege has not only barred the archival acquisition of and access to client files for research purposes but has also apparently prevented any in-depth study of the records lawyers create.

This study attempts to shed light on the records created by lawyers and their possible disposition. First, the thesis uses the concepts of diplomatics and an analysis of the historical development of lawyers to categorize their work. The functions it defines include maintaining a legal practice, contributing to the profession and providing legal services to clients.

The thesis then examines the central function of providing legal services by analyzing an actual lawyer's fonds and comparing it with related records in court registries. This analysis illustrates how lawyers' records fall both into functional categories and diplomatic phases. It also reveals that, contrary to certain observers, few of the documents in the lawyer's file appear in the court registries and even fewer are preserved in archives as a result of records management decisions by the registries.

These findings provide grounds to consider archival appraisal of lawyers' records. First, it is argued that concerns about solicitor-client privilege need not inhibit preservation and access to lawyers' records in archival institutions. With this impediment removed, archivists can proceed to acquire the fonds of lawyers on a selective basis both among and within fonds. In terms of appraisal for selection, certain records resulting from the activities within the functions of maintaining a legal practice and contributing to the profession are worthy of permanent preservation and have no access restriction on their use. For the function of providing legal services, a statistically valid sample of

these case files should be preserved to illustrate this aspect of a lawyer's work. However, it is vital that lawyers and archivists must work together on finding mutually acceptable policies that both respect the privacy of clients and allow access to the record of legal practice for future generations.

### Steven Davidson, "The Registration of a Deed of Land in Ontario: A Study in Special Diplomatics," April 1994.

The principles of diplomatics and the methodology of diplomatic analysis have long been recognized in Europe as important elements of archival education. However, North American archivists have tended to view the diplomatic discipline as archaic and better suited to its traditional use in the study of medieval European documents than to the study of the records of modern North American administrations. Objections to the application of diplomatics to modern documents have focussed on two points: first, that diplomatics is of limited practical value beyond the demonstration of authenticity, which is the purpose for which it was first developed; and secondly, that the nature of modern documents is fundamentally different from the nature of medieval documents and diplomatics is therefore not relevant to the study of modern documents. This thesis serves as a pilot study in the application of diplomatics in a modern administrative context, and its purpose is to challenge both these objections.

The framework for this thesis was determined by a consideration of the unique characteristics of medieval and modern documents as tools of administrative activity. Given that a single medieval document typically embodies an entire transaction, while most modern documents embody only a fragment of a transaction, it was apparent that a diplomatic analysis of a single modern document would be less conclusive than a similar analysis of a single medieval document. For a diplomatic analysis of a single modern document to be meaningful, therefore, the focus of the study must shift from the single document to the entire documentary residue of the transaction in which the document participated. The methodology of the diplomatic analysis remains unchanged, in that it still begins with an analysis of a single document, but the overall focus of enquiry broadens to comprise a sequence of diplomatic analyses of all the documents which participated in the transaction.

The thesis focuses on two transactions involving the registration of a deed of land under the Ontario land registry system, one taking place in 1822 and the other in 1873. In order to identify all the documents which participated in these transactions, it was first necessary to examine the legal requirements for registration as revealed in the relevant legislation. After the activities required to be undertaken to complete the registration transaction were identified, these were then arranged into a logical sequence comprising a single coherent pro-

cedure. In this manner, a separate procedural outline was constructed for each period in the registry system's early development, and the documents which participated in each respective registration transaction were identified according to the procedure governing the transaction at that time.

On the basis of the two procedural outlines, separate diplomatic studies were undertaken of the documents participating in each respective transaction. These studies consist of a sequence of diplomatic analyses of all the documents which participated in each transaction. The studies reveal the changing nature of both the documents and the procedure, and this information is expressed in a consistent and standardized manner according to the terminology of diplomatics. The importance of this information for the arrangement, description and appraisal of these documents confirms the relevance of the diplomatic analyses to the study of modern documents.

In conclusion, the principles of diplomatics are very much relevant to an understanding of modern documents. The results of the two diplomatic studies confirm that the methodology of diplomatics can successfully be applied to a modern administrative context and can be used by archivists in varying degrees of completeness and formality in order to uncover information critical to the arrangement, description and appraisal of modern documents. In revealing, through an analysis of a document's forms, the nature of the document in terms of its procedural context and the circumstances of its creation, diplomatics has the capacity to help facilitate the management of modern North American archives.

### *Janice Louise Simpson, "Broadcast Archives: A Diplomatic Examination," April 1994.*

This special diplomatics study examines the applicability and usefulness of diplomatics for the analysis of broadcast archives, and specifically, of sound and moving image documents. The traditional model of diplomatic analysis, devised for dispositive and probative documents, was found not applicable to supporting and narrative documents, which constitute most of contemporary archival material. The documents that are characteristic of the broadcast industry in particular are supporting documents; therefore, a new model of diplomatic analysis based on the same principles and methods as the traditional one was developed in this thesis for supporting documents generated by the broadcast industry.

The new model was successfully used to analyze textual and non-textual, early and contemporary documents produced by different types and sizes of radio and television stations. The analysis showed that the formation, form, and transmission of supporting documents in the broadcast industry has not changed significantly over time; that, although the organization of every

broadcast station is unique and constantly changing, there is a basic organizational structure for all broadcast stations regardless of size; and, that the functions of all stations are basically the same.

The analysis also revealed that the model, the scheme, and the procedure of criticism used in this thesis provide an understanding which would assist in appraisal, arrangement, and description of specific broadcast archives. The bottom-up/top-down integrated approach to the analysis supports the understanding of the documentary, administrative and juridical context of the documents in question, and demonstrates that diplomatics can be used to devise new tools for the examination and study of new types of documents.

The study concludes that broadcast archives in general, and sound and moving image documents in particular, can be profitably analyzed according to diplomatic principles and methods.

### Linda M. Janzen, "Series: History, Theory and Practice," May 1994.

This study examines the concept of the series in archival literature and practice. Although the series is an important element in archival arrangement and description and appraisal, and is central in controversy relating to traditional archival principles, it has never been the subject of analysis per se.

This thesis examines the history and theory of series through analysis of English North American archival literature, and its immediate antecedents. It aims to trace the origins and development of the series concept.

The study makes various conclusions about the series: firstly, the series concept has an abstract element, is part of a single fonds and has a single provenance. Secondly, different definitions of series have served different purposes for archivists in the past; archivists need now to develop a concept and definition of series which will serve current goals. Thirdly, the methods and principles respecting the appraisal of series are not clearly defined, and more study is required in this area, as in other areas of appraisal.

### Nayani Samarasinghe, "Developing a Programme to Educate Archivists in Sri Lanka," May 1994.

This study investigates the possibilities of educating and training archivists in Sri Lanka. It aims to determine the viability of educating archivists and to propose the location, requirements, and curriculum suitable to the Sri Lankan circumstance.

The first part of the study examines aspects of the Sri Lankan context that affect the question of archival education, in particular the constitutional and political evolution of the country, the history of its archives and their preservation and treatment, together with an account of past education and training of archivists and records personnel.

It then synthesizes the international literature on archival education in order to see the various patterns of education which have emerged the world over in order to reflect on the best model for Sri Lanka. Although aspects of several different patterns are applicable to the Sri Lankan situation, it is proposed a programme of studies in purely professional areas should be located in a Sri Lankan university, in a manner more and more becoming the norm the world over. This literature also identifies certain issues of location in the university and related to the curriculum which are addressed in later chapters.

The next two chapters support the idea of establishing a diploma programme at the post-graduate level lasting one year and located in conjunction with library and information studies. The particular requirements of Sri Lanka are taken into account, but international trends and standards are also observed.

The study concludes that it is both possible and desirable to take a gradualist approach by first building a diploma program of purely professional courses to educate archivists and records personnel for both public and private employment in the Sri Lankan context.

### K. Blair Galston, "A Functional Analysis of Church Institutions," June 1994.

The tasks of an archivist demand a thorough knowledge of provenance. One means to such knowledge is an analysis of an organization's functions and activities. Church institutions are a class of organization having characteristics about which it is possible to generalize. This thesis proposes that the Christian church as a whole, and the organizations within it, carry out five functions: worshipping, sustaining the institution, teaching, evangelizing, and providing pastoral care.

