The Applicability of UNISIST Guidelines and ISO International Standards to Archives Administration and Records Management: A RAMP Study

General Information Programme and UNISIST

United Nations Educational,
Scientific and Cultural Organization

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THE APPLICABILITY OF UNISIST GUIDELINES

AND ISO INTERNATIONAL STANDARDS TO

ARCHIVES ADMINISTRATION AND RECORDS MANAGEMENT:

A RAMP STUDY

prepared by

James B. Rhoads

General Information Programme and UNISIST

United Nations Educational,
Scientific and Cultural Organization

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PREFACE

The Division of the General Information Programme of Unesco, in order to better meet the needs of Member States, particularly developing countries, in the specialized areas of records management and archives administration, has developed a coordinated long-term Records and Archives Management Programme - RAMP.

The basic elements of the RAMP programme reflect the overall themes of the General Information Programme itself. RAMP thus includes projects, studies, and other activities intended to:

1. Promote the formulation of information policies and plans (national, regional and international).

2. promote and disseminate methods, norms and standards for information handling.

3. Contribute to the development of information infrastructures

4. Contribute to the development of specialized information systems in the fields of education, culture and communication, and the natural and social sciences.

5. Promote the training and education of specialists in and users of information

The present study, prepared by James B. Rhoads under contract with the International Council on Archives (ICA), is intended to indicate the extent to which the guidelines developed by Unesco's UNISIST activities and the standards developed by the International Organization for Standardization (ISO) and published before the end of 1980, are applicable to the information handling activities of archivists and records managers.In addition to evaluating existing guidelines and standards, the study indicates areas where such normative documents are needed and recommends a series of priorities regarding further development of the RAMP programme in this area.

Comments and suggestions regarding the study are welcomed and should be addressed to the Division of the General Information Programme, UNESCO, 7 place de Fontenoy, 75700 Paris. Other studies prepared under the RAMP programme may also be obtained at the same address.

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FIGURE

A table illustrating the distribution and applicability of
the guidelines and standards examined in this report appears
following page 76.

1. <u>INTRODUCTION.</u>

Since the inception of UNISIST in 1972, one of UNESCO's major activities in the information field has been the development and issuance of guidelines having as their purpose improvements in information systems and services, and, in the case of techniques for information interchange, standardised formats and practices. UNESCO has also cooperated closely with the International Organization for Standardization (ISO) in the development of standards and recommendations, particularly in the areas of (a) library science and documentation, (b) terminology, (c) data processing, and (d) documentary reproduction. Some of these ISO standards and recommendations are the direct outgrowth of UNISIST guidelines, and reflect an additional step in their refinement and their acceptance internationally.

The establishment of UNESCO's General Information Programme (PGI) in 1977, brought together in one division the responsibility for (a) scientific and technological information systems and services (including the promotion and development of UNISIST), and (b) promotion of documentation, libraries, and archives.

Concurrently, the International Council on Archives (ICA) was coming to realize increasingly the vital importance of guidelines and standards to the fuller professional development of the world's archival community, and to the growing body of researchers that it serves. Since the mid-1970s the ICA's technical committees have developed handbooks on archival conservation and on microfilm technology, as well as basic standards for the equipment of conservation and reprographic workshops. With funding and assistance from UNESCO it has developed a statistical model for the various aspects of archival activity, and has been elaborating a multilingual glossary of archival terminology. These and other efforts to develop international archival guidelines and standards were important factors in the decision to select standards for the "establishment and organization of archival institutions" as the theme of the 18th International 'Round Table Conference on Archives, held in Nairobi in 1978. The development of guidelines and standards has been given priority attention, also, in ICA's recent medium term

plans .

When PGI launched its Records and Archives Management Programme (RAMP) in 1979, the development of guidelines and standards was recognized as an area of activity requiring substantial effort and assistance. Pursuant to that recognition, a meeting of experts was convoked by UNESCO at Bari in 1979, to draw up a list of guidelines and standards needed by the archival profession, and to recommend priorities. An additional step by UNESCO was the commissioning of the present study, under contract to ICA which seeks to evaluate existing UNISIST guidelines, and ISO standards and recommendations in the field of information, in terms of their applicability to the needs of archives and records management systems and services.

It is well to bear in mind that most of these guidelines, standards, and recommendations were elaborated in behalf of the users and managers of scientific and technological information systems and services. Many of these systems and services are designed for the use of scientists engaged in research. Scientists build on the incremental discoveries of the past; hence, there is a heavy demand for the most recent information. Information even a few years old may have been superseded, and the older that scientific and technological information is, the less valuable it may be for current research,

Archives, on the other hand, seek to preserve records, regardless of subject or age, that contain information likely to be of lasting interest and value for retrospective research. Until fairly recently, the records available for transfer to archives have tended more to be those of value for humanistic studies than for scientific or technological research. This is changing, to a degree, as governments become more heavily involved in scientific and technological matters; the records they create reflect that engagement.

While archives contain increasing amounts of scientific and technological information, the fact remains that many of the records containing such information are retained under the control of the creating government ministry or agency for a

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considerable period of time. Frequently, twenty-five or more years elapse before records are accessioned by archives. Thus, in view of the demand by scientific researchers for the most recent information, archives are not likely to play a major role in the kinds of systems and services that are the primary concern of UNISIST. It should not be surprising, therefore, that the guidelines, standards, and recommendations created to facilitate the UNISIST objectives are often not pertinent to archival needs or activities, or are of only indirect value.

PGI, of course, has responsibilities in the information field that extend beyond its support for UNISIST. It recognises that there are important users and uses of information that are not scientific or technological in character, and that national information infrastructures must support all kinds of information users. Archives are essential elements in national information systems. They contain vast amounts of retrospective information----primary source material---reflecting and documenting the past activities of government, that have great value to many elements of society. PGI's current programme reflects a sensitivity to the value of archival holdings and services; and a significant number of projects involve the development of RAMP guidelines that are needed on a priority basis.

In spite of the distinct differences that exist, in practice and objective, between archives and scientific and technological information systems and services, there are problems and goals that are shared. The present study has determined, as well, that a number of solutions to the problems, as represented by UNISIST guidelines and by ISO international standards, are of pertinence and value to archivists and records managers.

The PGI's Section for the Promotion of Methods, Norms and Standards has provided copies of the existing UNISIST guidelines, and a selection of ISO international standards, recommendations, draft international standards, and draft proposals, that have been developed and promulgated for use in the information community. The author of this report, in turn, has

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studied each of them, analysed them individually and collectively in terms of their applicability to the needs and concerns of archives and records management systems and services, and has set forth his conclusions and recommendations in the report which follows.

It should be emphasised that this study does not purport to cover every international standard that might have some degree of relevance to archives and records management. A more comprehensive study might have included additional standards in the fields of paper, board and pulp; cinematography; photography; technical drawings; office machines; computers and information processing; application of statistical methods; and documents and data elements in administration, commerce and industry. Persons wishing to make a more comprehensive survey of standards in the information field, at both the national and international levels, should consult the UNISIST Guide to Standards for Information Handling, 1980.

Against this background, and bearing particularly in mind the recommendations of the experts' meeting at Bari, the author has recommended and described additional guidelines and standards for archives and records management that in his judgment ought to be developed within the next several years. At the end of each section dealing with existing UNESCO guidelines and IS0 standards, the author has noted any works prepared specifically for the archival community, and published by UNESCO or ICA, that have normative values.

In analysing the technical standards in the fields of data processing and documentary reproduction, the author has benefitted from the advice and guidance of three persons expert in those fields who are or were on the staff of the United States National Archives and Records Service: Claudine J. Weiher, Deputy Assistant Archivist for Program Support; Charles M. Dollar, Director of the Technology Assessment Division; and James L. Gear, former Director of the Preservation Services Division. However, the responsibility for the conclusions and recommendations found in this report is entirely that of the author.

2.   <u>GUIDELINES AND STANDARDS ON MATTERS OF CONCERN BOTH TO RECORDS MANAGEMENT AND TO ARCHIVES ADMINISTRATION</u>.

The guidelines and standards discussed in this section relate to matters that are of essentially equal importance to archives administration and records management services. The guidelines and standards that are relevant to policy, planning and evaluation; to staffing and education, train- ing, and development of personnel; to publications; and to the processes of standards development and evaluation, cannot usefully be subdivided into archival and records man- agement components, as the same basic <u>considerate</u> apply to both disciplines.

A case could be made for discussing reprography and termi- nology as subordinate sections of both Part 3, "Guidelines and Standards on Records Management;" and Part 4, "Guidelines and Standards on Archives Administration." That approach, however, would have added needlessly to the length and redundancy of this report. Both reprography and terminology are essential tools in the management of records through their entire life cycle, from creation to eventual disposition. To artificially compartmentalise them would serve no constructive purpose.

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2.1. POLICY, PLANNING, AND EVALUATION.

2.1.1. <u>Existing Guidelines and Standards, and Work in Progress</u>.

A number of UNISIST guidelines, other UNESCO documents, and ISO standards provide guidance to those involved in the planning, evaluation, and development of policy for various kinds of information systems and services. Among those dealing with scientific and technological information are the seminal final reports of the first two sessions of the UNISIST Steering Committee, 1973 and 1975. Other significant documents, which flesh out the recommendations in the Steering Committee reports, are <u>Information Policy Objectives (UNISIST Proposals)</u>, 1974; <u>Guidelines on the Planning of National Scientific and Technological Information Systems</u>, 1975; and <u>Guidelines for the Evaluation of Information Systems and Services</u>, 1978.

In the library field, UNESCO's General Information Programme (PGI) has produced <u>Guidelines for the National Bibliographic Agency and the National Bibliography</u>, 1979, and <u>Guidelines for the Planning and Organization of School Library Media Centres</u>, 1979. The International Organization for Standardization (ISO) had earlier promulgated a standard on <u>International Library Statistics</u> (ISO 2789-1974).

There are also two standards that provide support for certain techniques sometimes used in planning and evaluating information systems and services, <u>Information Processing - Flowchart Symbols</u> (ISO 1028-1973), and <u>Information Processing - Conventions for Incorporating Flowchart Symbols in Flowcharts</u> (ISO 2636-1973).

In 1977, UNESCO published a significant document, <u>Establishing a Legislative Framework for the Implementation of NATIS</u>, dealing primarily with library and archives systems and services. UNESCO's current programme includes the development of draft guidelines for archival and records management legislation, including proposals for subject areas where regulations may be needed.

UNESCO has also published a <u>Draft Model Law on Archives:</u>

Description and Text, 1972.

The current UNESCO programme also includes a contract with ICA for the preparation of guidelines for the creation and development of archival and records management services and systems within UN agencies. A RAMP study on abstracting services for archives administration and records management systems, entitled Archives Journals: A Study of their Coverage by Primary and Secondary Sources, 1981, points the way toward strengthened management capabilities and enhanced professionalism through greater awareness of, and accessibility to, the important literature in the field.

In 1981, UNESCO published Model Bilateral and Multilateral Agreements and Conventions Concerning the Transfer of Archives, which sets forth a variety of approaches for the resolution of archival claims. Two recently completed studies, also prepared by ICA under contract with UNESCO, supplement this document. They are a "Study on Feasibility of Creating a Data Base on Sources of National History Located in Foreign Archives," and a Feasibility Study on the Creation of an Internationally Financed and Managed Microfilming Assistance Fund to Facilitate the Solution of Problems Involved in the International Transfer of Archives and in Obtaining Access to Sources of National History Located in Foreign Archives, 1981.

2.1.2. Applicability of these Guidelines and Standards to Policy, Planning, and Evaluation of Archives and Records Management Systems and Services.

Neither of the UNISIST Steering Committee reports contains anything having to do with archives or records management, and the Guidelines for the Planning and Organization of School Library Media Centres are not relevant to archival needs. The Information Policy Objectives (UNISIST Proposals) appear to preclude the involvement of archives and records management systems in information policy objectives. However, the broadening of UNISIST concerns in recent years recognises the role and importance of archives and records management. Any future revision of these objectives should take into

account the role of archives and records management services as parts of national information systems.

The Guidelines on the Planning of National Scientific and Technological Information Systems are not directly applicable to archives or records management systems. Nevertheless, Part I, "Planning Techniques," offers guidance on planning information activities, much of which would be useful in planning new or modified archives and records management programmed. For example, the point made on the importance of estimating the size and nature of the user population, suggests a valid element in archival planning. The guidance offered on the composition of a planning team will suggest analogies appropriate to an archives or records management context. The advice on the scope of planning is not relevant, as it focuses entirely and specifically on scientific and technological information (STI) systems. However, the three sections on the logical sequence of planning operations, the mechanism of the planning process, and elements of the final report (pp. 8-20), are all valid and appropriate in terms of their major premises, even though the details and illustrations are oriented to STI systems. Part 11, "Parameters of a National Information Systems Design - A Checklist," contains little that is pertinent to the planning of archives or records management systems.

The Guidelines for the Evaluation of Information Systems and Services are not directly applicable to the evaluation of archival systems and services. It should be noted, however, that the "Report of the Consultation on the Development of a Long-term Plan for the Preparation of Archival and Records Management Guidelines, Standards and Norms," held at Bari in 1979 (hereafter referred to as the Bari Report), recommended the development of guidelines on evaluation of archival programmed. Those who are charged with this task will want to peruse the present guidelines for ideas and concepts that may occasionally be provocative or adaptable. The same observation would apply to any effort to develop guidelines for the evaluation of records management. systems and services, which are also needed.

Archivists will find the <u>Guidelines for the National Bibliographic Agency and the National Bibliography</u> to be of some interest, although not directly applicable to their work. The national bibliography is, in a sense, archival in character, because it is a product of official activity, and of permanent value. It will, of course, normally be maintained at the national library (or national bibliographic agency), rather than at the national archives.