To establish the validity of the analysis, this thesis examines each function in light of the historical development of the church. It lays out the common activities which are undertaken by church organizations in performing each of the five functions. It then outlines classes of records associated with the activities to give some tangible substance to the general theoretical picture.

The study concludes by explaining how a general understanding of the church's functions can be applied to archival studies. More specifically, it delineates implications of the analysis for records classification, appraisal, description, indexing, retrieval, and reference services.

### Heather Marie Gordon, "Archival Exhibitions: Purposes and Principles," June 1994.

Most information on exhibitions found in the museum and library literature is

of little use to the archivist faced with preparing an exhibition of archival material. A body of literature exists dealing with the allotment of institutional resources to the exhibition function and with the physical care of archival material on exhibition. However, little has been written about the principles governing an archival exhibition's inspiration and development, principles that need to be identified before addressing the methods and practice of mounting an exhibition. This thesis is a response to that need. Exploratory, rather than descriptive or explanatory, its purpose is to identify the principles governing the creation of archival exhibitions, not the practicalities or mechanics of mounting them. Primary sources for this study are exhibition catalogues and brochures solicited from various Canadian archival institutions as well as the letters from members of the Canadian archival community that accompanied the catalogues and brochures.

The thesis first establishes that the creation of archival exhibitions is subject to fundamental archival theory. Then, it addresses the ideal motivations or purposes behind thematic, celebratory, institutional, and functional exhibitions and demonstrates that they are linked to the mandate of the archival institution and the nature of the targeted audience. The thesis concludes that archival exhibitions have a responsibility to promote the archival institution and its holdings and to educate people regarding archival functions and services, and that institutional and functional exhibitions are, by definition, best designed to accomplish these objectives.

### Blair Taylor, "The Application of Hypertext to Archives," June 1994.

The thesis explores whether hypertext, a non-linear, associative way of structuring information using computer programs, could be implemented in an archival information system. It includes a summary of the development and nature of hypertext, a discussion of archival information systems and the needs of users regarding information retrieval, and a discussion of how the capacities of hypertext can be applied to archival retrieval systems and how a possible hypertext retrieval system could be structured. Additionally, aspects of a hypothetical hypertext information system are presented to illustrate how archival information could be organized using hypertext and how that information could be browsed and retrieved.

There are both benefits and disadvantages to implementing a hypertext archival retrieval system. The advantages of such a system include the following: the hierarchical structure of information about archives is well-suited to being represented in hypertext; movement throughout the hierarchical structures is as simple as following links between the records; records could have multiple links to other records; information could be structured in multiple ways simultaneously; associative browsing of the information by following the links between the records could be possible; and a variety of search

options are possible that would allow users to access the information in the hypertext in a variety of ways.

The disadvantages of implementing a hypertext archival information system are: it might be too time-consuming to create the hypertext; movement throughout the hypertext network would rely on links that were created by the archivist, so navigation would only be as good or bad as the established links; and the associational, non-linear structure of hypertext might not be the most effective or efficient way to retrieve archival information.

Despite some of the disadvantages and technical difficulties of hypertext, it could be successfully implemented in an archival retrieval system. The configuration and functions of such a system could vary widely, and would depend on the requirements of the archives.

### *Janet Elizabeth Turner, "Special Diplomatics and the Study of Authority in the United Church of Canada," July 1994.*

This thesis conducts an experiment with special diplomatics, applying its techniques to the study of selected documents of the United Church of Canada. The results of the experiment are analysed to answer two questions. Does diplomatics make a unique contribution to the archival tasks of appraisal, arrangement, and description? Is the original purpose to which diplomatics was directed, that is, the identification of authentic documents, relevant for modern records?

Study of the juridical system of the Church, based on the United Church *Manual*, demonstrates that diplomatics requires an understanding of the sources and instruments of authority, because they determine how acts and documents can be recognized as authentic. Agendas, reports and minutes of B.C. Conference are then examined from the diplomatic perspective, to identify the juridical persons of the Conference, their competences, and the acts and documents typical of each. The result is a detailed description of the administration of Conference. These studies complement, but do not duplicate, the administrative history typical of archival science.

Diplomatic methods are used to identify the procedures and formal elements of the "Call to a Minister." Extrapolation from resulting data demonstrates that diplomatics rediscovers the Church in the single set of documents.

The thesis concludes that diplomatics does make a useful contribution to the methods of archival science, because it studies records and records creators from a distinct perspective. It also concludes that since modern society continues to attach great importance to due process and proper form, as means of protecting the authenticity of acts, the understanding of authority and authenticity provided by diplomatics is relevant to the study of modern administration.

**David Allen Weber, "Access to Public Records Legislation in North America: A Content Analysis," August 1994.**

This thesis examines federal, state and provincial legislation concerning access to public records in the United States and Canada using content analysis as a method for gathering data. The analysis focuses on the following specific statutory elements: the legislative intent or purpose, eligibility, the definition of records or public records, the duration of exemption, severability, responsiveness to requests, and publication of information about records. The elements are discussed from the perspective of archival theory and practice.

With regard to legislative intent or purpose, the most appropriately expressed clearly confer a right of access to records. If the overall purpose is accountability, right of access is best conferred on citizens. If general openness is the aim, eligibility for all persons is more fitting. When legislative definitions of public records and a model definition are compared, the model definition covers a broader concept of public agencies than is normal within the scope of existing access legislation. A more consistent application of the definition would also have legislators define records instead of public records, and provide a means of identifying more specifically those public agencies which fall within the purview of the legislation. Because the passage-of-time principle has rarely formed part of legislation, it is possible that, contrary to the spirit of access legislation, exemptions may apply in perpetuity. Although provisions for severability of information result in the release of more records, they may also affect the probative value of records. With regard to responsiveness to requests and provision of information about records, government agencies might take advantage of the expertise and experience of archivists in providing reference services and producing finding aids.

The overall results point to the appropriateness of adopting a unified view of public records administration with the archivist and the record administrator each moving beyond traditional bounds of responsibility for historical records and active records, respectively. For archivists, the introduction of access to public records legislation represents an opportunity to make their expertise more widely available to administer access to records at all stages.

**Gabrielle Lili Earnshaw, "Preserving Records Bearing on the Experience of Women in North America: The Women's Archives Movement and its Significance for Appraisal for Acquisition," October 1994.**

This thesis is an historical study of efforts which have taken place in English-speaking North America to preserve records bearing on women's experience. It has been found that efforts have centered on two positions: separation from traditional archives and reform of traditional archives. Approaches have varied and changed according to the political ideology of the women's movement

at different historical moments. In the 1930s, efforts were made to develop separate "Women's Archives" to complement the records held by traditional archives. In the 1960s and 1970s, some feminists, primarily radical and lesbian feminists aimed at the establishment of independent women-centered archives that were separate from traditional archives and were operated according to feminist principles. Other efforts by liberal feminists have concentrated on the reform of traditional archives through the development of preferential acquisition policies for records bearing on women's experience. In the 1980s and 1990s, while earlier efforts continued, challenges of racism and classism have been made to traditional archives and the women's archives movement by women of color and other minorities. Most recently, feminist scholars have argued for the integration of women's history with that of men. This has influenced a growing trend towards integration of women's records with those of traditional archives.

The women's archives movement suggests that appraisal for acquisition in traditional archives has discriminated against the records created by women. Although archival theory and methodology of appraisal for acquisition are not inherently biased, in practice acquisition of private records takes place in a haphazard manner according to the value system of the ruling political ideology. Because of structural and societal discrimination women have not been part of this ruling elite and interest in the preservation of their records has been minimal. To ensure the preservation of women's records archivists must develop national, systematic and comprehensive acquisition strategies which acquire records from all spheres of human activity, improve intellectual access to women's records, and recognize and respect efforts which have taken place outside of traditional archives. The role of the archivist must be expanded to provide consultation and outreach for creators of records bearing on women's experience and the women-centered archives which preserve them.

### Judith Susanna Kovacs, "Optical Storage Technology: Applications and Implications for Archives," October 1994.

Optical storage technology has advanced to the point where one can store megabytes and terabytes in a very small physical space. The use of this form of mass electronic storage has the potential to affect the way archives conserve, preserve, store and make accessible the records in their custody. Thus, it is important for archivists to understand not only the technology, but the implications of its use on traditional archival methods and practices.