The standard on <u>International Library Statistics</u> is not applicable to archives, but it is suggestive of the need for a comparable standard for archives and manuscript repositories. The International Council on Archives (ICA) has underway a substantial archival statistics project, encompassing a broader and more detailed array of data than is called for in this standard. The Bari Report assigns a high priority to continuation of work on this project.

Substantial portions of the document entitled <u>Establishing a Legislative Framework for the Implementation of NATIS</u> are applicable and useful in the archival field. The recommendations respecting archival services (pp. 10-15) are generally acceptable. However, in federal countries the national archives may not be able to exert the proposed authorities with regard to the archives of regional, state, provincial, or local governments, or to archives of non-governmental entities. This exception is recognised later in the document (paragraphs 121 and 122 on pp. 46-47). In such cases the sub-national governmental units should be encouraged to enact archival and records management legislation and regulation that adhere to the general framework set forth. Chapters IV and V provide an excellent guide to matters that should be considered in developing and improving national archival legislation, and take into account the many variances in governmental structures and systems.

The document entitled <u>Model Bilateral and Multilateral Agreements and Conventions Concerning the Transfer of Archives</u> is the culmination of extensive efforts by ICA and UNESCO to provide guidance to countries with conflicting archival

claims. It is a most useful and practical work. The two recently completed feasibility studies, on a data base and on an international microfilming assistance fund, supplement this document significantly.

The two standards on flowchart symbols are applicable when flowcharting is used as a tool in the planning or evaluation of archival and records management systems and services.

2.1.3. <u>Proposals for New Guidelines</u>.

2.1.3.1. <u>Recommended in the Bari Report</u>.

Guidelines on policy, planning, and evaluation of archives and records management services (all priority B*):

(a) Definition of records management and archival duties, responsibilities , and programmed;

(b) Definition of the scope and coverage of archival legislation;

(c) Definition of the relationship between archival services and record creating agencies;

(d) Provisions for implementing legislation by regulations and other means;

(e) Definition of the organisational structure of the archival system within the public administration;

(f) Definition of the internal structures of archival institutions;

(g) Guidelines comparable to (d-f) for non-governmental archival institutions;

(h) Planning of archival and records management programmed;

(i) Bases for computation of capital investment and operating budgets;

(j) Staffing ratios based on quantity of holdings and jurisdictional scope;

. . . .

* The Bari Report assigned priorities on the following basis: A - short-term (1979-80); B - medium-term (1981-83); and C - long-term (1984-85) . The dates are those for the commencement of work, and are not completion targets.

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(k) The use of computers in management operations;

(1) The application of automation to monitoring changes in archival holdings;

(m) The application of automation to monitoring progress in archival processing;

(n) The type, form, and content of periodical reports, both internal and external; and

(0) The evaluation of archival programmed.

2.1.3.2. Recommended by the RAMP Consultants.*

Compilation and publication of texts dealing with archival claims.

2.1.3.3. Additional Recommendations.

Guidelines on the evaluation of records management systems and services.

2.1.3.4. Discussion.

A number of the guidelines (a-g) proposed in the Bari Report deal with various aspects of the legal and organisational framework for archives and records management services.

The excellent guidance already provided in Establishing a Legislative Framework for the Implementation of NATIS, and the development, now underway, of guidelines for archival and records management legislation, appear to respond comprehensively to the need for the first of these proposed guide-

. . . .

* In 1979 UNESCO convened a consultation of experts 'to evaluate its new Records and Archives Management Programme (RAMP). The recommendations of the consultants are embodied in a document entitled, Expert Consultation on the Development of a Records and Archives Management programme (RAMP) Within the Framework of the General Information Programme, Final Report. This report is the source for future references in the present study to recommendations by the RAMP consultants. In cases where essentially the same proposals were made by the RAMP consultants and the Bari Report, they are attributed to the latter.

lines (a-c).

Most of the other proposed guidelines having to do with the legal and organisational framework (d-g) will be difficult to develop, because of the wide variety of existing systems and structures involved in the creation and management of records and non-public documentation. The difficulty of the task, however, does not lessen its urgency, and it should be possible to develop general guidelines that call attention to essential programme elements and functions. Countries engaged in developing or modifying their legal and organisational frameworks would then at least have a "yardstick" by which to measure them, and the means to determine whether or not the essential elements and functions have been incorporated.

A second group of guidelines (h-m) proposed in the Bari Report, those relating to the management of archival and records management programmed, is easier to envision. There is a good deal of experience in national institutions that might be brought to bear on their development, especially with regard to guidelines (h-k). There is less experience available with respect to the application of automation to monitoring of changes in archival holdings and of progress in archival processing (1 and m), but persons involved with the use of computers in archival management operations will be able to consider these applications as logical extensions of the management function. New guidelines on monitoring progress in archival processing should cover arrangement, description, and repair and conservation measures.

There is also a good deal of experience and expertise available, some of it in the records management community, for the development of guidelines on periodical reports (n). Those reports intended for internal use are an important element in an organisation's management information system, and the timeliness and pertinence of the information received by managers from their subordinates can have a substantial bearing on the effectiveness of management. The growing body of literature and experience having to do with computerised

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management information systems should be consulted by those selected to develop this guideline, even though measures of this level of sophistication are probably not warranted except in the largest and most complex of archives.

The recommendation of the Bari Report calling for development of guidelines on the evaluation of archival programmed (o), and the comparable recommendation in section 2. 1.3.3. with respect to records management systems and services, deserve a reasonably high priority. The existing Guidelines for the Evaluation of Information Systems and Services will suggest ideas and techniques that may be of use. The proposed guidelines on the evaluation of archival programs should concentrate on how effectively an archives performs its role of stewardship---does it accession the right records, and does it take necessary measures for their security and preservation?---and on its responsiveness to the needs of users and potential users. The guidelines on the evaluation of records management systems and services should also have a dual focus: the effectiveness of the programme in helping the government to (1) achieve internal paperwork and related economies, and (2) be responsive to, and minimally burdensome in its information requirements of, organisations and individual citizens.

Finally, there is the recommendation of the RAMP consultants for the compilation and publication of texts dealing with archival claims. The recent publication of Model Bilateral and Multilateral Agreements and Conventions Concerning the Transfer of Archives and the feasibility studies on creation of a data base on sources of national history located in foreign archives, and on the creation of an internationally financed microfilming assistance fund to assist in the settlement of archival claims, provide a suitable response to this recommendation.

2.2. STAFFING, AND EDUCATION, TRAINING AND DEVELOPMENT OF PERSONNEL.

2.2.1. Existing Guidelines.

UNESCO has issued five UNISIST guidelines dealing with various aspects of the education and training of information workers. Basic to all of them is Guidelines for Formulating Policy on Education, Training, and Development of Library and Information Personnel, 1978. The others offer guidance in the implementation of aspects of that policy. Guidelines for Curriculum Development in Information Studies, 1978, discusses general socio-economic considerations, programme policies and objectives, and concludes with chapters making specific suggestions on curriculum content and course components.