This study provides a description of the technology, conservation and preservation issues, and archival implications involved in the use of three optical storage systems: WORMs, Rewritables, and Optical Tape. Some of the technological, legal and archival problems associated with the use of these sys-

tems by archival programs or institutions are discussed, and a few case studies involving the use of optical storage systems in archives are presented.

This thesis concludes that, while there are problems associated with the use of optical storage systems as archival conservation and preservation tools, the advantages presented by these systems outweigh their disadvantages.

### *James Philip Gilbert, "An Investigation into the Functions of School Boards in British Columbia," February 1995.*

The significance of school districts as an object of study lies in the direct manner in which the provision of public education serves the needs of society and is, in fact, a societal undertaking. Public schooling is a major instrument for the expression of the public will in a democratic society, and the school system both models and maintains the essential attributes of that society. As a result, school districts, the basic structural unit in the organization and operation of public schools in Canada, create records which reflect the educational values and concerns of this society at the most fundamental level. Because the effective administration of education requires that records be kept, sometimes by law, it is essential to analyze the functions of school boards as a means of understanding the records they produce and their significance.

The aim of this study is to identify and synthesize those facts, laws, historical developments, functions, and competencies common to the local administration of education in British Columbia with the express purpose of establishing a framework in and through which the archival control of their records may be examined. This analysis is undertaken in accordance with the archival methodology of functional analysis.

The need to examine and understand the legal foundation upon which school districts and their controlling boards rest is critical because so many of their activities are largely determined by law. Accordingly, the thesis begins with an analysis of the legal framework of school district activity and shows that as political and legal entities school districts are considered to be provincial agents, albeit acting in a local capacity, with the status of quasi-municipal corporations. From this point of departure, an analysis of the relevant statute law, common law, and administrative law is then undertaken in order to determine the historical evolution of British Columbia school boards, their mandate and their functions. This examination reveals that each school board shares three primary or governing functions (legislative, judicial, and executive) and two management functions (education administration and business administration).

The thesis concludes by offering an evaluation of the implications of this study for archival practice through an examination of several issues related to the archival management of school board records as well as the reasons for their permanent preservation by an archival agency.

*Trevor Ian May, "Archival Professionalism and Ethics: An Assessment of Archival Codes in North America," March 1995.*

This thesis explores the subjects of professionalism and ethics as they relate to archivists and seeks to assess the appropriateness and effectiveness of the ethical codes adopted by two national archival associations in North America. The archival profession in North America is in its infancy compared to its status in Europe. Having been identified with serving scholarship and other "non-essential" pursuits, archivists have begun to involve themselves in more vital records management tasks involving access to information and privacy issues. As the archival profession strives to achieve greater public recognition and trust to better carry out these and other sensitive tasks, the need for a code of ethics has become more acute. Both the Society of American Archivists and the Association of Canadian Archivists have developed codes in the last few years in an attempt to set standards of conduct in the face of rising responsibilities. However, many of the elements have been borrowed from other codes and with the need to ensure that such codes will be observed by members and enforceable by sanction, it seems timely that some means be established for analyzing their effectiveness.

This thesis attempts to establish the tools for analysis of archival codes of ethics. To this end, it examines professionalism and ethics and the relationship between then. It draws upon the literature on emergent professions, establishing some of the characteristics of recognized professions. It also draws upon the literature on professional ethics to determine how one might look at existing codes from an ethical perspective. It examines the nature of archives and archival work to identify ethical principles regarding archival material and its treatment. Ultimately, the elements of these foregoing discussions form the basis for analyzing archival codes of ethics.

The thesis generally concludes that ethical codes must be placed in an ethical infrastructure which reinforces the values and principles embodied in a code of ethics. Moreover, a better understanding and consensus about the purpose or goals of the profession need to be achieved and stated in the codes themselves. Greater attention needs to be paid to formulating basic principles which can be applied in unpredictable situations. Greater use of logical relationships between code components is also needed. Finally, to become truly useful, the North American codes need to be made more comprehensive and to this end, it is suggested that professional archival groups abandon their attempt to provide ethical guidance solely in encapsulated form.

*Jayne Bellyk, "The Use of Information Engineering as a Framework for Analyzing Records in Electronic Form," April 1995.*

This thesis examines an approach and a methodology used by information

technology professionals to develop information systems. Information engineering is a methodology for developing information systems following a specific process. It does not set out to create or manage records, yet it does have significance to archivists as a framework for analyzing information and records in electronic form.

The framework that information engineering extends to archivists is one that links administrative goals and business functions to individual activities and acts. The analysis of system documentation from an actual development project reveals how these relationships are created and maintained. It also describes and presents the lexicon and graphic representations of information management as it follows a particular action through the phases of development. Finally, it reveals the fundamental difference between traditional paper records and data in electronic form. The separation of content from structure is a result of the demands of database technology for storage and retrieval, and is a significant issue to be faced in developing methods for the management and preservation of electronic records.

The analysis also brings to light the importance of possessing this knowledge before establishing appraisal or description approaches or electronic record management program strategies. The study concludes that information engineering provides a useful framework for archivists in the analysis of information and records in electronic form, and that this understanding is essential to the evolution of archival knowledge and the responsibility of archivists to ensure the reliability, authenticity, availability and integrity of records in an electronic environment.

### *John Robert Stewart, "Museums: A Functional Analysis," April 1995.*

Museums are important institutions of culture and education in every modern society. However, both museums themselves and external researchers have often considered as important only those records that pertain directly to the acquisition, meaning and provenance of the objects in museum collections. In recent years many types of historical and scientific scholars have discovered the value of many classes of museum records to their research. This, combined with an increased demand for public accountability, has brought attention to the potential value of all classes of museum records. This thesis considers the value of the full range of museum records through an understanding of museum functions, activities and organizational structure.

Museums have evolved from collections, which have been a part of human culture for thousands of years. Collections have been embodied in the institutions called museums, and separated from their original practical, religious, or personal purposes, only in the modern era. Throughout their history museums have had the same common functions of collecting objects, preserving objects, educating the public, and sustaining themselves.

Museum records are created by museum offices, or officers, as they carry out their mandated functions and activities. To appraise museum records it is necessary to understand the activities that comprise the basic museum functions, which classes of records are created by those activities, and which museum positions typically perform those activities and functions. This analysis enables us to see the functional genesis and nature of museum records, no matter what types of museum officers perform the activities, and no matter how the work is organized in any particular museum. The records can be evaluated, not in relation to some abstract idea of value, but in relation to their documentation of the functions and activities of an institution.

Museum records need to be appraised in relation to their primary value to the creating institutions as well as their secondary value to external users. The full range of museum activities require documentation to enable museums to carry out their assigned functions, and for external users to satisfy a variety of cultural, historical, scientific, legal and personal research needs.

Museum records have some unique characteristics. The records with the highest primary value are those that document the acquisition, provenance, use and meaning of museum collections. These records remain permanently active for ongoing museum activities and, at the same time, have the highest secondary value for external users. Museum records are also unusual in that these collections-related records, with the highest primary and secondary value, are created at the middle or lower organizational levels of curators, registrars, conservators, and their technical assistants.

### Kathleen Laura Carney, "Managing Integrated Record Systems: A Conceptual Foundation," May 1995.

Organizational record systems have increased in complexity with the addition of another medium (electronic) to be managed. Moreover, the use of computer-based technology for making and keeping records engenders some confusion about the role of technology in determining the characteristics of record systems. Writings in the areas of organization theory, communication theory, archival science, diplomatics, and business management are analyzed in order to define and present the context, concepts and issues surrounding the creation, maintenance and administrative use of record systems. In light of this study, the thesis discusses the concepts of juridical system, organization, office information system, and the role of communication. It concludes that all these entities remain fundamentally unchanged by the use of modern technology. This thesis shows that while technology is a tool which helps human activity, it does not redefine the characteristics of the organization, its office system, the record system, or the records themselves. On the basis of this finding, the thesis suggests a conceptual approach and a set of definitions appli-cable to the practical management of integrated record systems in the organizational environment.

**Bonnie Faye Woelk, "Commercial Photography Firms: Their History, Functions, and Records," May 1995.**

This thesis establishes a deductively-derived model of the common functions, activities, and records of commercial photography firms based on idealized patterns of activity. It traces the establishment of the functions, which have remained characteristic of this class of organization, from an historical perspective. Three distinctive functions, "attracting clients," "sustaining the organization," and "carrying out photography assignments" are analyzed in terms of component activities commonly engaged in by modern photography firms and possible records which may be generated and/or accumulate as a result of these activities. This analysis has significance for a number of areas of archival management, but confines itself to implications for appraisal for selection. It makes recommendations that encourage the preservation of a representative body of records which explains the organization and gives evidence of its activities.

As is characteristic of all other archival documents, the records of a photography firm derive a great part of their nature from their relationships with the other documents in the fonds and the functions and activities the fonds as a whole reflects. Examining the records produced by this type of creator in the context of their creation can reveal how both the photographic and non-photographic records are essential to the fonds, and can encourage the preservation of adequate documentation of the organization and its operation.

A firm's photographs are generated by and are part of the production activities which fulfil the function of "carrying out photography assignments." They are related to a particular photography assignment and to the other records which show how that assignment was carried out. The photographs are also related to the records generated by the two other functions because these latter records reveal the activities in which the firm engages to enable it to carry out photography assignments. The marketing records indicate attempts by the firm to attract and acquire clients, some of which are successful and result in photography assignments. Records generated by component activities of "sustaining the organization" are related to the photos because they reflect activities which allow the firm to continue operating into the future and engage in its principal substantive function of "carrying out photography assignments."

**Elizabeth Joan Mitchell, "Civil Litigation, Probate and Bankruptcy Procedures: A Diplomatic Examination of British Columbia Supreme Court Records," June 1995.**

For centuries, the theory and principles of diplomatics have played a role in the work of European archivists. In North America, however, its relevance is still under scrutiny. This thesis employs diplomatic analysis to test its validity when applied to modern documents and procedures.

To investigate the significance of diplomatic methodology and analysis, this thesis first discusses the recent history and structure of the British Columbia court system. It then examines a selection of case files from the civil, probate and bankruptcy registries, and it assigns the documents within to one of the six phases of a procedure: initiative, inquiry, consultation, deliberation, deliberation control, and execution.

The study concludes by discussing the diplomatic character of the procedures and its importance in the understanding of modern records. More specifically, it outlines how diplomatics and procedural analysis can assist records professionals in the development of classification systems and retention and disposition schedules; the design of automated records management systems; and archival appraisal, arrangement and description.

### Gary Carre, "A Functional Analysis of the Private Press as a Type of Publisher," August 1995.

This thesis examines how, in providing context to records creation, functional analysis can be used in the archival appraisal of private press records.

This thesis draws on literature from a variety of sources, including the history of printing and publishing activities, the nature of private presses and archival appraisal theory. It also involves the examination of private press records held at the University of British Columbia Library, Special Collections and University Archives Division. Three private presses in British Columbia are used as examples in this thesis. They are Barbarian Press, Klanak Press and Cobblestone Press.

In chapter one, the historical experience of private presses in British Columbia is outlined. Following this, in chapters two through four, the functions and activities of publishing organizations are examined, with special reference to the particular way in which they are carried out by private presses. The nature of records created by private presses are also identified. In chapter two, the author examines the function of publishing organizations to acquire prospective manuscripts. Chapter three describes the function of publishing organizations to physically produce a finished work. Chapter four examines the marketing function of publishing organizations.

Throughout these chapters, the author examines the archival records of the three private presses used as examples in this thesis, highlighting archival appraisal implications drawn from an analysis of functions and activities. In his conclusion, the author reaffirms the role of functional analysis in archival work.

### Mary P. Ledwell, "The Theory of Reappraisal and Deaccessioning of Archival Material," August 1995.

A survey conducted by the National Archives of Canada in 1987 reported that out of 100 archival institutions surveyed, 65% of the respondents said that

they regularly reappraise and deaccession collections. However, reappraisal constitutes a formal requirement for only 15% of those who do it. This thesis examines the theory, method and practice of reappraisal and deaccessioning.

Prior to the publication of Leonard Rapport's article "No Grandfather Clause: Reappraising Accessioned Records" in 1981, mention of reappraisal appeared infrequently in archival literature. Rapport's article presented attractive arguments for the reappraisal and deaccessioning of material in archival custody, and, since its appearance, the idea of appraisal as a one-time activity to select documents for permanent preservation in an archival repository is seriously being questioned. A growing number of archivists are advocating reappraisal and deaccessioning as legitimate and necessary functions of archival work.

This thesis reviews the current literature regarding reappraisal and deaccessioning. It identifies and discusses the various arguments put forth for reappraisal and deaccessioning, and assesses whether they are valid in terms of archival theory, methods and practice. Finally, it outlines a procedure for reappraisal and deaccessioning with consideration given to the legal, financial and administrative implications of reappraisal and deaccessioning.

This thesis concludes that systematic reappraisal is not a valid and justifiable archival activity; however, reappraisal and deaccessioning is sometimes warranted and necessary on a case-by-case basis.

### Wilma MacDonald, "Archival Theory and Oral History Documents," August 1995.

This study was undertaken to examine in which circumstances archival theory, method and practices may be applied to oral history documents, with regard to appraisal and arrangement and description procedures, and in which circumstances they may not. With the ever increasing quantity of oral history documents being created today, there has been little acknowledgement that oral history collections form a significant portion of archival holdings, and a corresponding lack of archival literature to assist the archivist in dealing with these documents.

Oral history documents have often been isolated from any evidence that they form part of the organic and natural activity of a person, organization or institution. An analysis of how the oral history documents were created will reveal whether an archival approach is in order. Archival fonds provide evidence of the day-to-day activity of their creator (juridical or personal) and may include oral history documents integrated with the other record forms created by an individual, organization, corporation or government department. A collection, on the other hand, does not provide evidence of the day-to-day activity of its creator but is rather a body of historiographical information, focusing on a variety of subjects, created for the sake of posterity. Different

standards of appraisal apply to these two cases. Archival practices of appraisal can be applied only to archival documents, and not to collections. If the oral history documents are removed from their natural office of accumulation and are isolated as sources of information about the past, they are better treated as a collection. The identification of the fundamental difference between an archival fonds and a collection is essential in the archival treatment of oral history documents and must be the first step in their handling. In order to appraise oral history documents within an archival fonds a number of questions need to be answered: who created the oral history documents, for what purpose were the oral history documents created, what relationship do the oral history documents have with other records, do the oral history documents fall within the acquisition policy of the archives, are there any technical considerations which influence appraisal, and considering the answers to all of these questions, what is the cost benefit analysis? The answers to these questions will determine whether the oral history documents are archives. The value of certain documents alone does not make them archival, and the same is true for oral history documents.

The question of whether oral history documents ought to be acquired by archival institutions depends on the *policy* of the institution. When an archives determines what their acquisition policy is with regard to oral history documents – whether they will acquire collections or restrict themselves to only those oral history documents which form part of an archival fonds – the application of *Rules for Archival Description* (*RAD*) is an important part of the description process. The application of *RAD* to all forms of records which come within the custody of an archives will distinguish whether they are part of a fonds or not, and if oral history documents form part of an archives holdings they are no exception.

### Christine Ann O'Donnell, "Outreach in Community Archives in British Columbia: Four Case Studies," August 1995.

In the past, little has been written about the practical aspects of outreach. This thesis investigates the value of outreach and how it is put into practice in British Columbia's community archives. Interviews with managers of four community archives were conducted. The findings reveal that three of the interviewees regard outreach as a high priority and a fundamental part of regular activity. For these respondents, outreach activities have been positive and beneficial. They have successfully used outreach to augment and assist with acquisition, preservation and use of archival records. Only one interviewee presented a passive and cautious approach towards outreach. Results of this study indicate that outreach activities are not influenced by the administrative setting or the budget of the archives.

This study identified the essential components necessary for the implemen-

tation and delivery of successful outreach initiatives as: a regular source of funding, incorporation into an annual work plan, district goals and objectives that are relevant to the mandate of the institution, attention to the target audience, community co-operation and support, and evaluation of results.

This study reaffirms the value of archivists' practising outreach, and provides encouragement to those who are looking for concrete methods of approaching outreach.