Two of the guidelines have a narrower and more practical focus: Guidelines for the Organization of Training Courses, Workshops and Seminars in Scientific and Technical Information and Documentation, 1975, and Guidelines for the Evaluation of Training Courses, Workshops and Seminars in Scientific and Technical Information and Documentation, 1975. Finally, and most specific and practical of all, is the document entitled A Course in Administration for Managers of Information Services: Design, Implementation and Topical Outline, 1976. It discusses the selection of participants, instructional method, qualifications of the director and faculty, as well as the specific subject content of the course, and provides an extensive bibliography.

2.2.2. Applicability of these Guidelines to the Education and Training of Archives and Records Management Personnel.

The definitions on page 8 of the Guidelines for Formulating Policy on Education, Training, and Development of Library and Information Personnel do not mention archives studies as a part of "information science," nor are archivists and records managers included in the definition of "information personnel." Should these guidelines be revised in the future, consideration should be given to broadening them to include the educational and training needs of all information personnel, because in every country the needed

information personnel include professionally qualified archivists and records managers, as well as trained subprofessionals.

The Guidelines for Curriculum Development in Information Studies also exclude archivists and records managers from the definition of information personnel, and were apparently prepared in the absence of information on the training needs of professional archivists or subprofessional archival workers. Again, if these guidelines are revised, they should be broadened to include archival training. It is true that the number of archival workers is smaller than other categories of information personnel. However, there is a pressing need for the full range of formal archival training to be offered in at least one country in each region of the developing world, either in a regional training school, or in a national facility with a regional vocation. It should be noted that archivists might well benefit from some of the courses mentioned in the present guidelines, such as management and administration, reprography, and computer basics.

The Guidelines for the Organization of Training Courses, Workshops and Seminars in Scientific and Technical Information and Documentation have great practical value for persons involved in planning, organizing, presenting, and evaluating training courses for archives and records management personnel. The guidelines are rational, insightful, and specific without being parochial. In the preface the author notes that "in some sections specific suggestions are offered which may or may not apply to the situation or course the reader has in mind." With that caveat borne in mind, there is no reason why these guidelines cannot be completely acceptable and adequate for in-service, non-degree professional training courses for archivists and records managers.

The companion Guidelines for the Evaluation of Training Courses, Workshops and Seminars in Scientific and Technical Information and Documentation are more complex, both in presentation and content, and hence, more difficult to use. The evaluation procedures offered are far more elaborate and so-

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phisticated than may be required for most archives and re-
cords management courses. Nevertheless, these guidelines
are also non-parochial, and merit a careful perusal by per-
sons involved in the organisation and evaluation of archives
and records management courses; they are applicable and
usable to the extent that organisers of such courses find
them useful.

A Course in Administration for Managers of Information
Services . . . describes a learning experience that would be
of undoubted value and pertinence for managers of archives
and records management programmed. To make it of maximum
usefulness, there would, of course, need to be some adap-
tation. The case studies and simulations (pp. 20-24) would
need to be drawn, at least in part, from an archival context,
and some minor modification of the bibliography might be re-
quired. Session 10, "Trends and New Directions in Information
Organization Administration" (pp. 76-77), might have to be
substantially recast. With these minor reservations, however,
the present document seems to be valid in its entirety as a
guide for developing a course in administration for managers
of archives and records management programmed. Perhaps it
would be useful for UNESCO to arrange for three or four ar-
chival managers from developing countries to attend this
course, with the understanding that upon its conclusion they
would prepare an in-depth critique of its relevance and value
for persons like themselves. The director and faculty should,
of course, be aware of the effort to assess its value for
archival managers, and adjust the content to include some
learning tools drawn from the archival experience.

2.2.3. Proposals for New Guidelines.

2.2.3.1. Recommended in the Bari Report.

The Bari Report recommended the following two classes of
guidelines in the area of staffing and training and assigned
priority A to both of them:

Standard position descriptions at all levels, including
statements of the knowledge and skills required to perform
the jobs described; and

Guidelines on training, "including (a) curricula, (b) harmonization of training with related information fields, (c) post-entry training, (d) training of non-archivists, including specialists employed in archives, technical staff, para-professionals, and clerical staff."

2.2.3.2. Additional Recommendations.

Guidelines on the development of archival and records management position descriptions.

Expansion of t-he recommendations in the Bari Report to include standard position descriptions and training guidelines for records managers as well as archivists.

2.2.3.3. Discussion.

Ideally, a compendium of position descriptions having normative value should strive to cover each level of responsibility, in both professional and subprofessional ranks, and for those involved in records management activities as well as archival work. There seems to be no reason, however, why the compendium could not be developed and issued in as many as four parts, covering (a) professional archivists, (b) subprofessional archives employees, (c) professional records managers, and (d) subprofessional records management aides.

It must be recognised, however, that no standard position description will be universally applicable and that most such descriptions will require numerous modifications as they are adapted to meet concrete circumstances. For this reason, a guideline on the development of archival and records management position descriptions might be useful, covering both development of position descriptions de novo and the adaptation of standard descriptions to achieve the desired objective. This guideline would best be issued before, or concurrently with, the release of the standard descriptions.

The Bari Report's elaboration of its recommendation for the development of training guidelines is not entirely clear, and seems to suggest the development of some guidelines that may not be necessary or appropriate.

Certainly, the development of curricula covering all professional, para-professional, and technical aspects of archives and records management work should have a high priority, and the technical curricula should recognise the special problems engendered by the tropical climate of many developing countries, This is, Of course, a major undertaking, and internal priorities ought to be established. Is there a more pressing need, for example, to improve the management skills of archival administrators, or to widely disseminate basic technical skills in such areas as repro-graphy or document conservation? Is it more important to teach people how to prepare records disposition schedules or to instruct others in the fine points of forms design and control? Large though the task may be, most of the kinds of curricula here envisaged are represented by training courses, seminars, and workshops now being offered by ar-chival schools or institutions, The curricula should, of course, include post-entry training experiences.

Efforts to harmonise certain kinds of archival and re-cords management training with related information fields should be continued. These will probably prove to be more fruitful in certain technical areas, such as reprography, and repair and conservation of paper and other information media; in automation; and in management, as discussed in section 2.2.2. The promotion of such harmonisation, however, would not seem to lend itself to the development of guide-lines.

It also seems doubtful that training guidelines and cri-teria for non-archival specialists employed in archives, or for clerical staff, should be a concern of archival normative activities.

The International Council on Archives a few years ago undertook a study looking into the possibility of promulgating an international norm on the professional status of archivists. This effort, which is of particular importance in many of the developing countries, should be continued.

2.3. REPROGRAPHY .

2.3.1. <u>Existing Guidelines and Standards</u>.

The UNESCO <u>Bibliography on the Preparation and Presen-</u>
<u>tation of Documents Containing Scientific or Technical Infor-</u>
<u>mation</u>, 1974, contains entries on reprographic terminology
(5: 001 .4) , on sheet sizes of photocopy paper (5: 03.044. 463) ,
on symbols used in reprography (5:6.2), and on microcopying
of newspapers (9.1.26:5).