**William Harvey Purver, "Function, Competence and the External Structure of Provenance: A Case Study of a Municipal Corporation," August 1995.**

The characterization of function and authority relations of an entity provides the basis for representing what has been termed the "external structure of provenance." Such a representation enables an understanding of the administrative context in which an organizational entity and its agents conduct their activities and, in turn, illuminates the manner in which the records of an entity are created and maintained.

The study applies a methodology enabling the mapping of the characterizable elements of function and competence of an entity over time and through the administrative hierarchy of its structure. Terms of analysis relating to the application of the concept of function are established, as are those relating to the structure of the entity. These provide a consistent means to identify the role and status of juridical persons comprising the organizational entity and to illustrate the nature of their activities in processes established to satisfy the entity's functional requisites.

The municipal corporation of Richmond, British Columbia, is the subject of a case study serving to confirm the validity of terms in which external structure can be analyzed. The study first examines the purposeful nature of the entity's activities through their functional characterization. It then examines the nature of authority relations inherent in the entity's organizational design and manifest through organizational process and role defining the nature of its structure. The study then demonstrates how the resulting authority relationships, along with the competences of the entity, can be identified in processes of activity fulfilment as components of a system of purposive activity representing the entity as a unitary, organic whole.

The functional-structural analysis of system provides the context for understanding activity manifest through observable processes by elements comprising the entity's organizational structure. The conceptual framework which results establishes the basis upon which the whole of the records of a municipal corporation can be viewed as constituting a fonds. The thesis concludes by examining some of the implications of the analysis for various aspects of archival practice.

**Joanne Thérèse Rajotte, "The Role of Data Interchange Standards in Satisfying Recordkeeping Functional Requirements in Electronic Message Handling Systems," September 1995.**

This thesis examines the role of data interchange standards in helping to meet archival and records management requirements in two types of electronic message handling systems, electronic mail and electronic data interchange. A detailed study of two data interchange standards, the X.400 Message Handling standard and the X12 Electronic Data Interchange Format standard, is conducted. These two standards facilitate the reliable transmission and communication of interpersonal messages between individuals, and information relating to business transactions between computers.

These standards are closely examined to determine to what extent they are able to satisfy the functional requirements for recordkeeping identified as part of a project conducted at the University of Pittsburgh. The use of standards to satisfy functional requirements is one of the tactics identified by the Pittsburgh team. The others are policy development, system design, and system requirements' implementation.

An electronic mail system in use at the Insurance Corporation of British Columbia, and an electronic data interchange system planned for implementation at the same organization are examined to determine to what extent these systems are able to satisfy functional requirements. Recommendations as to the use of other tactics to satisfy requirements are made.

This study determines that the standards examined are restricted to satisfying requirements relating to the capture, maintenance, and usability of records. They are limited to ensuring that messages are reliably transmitted, and that the identities of users are verified as correct. They are unable to ensure the authentication, reliability, or completeness of records as these terms are understood in archival theory.

The use by the Pittsburgh team of the terms authentic, reliable, and complete is also shown as being problematic. In the Pittsburgh schema, these terms relate to the capacity of systems to ensure the safe flow of messages between users, not the authenticity of the messages themselves.

**Harold Anthony Gregson, "Records Management Attributes in International Open Document Exchange Standards," October 1995.**

The thesis is a study of the ability of international open document exchange standards to capture the attributes of the archival document, or record in its electronic form using a set of decontextualized attributes developed by diplomatics. Open document exchange is the ability to exchange documents in their complete form between heterogeneous electronic document management sys-

tems. Three standards are examined: ISO 8613 Open Document Architecture (ODA), ISO 10166 Document Filing and Retrieval (DFR), and ISO 8879 Standard Generalized Mark Up Language (SGML) as realized in the Text Encoding Initiative. As distributed computing becomes common, there is a growing need for such standards, but their usefulness to archivists and recordskeeping systems depends on their ability to recognize the record.

Open document exchange standards function by setting broad descriptive requirements without prescribing the specific implementation by any given system. In describing documents, they are therefore in need of a terminology that is free of any particular records context. The thesis proposes that the archival science of diplomatics is capable of providing a complete set of decontextualized descriptors, or attributes, that encompass all aspects of the archival document or record. Since diplomatics is based on a scientific analysis of documents, and makes use of terminology that has long been in use by records creators and keepers, it is proposed that diplomatics terminology should be treated as a surrogate international standard in defining the at-/tributes of the document profile and the logical and layout structure of documents. Diplomatics concepts can then be used as the basis for describing records attributes in the document profile of electronic records management systems. The thesis demonstrates this proposition by means of a thesaurus which maps attributes and concepts of SGML, ODA, and DFR against diplomatic terminology.

### *Jason Christopher Eamer-Goult, "Conceiving the Records Continuum in Canada and the United States," November 1995.*

This thesis surveys the efforts made by Canadian and American records administrators, both records managers and archivists, to ensure that records are created, received, stored, used, preserved, and disposed of in a manner which is both efficient and effective. Beginning with the French Revolution and continuing to modern times, it investigates how approaches in North American archival thinking, government records programs, and applicable records legislation were often flawed because of fundamental misconceptions of the nature of the records themselves.

The thesis traces how the most widely accepted approach for administering records, which called for the division of responsibilities amongst records professionals according to the records' "life status" – active, semi-active, or inactive – was incorrect because it was not compatible with the reality that records exist as a conceptual whole and are best administered in a manner which reflects this realization. The records, which should have been managed as a coherent and complete fonds of an institution, suffered from these divisions which had eventually led to the evolution of separate records occupations: those who looked after active records, called records managers, and those who handled inactive ones, labelled archivists.

What was required was an "integrated" or "unified" approach such as that articulated by the Canadian archivist Jay Atherton. Like others, he called for the management of records in a manner which reflected the singular nature of the records, an approach which did not make arbitrary divisions where none existed, but instead viewed records from a wider and more complete perspective. Support for this approach amongst some records administrators was precipitated by a number of factors, not the least of which were the demands of handling information in modern society.

The thesis concludes by examining what is required for the integrated ideas to be implemented as part of a practical model in today's institutions. It suggests that for the best results to be achieved, records administrators will have to learn to work with others in related information professions, or risk losing the ability to make valid contributions in the modern information age.

### Tanya Karlebach, "Cultural Heritage and the Acquisition of Private Archives," January 1996.

This thesis provides an examination of a number of issues relating to private archives within the context of their acquisition. The investigation begins with an historical inquiry into the creation, use and acquisition of private archives in western society. The study then expands to examine issues concerning heritage and culture in twentieth-century society with particular note of Canadian society. These larger cultural issues are then investigated specifically as they pertain to private archives and archival institutions. These investigations reveal the significance of communities in the formation and fostering of cultural identity, and the need to acknowledge this in archival practice.

The thesis argues that when examining the provenance of private archives, the larger community within which the records were created is of crucial importance. The investigation determines that the community provides a cultural framework which influences its members and which in turn is reflected in the archives. That the symbolic significance and cultural relevance of these archives to other members of the community is enormous is a central argument of the thesis and leads to the conclusion that the removal of these archives from the community of creation results in a form of cultural appropriation. The thesis concludes by positing certain principles designed to facilitate private archives acquisition that aims to maintain the cultural integrity of specific communities.

### Sayuri Tsuruta, "Ethnic Archives in Canada: A Case Study of Seven Japanese Communities," January 1996.

In the Canadian archival system, in the past, ethnic communities were not encouraged to establish their own archives because they were considered to lack the resources required for sustaining professionally acceptable archives.

In recent years public archives have come to emphasize preservation of their parent bodies' archives, and consequently fewer resources have been available for preservation of private archives, including ethnic archives. There is evidence that some ethnic communities are concerned to preserve their archival materials. This thesis examines the efforts of Japanese-Canadian communities to preserve archival materials bearing on their historical experiences.

A case study using the method of focussed interviews of Japanese-Canadian communities in seven cities revealed the substantial will to preserve archival materials. The study discovered that, while Japanese Canadians have been and are being rapidly assimilated to the larger society, cultural interests and the need for the sense of identity persist and are renewed by each generation. Under these circumstances, community leadership sees archival activities as an integral part of the community activities. The case study also revealed strengths and weaknesses of archival activities in those communities. Closeness to records creators through formal and informal networks within the communities provides community archives with distinct advantages. These archives can easily identify and locate materials of continuing value. They also have easy access to contextual information on records and their creators. Weaknesses were identified in defining acquisition policies and financial resources. Contrary to concerns of some archivists and researchers, most respondents are aware of the need to abide by professional standards, and they are also willing to make their materials available to the general public.

Based on the findings of the case study, several recommendations are offered. Preservation of ethnic archival materials should be clearly recognized as a responsibility to be assumed by both public archives and ethnic communities. To carry out this responsibility effectively, planning and cooperation among different archives and communities are essential. Ethnic community-based archives, on their part, should follow the accepted principles and practices, especially in the area of acquisition, so that they function as a legitimate part of the Canadian archival system. Networking among ethnic community archives is also recommended in order to reveal relationships among their holdings.

### Regina Landwehr, "The German Archival System, 1945–1995," April 1996.

After World War Two, Germany became divided into two countries commonly called East and West Germany. This thesis describes how the two countries, one communist and one pluralistic, developed distinctly different archival systems with respect to the organization, legislation and appraisal methods of government archival institutions.

East Germany's archival system was organized and legislated into a rigorous hierarchical structure under central government control with the mandate of fulfilling in a systematic way primarily ideological objectives. Although

professional collaboration between the archivists of the two countries had been officially severed since the early years of separation by East Germany, because of irreconcilable political differences, they influenced each others' thoughts. Specifically, East German archivists borrowed and implemented extensively appraisal concepts formulated in West Germany, such as the documentation profile idea.

The examination of the archival system in West Germany reveals organizational characteristics typical of federalist countries. The development of archival legislation in West Germany was clearly the outcome of initiatives from the archival profession itself, and West Germany's appraisal methods reflected a diversity of theoretical considerations which, because of the pluralistic nature of the discussions, were marked by a lack of professional consensus. The description of the discussions that took place over time illustrates an ongoing struggle to identify and respect the perceived demand for sources, and to formulate appraisal methods focusing on the contextual and functional analysis of records creators' activities and competencies. The discussion of the developments that followed Germany's political reunification in 1990 shows that East Germany's archival system was absorbed by the West German system. The thesis concludes that the main effect of reunification was a search for a balance between East and West appraisal concepts and methods, and a renewed constructive debate characterized by a reexamination of previous archival contributions supporting contextual and functional appraisal approaches.

### Susan Margaret McClure, "Government Archivists' Perceptions About Their Responsibilities to Citizens and to Government: 'Simply a Matter of Serving Those Around Us'?" August 1996.

Government archivists serve more than one interest. They are responsible to citizens, as the source of democratic power, and they are responsible to government, as their employer, and as the creator of the records through which government is held accountable to citizens. This thesis explores the role that archives and archivists can play in support of democratic accountability, and traces the historical development of archivists' perceptions of that role. Examples of conflict between serving citizens and serving the state are explored to demonstrate the potential for conflict in the work of government archivists.

How government archivists perceive their responsibilities determines the role that archivists and thus archives play in democratic society. It also determines how archivists deal with the conflicts that can arise because of the dual nature of their responsibilities. Seven government archivists were interviewed about their perceptions of their responsibilities and role as public servants in a democratic state, and about their experiences with incidents when their responsibilities were in conflict. The interviews also explored the following

factors that determine how government archivists fulfil their role: the expectations and restrictions put on public servants; the level of professional autonomy granted to government archivists as public servants; the predominance of economic determinism within government administrations; the attitude of the archival profession toward activism and advocacy; and the need for a watchdog over government record-keeping.

The findings of the interviews led to the conclusion that archivists need to articulate a strong, common language of purpose that emphasizes the importance of preserving and providing access to archives as the evidence of the actions of government administration. This strength, when accompanied by a clear understanding of the political nature of archival work, will help government archivists deal with the constraints and conflicts of their position within government and within society.

### Holly Perrin Yoos, "The Impact of Sweden's Access Laws on Archives," February 1997.

This thesis examines the effects of access laws on archives and uses Sweden as its case subject. The research seeks to address two key questions: first, how does legally guaranteed access to public records affect the role of archival institutions in records management and control and, second, how does legally guaranteed access to public records affect the quality of records as sources of information about government activity? Six Swedish archivists were interviewed, three from the National Archives' Department of Inspection and Consultation and three from other government agencies. According to these archivists, the public, the media and researchers strongly value Sweden's access laws, although the public tends only to use the laws for investigating matters that directly concern them. Unity of management is not fully realized in Sweden because the National Archives shares some of its responsibilities with other organizational bodies. Unity of control exists in Sweden and access laws are one factor that supports records control. The archivists argued that access laws can have a negative effect on the quality of records because officials occasionally fail to put matters into writing and, occasionally, the public will self-censor its correspondence with the government. However, by far a more common method of circumventing the access laws is to fail to register documents. Overall, none of the archivists felt that these activities occurred frequently enough to pose a major problem.

### Roy Conrad Schaeffer, "The Knowledge Base and Archival Professionalism in North America: A Political History," July 1997.

The thesis seeks to examine the extent to which the archival conceptual base has changed over time in order to ensure the field's continuing relevance to contemporary economic, social and intellectual circumstances. The investiga-

tion focuses on the profession's own definition of its knowledge requirements in the context of profession building professionalism and the related development of educational programs in North America.

The educational requirements of the archivist have moved from those of the law officer of the European Renaissance, to the historian/records keeper of the nineteenth century, to the records manager and information professional of the late twentieth century. As the profession became more sophisticated and self-aware it began to define its knowledge areas, and ultimately supported the creation of university-based programs of education.

In North America the development of the conceptual base has been a largely twentieth-century phenomenon. The archivists of Canada and the United States initially adopted the contemporary European model of the archivist as scientific historian with appropriate historical training. As archives were viewed as agencies in support of historical research and archivists enjoyed some prestige as historians, this relationship was relevant and practical. However, as the demands of records keeping mounted with the growing complexity of the documentary heritage it became clear that historical training and historical thinking were no longer adequate to the task of producing competent archivists.

North American archivists began to recognize the need to develop concepts and approaches relevant to the handling of large bodies of contemporary information in a variety of formats. A knowledge base unique to the field and to the North American situation, began to be developed. The profession, through the establishment of its own professional associations, became self-aware and recognized the need to find institutions capable of refining and transferring this body of knowledge. Like other professions, it recognized the importance of locating advanced professional education in the university, both in the interests of the elaboration of the conceptual base and in support of the field's own claims to genuine professional status.

The development of programs of graduate education in archives in North America served to enhance the intellectual flexibility and dynamism of the field. It has yet to resolve all of the questions around the appropriate intellectual foundations of the field and the future of archives *vis à vis* the demands of the field's role in the management of information and cultural resources. Discussion continues as to the most relevant sources for professional knowledge and expertise, though there has developed a widespread acceptance of a distinct form of "archival thinking" based on the unique foci of archival work. As with all other professions, competitive pressures and changing environmental circumstances have fundamentally shaped and will continue to profoundly influence the ideas and institutions of the field.

***Thea Miller, "The German Registratur," October 1997.***

Registratur is "the regulated processing of business matters in the form of the documents generated by these matters." It is fundamental for recordkeeping

and archives in Germany, but little understood outside of the German-speaking world. This lack of understanding creates a barrier to the development of common approaches and international standards, a necessary step towards solving the problems which lie ahead for recordkeeping and archives globally.

This thesis examines and explains the concept of Registratur from a series of perspectives set within their general historical framework: the medieval German recordkeeping; the Prussian state administration of the early 19th century; the changes to recordkeeping under the influence of the *Büroreform* and of later events in post-Second World War Germany. The study of Registratur in Prussia in the 19th century shows that this concept was based on the following elements: 1) file making by business matter; 2) registration; and 3) regulation of the business processes. Although these three elements were only combined and brought to perfection in the classical Prussian Registratur, early forms of them can be studied in the practices of medieval record-keeping. Despite considerable changes brought on by technological development and by the shifting role of government, the fundamental elements of the classical Prussian Registratur have remained intact in the modern German Registratur, although the Prussian model itself has disappeared. The persistence of these elements is especially remarkable in light of the dramatic deterioration of East German record-keeping practices immediately following the war, and in view of the pressures experienced by the adoption of electronic data processing technologies in the public administration. German archivists, having left Registratur to the exclusive responsibility of the registrars in the 17th and 18th centuries, rediscovered the importance of Registratur in the late 19th century as their much-loved library-based systems of archival arrangement gradually collapsed. This development is discussed in the final chapter, following the evolution of the concept of Registratur in its historical context. Today the "Principle of Registratur," which derives from the concept, is the standard guiding principle for arrangement and description.