There are also a large number of ISO standards and pro-
posals dealing with various technical aspects of reprography,
mainly micrographics.

Several of them provide specifications, inherent charac-
teristics, and testing procedures for basic micrographic or
cinematographic materials, as follows:

<u>Microcopying - 16 mm and 35 mm Microfilms, Spools and</u>
<u>Reels</u> (ISO 1116-1975);

<u>Photography - Raw Film (Silver-gelatin and Non-silver</u>
<u>Gelatin Types) for Micrographic Uses - Dimensions of Roll and</u>
<u>Sheet Material</u> (ISO/DP 6148.2);

<u>Photography - Silver-gelatin Type Microfilms - Processing</u>
<u>and Storage for Archival Purposes</u> (ISO 2803-1974);

<u>Cinematography - Motion Picture Safety Film - Definition,</u>
<u>Testing and Marking</u> (ISO 543-1974) ;

<u>Micrographics - Density of Silver-gelatin Type Films</u>
(ISO 6200-1979) ;   and

<u>Micrographics - Unitized Microfilm Carrier (Aperture</u>
<u>Card)- Determination of Adhesion of Protection Sheet to</u>
<u>Aperture Adhesive</u> (ISO/DIS 6343).

Another group of ISO standards relates to means of insur-
ing the legibility of microfilmed documents. It includes the
following:

<u>Documentary Reproduction - ISO Conventional Typographical</u>
<u>Character for Legibility Tests ISO Character)</u> (ISO 435-1975);

<u>Microcopying - ISO No. 1 Mire - Description and Use in</u>
<u>Photographic Documentary Reproduction</u> (ISO 446-1975) ;

<u>Microcopying - ISO Micromire - Description and Use for</u>

for Checking a Reading Apparatus (ISO 689-1975); and

Microcopying - ISO Test Chart No. 2 - Description and Use in Photographic Documentary Reproduction (ISO 3334-1976).

One draft proposal, Performance of Readers for Transparent Microforms (ISO/DP 6198), and one standard, Microcopying - Measurement of the Screen Luminance of Microfilm Readers (ISO-782-1975), are concerned with the operational characteristics of microform readers.

Other standards cover formats and image arrangements for microforms, as follows:

Documentation - Headers for Microfiche of Monographs and Serials (ISO/DP 5123);

Microcopying - Transparent A6 Size Microfiche of Uniform Division - Image Arrangements No. 1 and No. 2 (ISO 2707-1980);

Microcopying - Transparent A6 Size Microfiche of Variable Division - Image Arrangements A and B (ISO 2708-1980); and

Micrographics - Computer Output Microfiche (COM) - Microfiche A6 (ISO 5126-1980).

Several standards relate to filming of particular kinds of documentary materials on various film media. They are:

Microfilming of Technical Drawings and Other Drawing Office Documents - Part II: Quality Criteria and Control (ISO 3272/2-1978) ;

Microcopying of Technical Drawings and Other Drawing Office Documents - Part III: Unitized 35 mm Microfilm Carriers (ISO 3272/3-1975);

Microfilming of Newspapers on 35 mm Unperforated Microfilm for Archival Purposes (ISO 4087-1979) ;

Microfilming of Press Cuttings - Part 1: 16 mm Silvergelatin Type Roll Microfilm (ISO 6197/1-1980);

Microfilming of Press Cuttings - Part 2: A6 Size Microfiche (ISO/DP 6197/2) ;

Micrographics - Microfilming of Documents on 16 mm Silver-gelatin Type Microfilm - Part 1: Operating Procedures (ISO/DP 6199/1) ; and

Micrographics - Microfilming of Documents on 16 mm silver-gelatin Type Microfilm - Part 2: Legibility (ISO/ DP 6199/2).

Finally, there are two standards setting forth portions of the vocabulary of micrographics, as follows:

Micrographics - Vocabulary - Section 01: General Terms (ISO 6196/1-1980) ; and

Micrographics - Vocabulary - Section 02: Image Placement and Methods of Recording (ISO/DIS 61.96/ 2) .

The International Council on Archives has published two works that serve as guidelines on microphotography and other aspects of archival reprography: Microphotography for Archives, 1968; and A Study of the Basic Standards for Equipping, Maintaining and Operating a Reprographic Laboratory in Archives of Developing Countries, 1973. The ICA has also adopted a "Recommended Practice for the Titling of Microfilm (Microfiche and Roll Microfilm) of Archives and Manuscripts." It is intended to supplement the ISO draft proposal on headers for microfiche of monographs and serials, listed above.

A study on the legal validity and acceptability of microforms, prepared by ICA under a UNESCO contract, has recently been completed.

2.3.2. Applicability of this Guidance to Archival Reprography.

At least some of the entries in the Bibliography. . ., on reprographic terminology and symbols, on sheet sizes of photocopy paper, and on microcopying of newspapers, will be of interest and value to persons involved in archival reprography.

All of the standards on specifications, characteristics, and testing procedures on micrographic and cinematographic materials, as well as those on means of ensuring the legibility of microfilmed documents, are applicable, appropriate, and useful for both archival and records management purposes.

The draft proposal on Performance of Readers for Transparent Microforms sets forth criteria that are appropriate and important for microform readers used in archival and records management contexts. The standard on measuring the screen luminance of microfilm readers is also useful and appropriate.

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Among the standards on formats and image arrangements for microforms, the two that deal with image arrangements on microfiche are fully applicable to both archival and records management uses. The proposal entitled Documentation - Headers for Microfiche of Monographs and Serials, is not specifically applicable to archival or records management activities. As noted above, it has been supplemented by ICA's "Recommended Practice for the Titling of Microfilm (Microfiche and Roll Microfilm) of Archives and Manuscripts." The standard on computer output microfiche (COM) is usable in certain records management applications.

All of the standards relating to filming particular kinds of documentary materials on various film media are applicable to archival and records management operations.

Both of the vocabulary standards are acceptable for archival and records management applications.

2.3.3. Proposals for New Guidelines and Standards.

2.3.3.1. Recommended in the Bari Report.

The Bari Report proposed development of the following guidelines in the area of reprography:

(a) Archival applications of micrographics through the entire life cycle of records;

(b) The criteria for choice between roll film and microfiche;

(c) Security filming;

(d) The equipment of reprographic workshops, including mobile reprographic units, equipment for checking adherence to standards, and appropriate levels of spare parts and materials in countries where supply and maintenance arrangements are inadequate; and

(e) Reprographic operations.

The report also called for the development of standards for archival microforms .

'To all of the foregoing recommendations for guidelines and standards the Bari Report assigned priority B.

2. 3. 3..2. Additional Recommendation.