The modern concept of Registratur is going to be of great importance  for solving the problems currently facing North American recordkeeping and archival work. This thesis concludes that, although the practice of Registratur has little chance of being formally adopted in North America, its conceptual foundations and some of its procedural components are likely to become an integral part of North American and international recordkeeping systems.

**Michael Charles Carter, "The Methodology of Arrangement: A Case Study of the Department of the Provincial Secretary of British Columbia," April 1998.**

Arrangement is an important archival activity that precedes other important archival activities including description and access. Its objective is to identify

the external and internal structures of a fonds. However, despite its importance, archivists have had difficulty establishing a standard method of arrangement that fully achieves its objective.

This study views arrangement as a form of methodology bridging archival theory and practice. Arrangement must therefore be in accordance with archival theory yet be applicable in practical terms. The study first establishes the terms of analysis in regards to archival theory, and, in particular, the concept of the fonds. Difficulties in the practice of arrangement are then examined. These difficulties include: 1) identifying the levels of arrangement; 2) identifying when an entity has sufficient autonomy to create a fonds; 3) identifying the provenance of record series that have been in the custody of many agencies; and 4) dealing with the effects that changes to the external structure of a fonds have on record series. The main methods of arrangement, that have been utilized throughout the archival world in the last 50 years, including the record group, fonds method and series system, are then assessed to determine how closely each aligns with archival theory and how well they perform in practical terms. A method of arrangement is then devised using the basic attributes of both the fonds and series system methods.

The Department of the Provincial Secretary, of British Columbia, is the subject of a case study to confirm the validity of the methodology. The study first examines the external structure of the Department through the concepts of function, competence and organizational structure. It then studies the external structure through the concepts of functional series and documentary series. The study concludes by examining some of the implications of the method for various aspects of archival practice.

### Abigail Leab, "The Saying and the Doing: A Survey of Security and Theft Prevention Measures in U.S. Archives," April 1998.

Although the principles and model practices of archival security are well known in the United States having been codified by the Society of American Archivists in the 1970s, little is known about archives' actual policies and their implementation. This study attempts to determine whether there is a dichotomy between principles and practice in the area of archival security. Analysis of the genesis of the SAA Archival Security Program and of its components (including the *Register of Lost or Stolen Materials*, the newsletter, the consultancy service, the model legislation), especially Timothy Walch's standard setting 1977 manual, as well as other historical events such as the Oberlin Conference on Theft not only illuminate the ideal principles with which to compare practices, but also reveal the reactive nature of the field. Examination of related literature from 1977 to the present demonstrates both trends concerning the topic and the need to make it part of everyday archival functions rather than debating whether it is part of disaster planning or preservation. It

also establishes the contributions to the topic of archival security made by such activists as Philip P. Mason, Timothy Walch, Gregor Trinkaus-Randall and Richard Strassberg. The results of a questionnaire focusing on handling of materials and patrons demonstrates the gulf between the real and the ideal in various types of archives and examines how lack of staffing, budget and knowledge contribute to this gap. Finally, methods and practices are suggested for improvement of security awareness and methods. The willingness of the SAA to take a leadership role and to update the components of the original Archival Security Program using new technology (such as the Internet) to create a centralized source of information for archivists struggling with balancing access and security are key. The work already started by the newly re-established SAA Security Roundtable needs to be built upon by the SAA's devoting financial and organizational support in order to make archival security a proactive and effective field. If that were to happen, the principles and the practice, the saying and the doing, could then become synonymous.

### *Laura Elizabeth Cheadle, "The Archival Appraisal of Architectural Records," August 1998.*

Architectural records bear evidence of more than the history of design; because the construction process is linked to the social, political, and financial systems of the society in which the building activity takes place, the records also inevitably give evidence of these systems. This thesis maintains that, despite the undoubted value of these records for a diversity of research purposes, architectural records do not exist in significant numbers in Canadian archives, and argues that archivists have a professional responsibility as the makers and keepers of societal memory to encourage the growth of an adequate body of such records.

The Canadian system of public archives traditionally acquires records from both public and private sources in order to accurately reflect significant functions within Canadian society; one would therefore expect to find architectural records well represented in public archival repositories. In order to test this supposition, the holdings of these records in national, regional, and local public archives were researched, using the records of British Columbia architects as a case study. The research results indicate that, if the case of British Columbia is typical of other regions of Canada, the records of private architectural practices are not well represented at any level of the Canadian archival system.

A contributing factor to this scarcity is the difficulty archivists experience in appraising these records; a lack of reliable reference materials for analyzing such complex and voluminous records inhibits acquisition activity. A major part of the thesis is a functional analysis of the architectural office as a means of providing a key to the provenance of architectural records. A review and

assessment of the archival literature of appraisal follows. The study concludes by summarizing the strengths and weaknesses of the literature, and by proposing a means of encouraging the growth of architectural archives.

### Alain Giroux, "A Theoretical and Historical Analysis of Pertinence- and Provenance-Based Concepts of Classification of Archives," August 1998.

This thesis describes the main systems of classification used in public archives since the end of the eighteenth century. It provides an overview of the theory on which all archival classification is based. Grounded on the principles of this theory, pertinence-based and provenance-based classifications are described in the historical, juridical and intellectual context that framed their development and use. Each system of classification is examined to see how it structures archival material for both intellectual and physical control.

### Wayne James Murdoch, "The Acquisition and Preservation of Labour Union Records in Canada," August 1998.

In times of shifting cultural and institutional priorities, the acquisition and preservation of private records by large publicly funded archival institutions are becoming increasingly problematic. Repositories are looking for new ways of meeting their cultural mandates while also dealing with reduced budgets and staffing levels.

This thesis examines the issue from the perspective of who is to be responsible for the preservation of labour union records and where are they to be preserved. After putting the issue in context with a literature review and then by examining the juridical and social framework within which unions operate the thesis studies the question from two traditional perspectives: preservation solely by an archival institution and preservation solely by the organization or union. The thesis concludes by recommending a third option, a mixed or shared responsibility approach between the union and the institution, specifically, a cost-shared/partnership arrangement between the union and archival repository regarding the acquisition and preservation of labour union records.

### Beverley Anne Brereton, "Models vs. Reality: Appraising Publishing Records," September 1998.

Appraisal for selection determines which records of a creator will be permanently preserved for future generations. The archival community has continually attempted to establish guidelines that will provide assistance for the accomplishment of this difficult task. In recent years, a few studies of particular organizations and their records have offered practical guidelines that can serve as models for the appraisal of the records of other, similar creators.

Among these are two models of publishing companies. While offering practical guidelines, such models represent only potential standards for appraisal. Determining their viability requires comparing them to an actual body of records created, used and maintained by a publisher. This thesis discusses the results of the comparison of the models to the reality of the records of the Vancouver-based publishing house of Douglas & McIntyre Limited. Descriptions of the intent, format and included records of each model; an examination of the history, structure, functions and records of the company are followed by a discussion of their points of correspondence and divergence. Comparison found that both models were only partially viable as appraisal standards. Tending to emphasize material of greatest interest to secondary users, each model included records that provided evidence of the functions and activities of publishing books. Failing to include any or all of the administrative, and especially financial records, of greatest use to the creator, neither model documented fully the operations of a publishing business. The thesis concludes with a consideration of which publishing records should be preserved; prevailing assumptions about business records; and the responsibility for the permanent preservation of a representative body of evidence of the full range of the company's functions and activities.

***Jane Bowe McCarthy, "A Survey of Attitudes of Canadian Graduates in Archival Studies Toward the Roles of Social Science Research in Their Profession," November 1998.***

Social science research is a form of inquiry which is useful in expanding the knowledge base of a profession, but one which is not normally associated with the archival profession. The purpose of this study is to examine social science research as it applies to the Canadian archival profession in general, and to archivists who have graduated from the Master of Archival Studies (MAS) degree program at the School of Library, Archival and Information Studies at the University of British Columbia.