Guidelines on the selection of office copying machines,

2.3.3.3. Discussion.

The first guideline proposal, dealing with archival applications of micrographics through the entire life cycle of records, is not clear. It could be interpreted as being restricted only to micrographics applications with respect to permanently valuable records, both before and after they are accessioned into an archival repository. On the other hand., one can interpret the proposal more broadly, and assume that it calls for guidelines on micrographic applications of any kind with respect to official records, whether permanently valuable or not; this interpretation would have the guidelines heavily involved in current records management applications. A possible alternative might be to incorporate appropriate micrographics applications in the several records management guidelines called for in sections 3.1.3 and 3.2.3.

The proposal for guidelines setting forth the criteria for choice between roll film and microfiche might be implemented either in the form of one set of guidelines dealing with this particular issue, or by integrating these criteria into the guidelines discussed in the previous paragraph.

It is assumed that the proposal for guidelines on security filming has to do with records in archival custody, and would, relate to filming done to protect original records from damage, or to ensure the preservation of their informational content. This might lead to a requirement that a film copy be used for reference purposes in lieu of the original records because of the high intrinsic value, age, or fragility of the originals, or because a high rate of reference use threatened to hasten the deterioration of the originals.

It would seem that A Study of the Basic Standards for Equipping , Maintaining and Operating a Reprographic Laboratory in Archives of Developing Countries, contains much of the guidance sought in the Bari Report's proposals for guidelines on the equipment of reprographic workshops and on reprographic operations. These proposed guidelines might, therefore, be given a low priority, in view of the many crucial areas in which no international normative material exists.

The proposal. for development of standards for archival microforms seems unnecessary. Presumably, this request had in mind the development of special standards on processing and materials required for long-term preservation, as opposed to standards geared to microforms in operational use, to which lower standards might be applied. All of the standards listed in section 2.3.1, dealing with micrographic materials, processing, legibility, and testing, meet archival requirements.

The tremendous variety of office copying machines now on the market, and the increasing dependency on them in business and government offices, suggest the need for guidelines on selection of this equipment. Among the factors that should be considered are production capacity vs. need; simplicity of operation; mechanical reliability, availability of repair and maintenance services, and of supplies and spare parts; costs of original equipment, service and supplies; the permanence of the image and of the paper; and criteria for determining whether it is more cost-effective to lease or purchase the equipment.

For several years the International Council on Archives, with the support of UNESCO, has been studying the complex issue of the legal validity of microfilm as a substitute for original documentary materials. The recently completed study on the legal validity and acceptability of microforms is an important contribution to the ongoing effort to develop an authoritative body of normative material governing this critical area.

2.4.   PUBLICATIONS (OTHER THAN FINDING AIDS AND DOCUMENTARY
PUBLICATIONS) .

2.4.1.   Existing Guidelines and Standards.

A major focus of both the UNISIST programme and ISO has
been the effort to standardise bibliographic practices and
documentation procedures in order to facilitate international
information exchange. To this end, UNESCO has published six
guidelines, and ISO has issued more than twenty international
standards, proposals and recommendations.

The UNISIST Guidelines include Indexing Principles, 1975,
setting forth very general guidance for indexers; and Guide-
lines for ISDS (the International Serials Data System), 1973,
which describes the organisation of the ISDS administrative
structure, the products of the system, and specific instruc-
tions on the submission of bibliographic information on serial
publications to ISDS centres. Of a somewhat different nature
are three guidelines dealing primarily with formats, working
procedures, and essential common elements, with respect to
various kinds of publications: Guidelines for Editors of
Scientific and Technical Journals, 1979; Guidelines for the
Presentation of Publishers' Series, 1976; and Guidelines for
Preparation of Texts of Dissertations for their Presentation
and Publication, 1976. UNESCO has also issued a Guide for the
Presentation in the Primary Literature of Numerical Data De-
rived from Experiments.

Most of the ISO standards, draft international standards,
proposals and recommendations encompassed in this section pre-
scribe the format, essential elements, or organisation of
published materials, as a means of facilitating international
bibliographic programmed and the international exchange of
information generally. Those having these purposes are as
follows:

Documentation - Contents List of Periodicals or Other
Documents (ISO/DIS 18);

Documentation - International Code for the Abbreviation
of Titles of Periodicals (ISO/DP 4);

Bibliographical Identification of Serials (BIBLID) (ISO/

DP 30);

Documentation - International Standard Serial Numbering (ISSN) (ISO 3297-1975) ;

Codes for the Representation of Names of Countries (ISO/DIS 3166);

Documentation - Title Leaves of a Book (ISO 1086-1975);

Documentation - Numbering of Divisions and Subdivisions in Written Documents (ISO 2145-1978);

Documentation - Abstracts for Publications and Documentation (ISO 214-1976);

Documentation - Abstract Sheets in Serial Publications (ISO 5122-1979) ;

Presentation of Contributions to Periodicals (ISO/DP 215);

Documentation - Bibliographical References - Essential and Supplementary Elements (ISO/DP 690);

Documentation - Bibliographical References - Abbreviations of Typical Words (ISO/DP 832);

Documentation - Index of a Publication (ISO 999-1975); and

Patent Documents - Bibliographic References - Essential and Complementary Elements (ISO 3388-1977).

There are also one standard and several draft international standards dealing with translations and with transliteration of languages using non-Latin characters into Latin characters. They are the following:

Documentation - Presentation of Translations (ISO 2384-1977);

Transliteration of Arabic Characters into Latin Characters (ISO/DIS 233) ;

Transliteration of Hebrew Characters into Latin Characters (ISO/DIS 259) ;

Transliteration of Greek Characters into Latin Characters (ISO/DIS 843) ; and

Transliteration of Slavic Cyrillic Characters into Latin Characters (ISO/DIS 9).

Finally, there is a standard specifying paper sizes for

publications and for other purposes , <u>Writing Paper and Certain Classes of Printed Matter - Trimmed Sizes - A and B Series</u> (ISO 216-1975) .

2.4.2. <u>Applicability of these Guidelines and Standards to Archives and Records Management Publications.</u>

Two of the guidelines, <u>Guidelines for Preparation of Texts of Dissertations for their Presentation and Publication</u>, and <u>Guide for the Presentation in the Primary Literature of Numerical Data Derived from Experiments</u>, are not relevant to archival or records management work. The same is true of the standard on <u>Patent Documents - Bibliographic References - Essential and Complementary Elements</u>. Also, the standard on <u>Codes for the Representation of Names of Countries</u> has no present applicability to archival work. It is conceivable that in the future archives may become involved in the international exchange of information using automated media; if so, the standard would be usable.

Similarly, although archivists and records managers have been infrequently engaged in the translation of works from languages using non-Latin characters to those using Latin characters, the ISO draft international standards on transliteration from Arabic, Hebrew, Greek, and languages using Cyrillic characters, will have growing value as the level of this type of activity increases.

Most of the remaining guidelines and standards considered in this section do not deal with matters of primary concern to archivists and records managers. Nevertheless, they are usable, at least in part. For example, <u>Guidelines for ISDS</u> is not directly relevant to archives and records management activities, but archives, and professional associations of archivists and records managers, that publish a journal or produce other kinds of serial publications, should cooperate with the appropriate national or regional ISDS centre, and these serials should carry the International Standard Serial Number (ISSN.).