   This study examines the attitudes of the first cadre of graduates of a degree program in archival studies in Canada towards the various roles that social science research plays in the development of their discipline and practice. A reading of the literature in the archival field reveals that social science methods are infrequently employed by the profession in Canada, although there have been frequent calls for their adoption. Archivists are more familiar with and employ more often theoretical (deductive) and historical methods than empirical (inductive) methods.

   The study employs the methodology of a survey questionnaire to discover the training and application of social science research methodology that these graduates have experienced during their formal education and during their

careers. All the respondents had either completed the MAS program or the course work towards the degree in the period 1981–1994, and were working in the field at the time of the study.

The study revealed that respondents support a research dimension for the field, although their support was inclusive of other types of research more common to the archival studies (theoretical, historical, scholarly, and archival), and not specifically directed to scientific research. 33% of respondents expressed an interest in learning about research methods, while 39% said that they were somewhat interested. There was also a correlation between those respondents who had taken a course in research methods and their knowledge of and support for this type of research in the archival profession. Likewise, there was also evidence to support that respondents without the knowledge of research methods were as confident in their ability to conduct a research project or assist on a research team led by someone else, as were their colleagues who had taken the course. The qualitative data yields evidence of at least a few scientific research projects being conducted in the archival workplace, particularly user or reference surveys and conservation surveys.

The study concludes that there is a role for both pre-appointment and continuing education programs to foster greater understanding and use of social science methods in all facets of the profession's research endeavours. Social science research methods are not only applicable to archival studies; they are beneficial and necessary to the development of the Canadian archival profession. The thesis recommends that archivists should have, at the very least, an appreciation of research methods and a discerning eye for what constitutes good research.

### Diane Margaret Rodgers, "Archival Systems in the Context of Science," April 2000.

The concept of systems accounts for the organization and patterns of order that characterize the natural world. Throughout the history of science, scientific activity has been based on this concept, either implicitly under a mechanistic approach or explicitly under an holistic systems approach. Contemporary science is now based on an holistic systems viewpoint that encompasses both the natural and social worlds as objects for study.

Based on this context for the systems viewpoint, the thesis addresses archival constructs, arising spontaneously as a by-product of societal activity, as instances of systems. This is an aspect of their nature that was recognized by traditional theorists, who devised the methodology that still fundamentally guides archival practice. However, the archival field has not yet recognized the applicability and utility of formal systems notions to the

work of the archivist, specifically to the tasks of arrangement, description, and appraisal. The thesis argues that appropriate handling of archival constructs requires that they be treated as systems, that the concept of systems provides a necessary framework for archival theory, and that by adopting a systems viewpoint, the archival field may regain the status of a recognized profession and join with other fields of applied science that contribute to systems research.

***April G. Miller, "Exhibiting Integrity: Archival Diplomatics to Study Moving Images," September 2001.***

This thesis examines the concepts of reliability, authenticity and documentary form as defined by archival diplomatics and their relation to moving image records, for the purpose of exploring the possibility of using them to develop a method for the preservation of the moving image's intellectual integrity over time. To achieve this purpose, the study establishes a correspondence between the terminology and the theories used to express these concepts in the two fields through an examination of archival diplomatics and moving images glossaries, dictionaries and literature.

Notwithstanding the different understandings of the concepts examined, the thesis finds that when moving images can be regarded as records – that is, as contextual mediated visual and aural representations compiled for the purpose of entering into communication – it is possible to use archival diplomatics methodology to analyze them successfully. On the strength of this finding, the thesis proceeds to establish a correspondence between the diplomatic elements of documentary form and the components of an ideal moving image record, demonstrating parallels and explaining and reconciling differences, in order to build a template for the analysis of all kinds of moving image records. This diplomatic instrument is to be used for the identification of the formal elements of a moving image that allow for the maintenance, verification and preservation of its reliability and authenticity over the long term. The necessity of such an instrument derives from the fact that the use of digital technologies for the making, exhibiting and storing of moving images will render the ability to prove their integrity and their preservation increasingly more difficult.

The thesis is concluded by a discussion relating the effects of the pervasive use of digital technologies in the field of moving images, and a demonstration of the substantial threat they present for the continuing reliability and authenticity of moving images. This discussion shows the advantages of a close cooperative effort by archivists and moving image theorists in developing interdisciplinary methods for addressing such threats that are rooted in archival diplomatics and fully respect the nature of the moving image record.

*Ian McAndrew, "'Susceptible of a Very Broad Interpretation:'[1] Notions of Accountability and Free-Flow-of-Information in American Views on the Freedom of Information Act, 1929–1989," November 2001.*

In 1989, the United States Supreme Court formulated the central purposes doctrine of the *Freedom of Information Act* (*FOIA*) by ruling that the law was designed to grant citizens a right of access to records reflecting on the activities of government officials. This decision immediately generated controversy. The majority of parties interested in *FOIA* jurisprudence claimed that the judgement misconstrued the congressional intent by denying that legislators had hoped to create a right of access to all government-held information, regardless of its content. The contrast between the Court's doctrine and the majority interpretation, or the free-flow-of-information view, is the main topic of this thesis.

In exploring this matter, it becomes evident that the intellectual history of access legislation in the United States is marked by considerable diversity: from the 1920s through to the present era, various *FOIA* constituencies have espoused distinctive views on how an access-to-records statute should be understood. Most of these interpretations have focus on the need for access as a measure to help citizens oversee the conduct of government personnel, and only the free-flow supporters have broken from this pattern. The philosophy they offer in its place suggests that oversight interpretations, particularly the central purposes doctrine, are illegitimate. These orthodox commentators argue instead that because the *FOIA* was designed to serve the same goals as the First Amendment, it must be read as mandating disclosure as "an end for its own sake."

The principal contention here is that free-flow supporters have dismissed the government-oversight views far too quickly. To illustrate the point, the thesis focuses on the central purposes doctrine, and articulates it in the form of an "accountability view" to establish that the Court's decision was not as arbitrary as is often claimed. Second, the argument inquires whether one of these two predominant views can be said to have a stronger rationale than the other. The ultimate conclusion of this line of inquiry is that, because of serious logical flaws in the first-amendment argument supporting the free-flow theory, the central purposes doctrine actually represents the more reasonable interpretation of the statutory purpose of the act.

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1 Harold Cross, letter to Thomas Hennings, 22 April 1958, quoted in George Penn Kennedy, "Advocates of Openness: The Freedom of Information Movement" (Ph.D. dissertation, University of Missouri, Columbia, 1978), p. 95. Cross was commenting on the term "national security," and advocating its replacement with "national defense," in S. 2148, one of the early freedom of information bills.

**Certificate of Advanced Studies**

*Jozefina Deserno, "Keeping Electronic Records at the United Nations High Commissioner for Refugees: A Study in the Light of Ideal Archival Requirements," April 2000.*

The purpose of this research paper is to examine if and how the United Nations High Commissioner for Refugees (UNHCR) could implement the theoretical recordkeeping model for electronic records developed by UBC in its field offices. From 1994–1997 researchers in the Archival Studies Program of the UBC School of Library, Archival and Information Studies identified archival requirements for the creation, handling and preservation of electronic records. UNHCR is a large international organization mandated to lead and co-ordinate international action for the worldwide protection of refugees and the resolution of refugee problems. It has operations in more than 250 countries. Its offices are often located in remote locations. Due to the specific mandate of the organization and its structure recordkeeping is crucial to a successful implementation of its programs. The new communication media have drastically altered the way the organization does its business. Email has facilitated to a great extent the communication between the offices and its partner organizations. At the same time, however, it has posed many difficulties in managing the records created in the electronic environment. There is an urgent need to improve the keeping of electronic records in field offices. This paper examined whether to what extent the archival requirements identified by UBC can be applied to UNHCR offices to solve its recordkeeping problems. For the purpose of this research a survey was developed and sent to UNHCR offices in Europe. The survey aimed to collect information on the electronic records created, the recordkeeping and preservation practices in field offices and the problem areas with regard to recordkeeping. Based on the review of the UBC archival requirements and the analysis of the survey the paper concludes that the UBC requirements can indeed be applied provided they are automated and fully integrated in the document creation procedures to improve the organization's recordkeeping. The paper also suggests concrete ways how to do this and in particular how to deploy an electronic recordkeeping system.