Indexing of publications is a concern of all who produce published material, including archivists and records managers.

The Indexing Principles prescribed for UNISIST purposes could therefore be expected to be useful for indexing archival publications (and archives themselves, in the rare cases where this is appropriate). However, these "principles" are so general as to have minimal practical value. The standard entitled Documentation - Index of a Publication is, however, useful for individuals or institutions producing books or periodicals about archives or records management.

The Guidelines for Editors of Scientific and Technical Journals include many recommendations useful for editors of archival or records management journals. However, sections 1, 2, 4, 8-10, and 17, are not generally applicable. On the other hand, section 5, on handling manuscript articles upon receipt; section 6, on a referee system; section 11, on arrangement of tables and figures; section 14, on editing a manuscript; and section 15, on handling galleys and pageproofs, all contain guidance that is useful and generally appropriate for editors of archives or records management journals. Section 3, on the basic requirements of a journal, is generally applicable if one substitutes "archives" for "science," and "archivist" for "scientist." Section 7 on the internal organisation of a manuscript, recommends patterns normally used for scientific papers, and not those in common use for articles on archives or records management; however, the guidance on typing and pagination is acceptable. Section 12, "Quantities, units, symbols, signs, equations, abbreviations, acronyms, terminology and nomenclature," is mostly not germane to archives or records management journals, but the recommendations on the handling and use of abbreviations and acronyms are appropriate. Section 13 contains recommendations on style and placement of footnotes that are largely at variance with practices in common usage in archives and records management journals, and in journals dealing with humanistic studies. Finally, section 16, which deals with the cover of a journal and related matters, provides guidance that is generally acceptable, except that not all would agree that the cover (as against some other con-

stant location) must contain the place of publication, the name of the publisher, and the bibliographic strip.

The Guidelines for the Presentation of Publishers' Series are appropriate for use by archives. Their most frequent application will be to "occasional series" of finding aids. Use of the guidance on "limited sets" will be less common, because few archives will be able to plan the entire coverage of a series of finding aids in advance. Unforeseen changes in governmental structure and programmed will affect the nature and size of future accessions, and thus introduce an element of uncertainty in the future scope and dimensions of any finding aids programme.

A large number of the ISO standards dealt with in this section provide useful guidance to individuals, archival institutions, and professional associations of archivists and records managers, in the preparation of material for publication in periodical form. They are as follows:

Documentation - Contents List of Periodicals of other Documents;

Documentation - International Code for the Abbreviation of Titles of Periodicals:

Bibliographical Identification of Serials (BIBLID);

Documentation - International Standard Serial Numbering (ISSN) ;

Documentation - Abstract Sheets in Serial Publications; and

Presentation of Contributions to Periodicals.

Other ISO standards, that deal primarily with nonperiod-ical publications, and are usable by individuals, institutions, and organisations involved in the publication process for works dealing with archives or records management, are:

Documentation - Title Leaves of a Book;

Documentation - Abstracts for Publications and Documen-tation;

Documentation - Bibliographical References - Essential and Supplementary Elements;

Documentation - Bibliographical References - Abbrevia-

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tions of Typical Words ; and

Documentation - Presentation of Translations.

There is one standard that is equally applicable to periodical and non-periodical publications, Writing 'Paper and Certain Classes of Printed Matter - Trimmed Sizes - A and B Series. It is appropriate for archival and records management publication applications in countries where metric usage prevails.

In summary, all of the foregoing guidelines and standards are of primary concern to librarians and documentalists, and of only marginal or incidental concern to archivists and records managers. Nevertheless, the latter should follow them to the extent that they are appropriate, thus simplifying the task of other workers in the information field.

Finally, there is one standard that archivists should study with care, Documentation - Numbering of Divisions and Subdivisions in Written Documents. It provides a rational and easy-to-use system for internal numbering of documents, that could have a variety of applications in the archives and records management field, Although this system may not be universally applicable, archivists should seriously consider its use in guides, inventories, and other finding aids in which records are described at more than one hierarchical level.

2.4.3. Proposals for New Guidelines.

2.4.3.1. Recommended in the Bari Report.

The Bari Report called for guidelines on types of publications, including microform and other non-printed publications; and on publication policies and priorities. Priority C was selected for both guidelines.

2.4.3.2. Discussion.

The first of these proposals is so briefly described that it is difficult to know precisely the intent of the framers. There is no doubt, however, that in some cases, material can best be presented on microform or on other non-print media, and general guidelines that will assist archivists in making

sensible and cost-effective decisions on publication media would be useful.

With respect to the second proposal: any archives that publishes material with any regularity, or in any significant volume, should have a publications policy that includes consideration of priorities. Each institution must, of course, determine its own policies and priorities , but guidance that will point out the various elements to be considered in the formulation of a publication policy will be of value.

Other aspects of archival publication programmed are discussed in sections 2.3, Reprography; 4.3, Arrangement and Description; and 4. 5, Educational and Cultural Programmed,

The present section deals primarily with t-he bibliographic and technical aspects of publications. It seems appropriate to encourage librarians and documentalists to continue to play the leading roles in this area. Archivists should adopt that which is useful and usable, and adapt this guidance, when necessary, to situations where archival requirements are unique.

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2.5.   STANDARDS DEVELOPMENT AND EVALUATION.

2.5.1.   Existing Guidance.

UNESCO has issued one publication bearing on standards evaluation, entitled, A Methodology for Testing and Evaluating Standards with Special Reference to Information, Documentation and Related Fields, 1976.   It calls for a greater degree of user assessment of existing and proposed standards, and recommends that a "standardization matrix" be established within the framework of UNISIST to help determine the need for new standards, and to assist in establishing priorities within the standardization programme.   It also recommends that in certain instances, a special "control group" of users be appointed to test standards before their formal issuance.

2.5.2.   Applicability of this Guidance to Archives and Records Management Normative Work.

These proposals for a greater degree of user assessment of standards and proposed standards, and for testing of standards, are constructive.   They should be applicable, at least in principle, to archival and records management standards, as well as to standards developed with other applications in mind that are nevertheless, usable, in whol$_e$ or in part, for archival or records management purposes.   The recommendation that a "standardization matrix" be established within the framework of UNISIST is a positive one, and archival and records management interests should be included.   The "control group" idea may well be of value for certain standards having an archival or records management dimension;   where this is so, archivists and records managers should be among the members.

2.5.3.   Proposals for New Guidelines.

2.5.3.1.   Recommended in the Bari_Report.

To assist in implementing its recommendations for guidelines and standards, the Bari Report proposed the creation of an ad hoc advisory body to: consult With the professionals concerned;   monitor the development, revision, and updating

of archival and records management guidelines and standards; and ensure the harmonisation of the programme within the broader context of UNESCO's General Information Programme.

2.5.3.2. Additional Recommendation.

Preparation of guidelines on the development of archival and records management guidelines and standards.

2.5.3.3. Discussion.

The guidelines suggested in section 2.5.3.2 would facilitate the work of the ad hoc advisory body proposed in the Bari Report, as well as that of the professionals with whom it is expected to consult, and other interested parties. The individuals, committees, or working parties entrusted with the development of archival and records management guidelines would be well-served if they were to be able to refer to the distilled experience of others on the steps to be taken, the pitfalls to be avoided, and the kinds of consultation and coordination to be encouraged. This would foster the production, with as little lost motion as possible, of professional and technical guidelines that will be broadly useful and professionally sound. An important part of the proposed guidelines would be an elaboration of the basic coordinating mechanisms suggested in the Bari Report. Because the development of national and international standards is a rather highly formalised procedure, it would be useful if the proposed guidelines could also summarise the standardisation process.

2.6. TERMINOLOGY.

2.6.1. Existing Standards and Recommendations.

The International Organization for Standardization (ISO) has issued one standard, and several draft international standards and recommendations, in the field of terminology. One of the recommendations, International Unification of Concepts and Terms (ISO/R 860-1968), sets forth guidance that is basic and essential to the development of bilingual or multilingual glossaries and vocabularies. It is supplemented by Naming Principles (ISO/R 704-1968).

Those dealing with the preparation and layout of classified vocabularies are the following:

Guide for the Preparation of Classified Vocabularies (Example of Method) (ISO/R 919-1969) ;

Layout of Monolingual Classified Vocabularies (ISO/DP 4466); and

Layout of Multilingual Classified Vocabularies (ISO/ R 1149-1969).

Another sets forth symbols to be used in terminological work: Lexicographical Symbols Particularly for Use in Classified Defining Vocabularies (ISO 1951-1973).

Finally, there is a rapidly growing body of standard vocabularies for information and documentation. It is represented by the following:

Vocabulary of Terminology (ISO/R 1087-1969) ;

Information and Documentation - Vocabulary - Section 1, Basic Concepts (ISO/DIS 5127/1.2);

Information and Documentation - Vocabulary - Section 2, Part 1, Traditional Documents and Audiovisual Materials (ISO/ DIS 5127/IIa);

Information and Documentation - Vocabulary - Section 2, Part 2, Iconic Documents (ISO/DIS 5127/IIb);

Information and Documentation - Vocabulary - Section 3, Part 1, Identification, Acquisition, and Processing of Documents and Data (ISO/DIS 5127/IIIa);

Information and Documentation - Vocabulary - Section 3b: Documentary Languages (ISO/DIS 5127/3b); and

Information and Documentation - Vocabulary - Section 4,
Information Dissemination (ISO/DIS 5127/Iv).

2.6.2. Applicability of these Standards and Recommendations to Archival and Records Management Terminological Needs.

Several of them have no applicability, or at least little practical current usefulness, to archival and records management activities or requirements. They are as follows:

Guide for the Preparation of Classified Vocabularies (Example of Method);

Layout of Multilingual Classified Vocabularies;

Lexicographical Symbols Particularly for Use in Classified Defining Vocabularies; and

Vocabulary of Terminology.

Others have varying degrees of applicability and usefulness. The recommendation on International Unification of Concepts and Terms provides valuable and basic guidance in the development of international glossaries of archival and records management terms and phrases. The draft proposal on Layout of Monolingual Classified Vocabularies is a useful guide to those engaged in preparation of archival or records management glossaries and vocabularies, as is Naming Principles.

The several sections of the information and documentation vocabulary have varying degrees of usefulness and applicability to archives and records management., and are discussed seriatim below:

Section 1, Basic Concepts, contains some terms and definitions not normally used in archives and records management work, but the definitions for most of those that are used will be acceptable. Some archivists would quarrel with the definition under "1.3.1-01 archive (l)," because in many countries archives are considered to be the records of permanent value, not those kept "for a specified period." Archivists might also disagree with the very broad definition of "documents" implied in "1.3. 1-03 museum (1) ," which notes that documents "may often consist of non-literary objects."

Section 2, Part 1, Traditional Documents and Audiovisual Materials, is a vocabulary that, in general, will be acceptable

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to , and useful for, archivists and records managers. Again, there may be a few archival caveats as to definitions:

2.1.1.1-04.   A "typewritten manuscript" may or may not be corrected by the author, and is not necessarily intended for printing;

2.2.0-01.   "Audio-visual documents]" ought also to include photographic prints (and negatives?) that do not require "the use of equipment for the exploitation of its. . .visual content;" and

2.2.3-04.   Should not "filmstrip (GB)," and "filmstrip (USA)," be transposed to read "filmstrip (USA)," and "film-strip (GB)"?

Section 2, Part 2, Iconic Documents, is a vocabulary that should be acceptable to archivists and records managers to the extent that it is applicable.

Section 3, Part 1, Identification, Acquisition, and processing of Documents and Data, is a vocabulary that is not generally applicable to archives or records management. Archivists would want to modify or expand the following definitions:

3.1-22.   Accession;

3.1-23.   Accessioning;   and

3.1-24.   Inventory.

Section 3b: Documentary Languages, is a vocabulary not generally applicable to archives or records management, although some terms, definitions, and concepts would be useful in the construction of thesauri for archival purposes.

Section 4, Information Dissemination, is a vocabulary that is generally acceptable to, and usable by, archivists and records managers, although parts of it are not applicable.

2.6.3.   Proposals for New Guidelines and Standards.

2.6.3.1.   Recommended in the Bari Report.

The Bari Report notes that a descriptive glossary of English and French archival terminology is being prepared by an ad hoc working party of the International Council on Archives, which might be expanded to incorporate German, Russian, Spanish, and Arabic terminology. The report recommends

that other language groups be encouraged to add their own equivalents, that provision should be made for periodic up-dating, and that this endeavour should be accorded priority A.

2.6.3.2.   Discussion.

The "Explanatory Report" appended to Section 2, Part 1, of the information and documentation vocabulary, entitled Traditional Documents and Audiovisual Materials, indicates that the terminology of archival documents is still to be completed as a segment of Part 2 of this vocabulary.   Care should be taken to ensure that the ISO intention to produce a vocabulary on archival documents, and the ICA effort noted in the Bari Report, are properly co-ordinated, so that un-necessary and redundant activity is avoided.

There is evidence suggesting that the lack of archival participation in the terminological work of ISO has resulted in some omissions and inadequate definitions in the vocabularies of information and documentation.   Archivists and records managers should, therefore, be involved in future terminological work in the information field to insure completeness and har-monisation of viewpoints and definitions.

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3. GUIDELINES AND STANDARDS ON RECORDS MANAGEMENT.

3.1. RECORDS CREATION.

3.1.1. Existing Guidance .

one UNESCO document, the Bibliography on the Preparation and Presentation of Documents Containing Scientific or Technical Information, 1974, and three ISO standards, provide information and guidance on the processes involved in records creation.

Two of the standards relate to flowcharting, Information Processing - Flowchart Symbols (ISO 1028- 1973) , and Information Processing - Conventions for Incorporating Flowchart Symbols in Flowcharts (ISO 2636-1973). The other standard is on Writing Paper and Certain Classes of Printed Matter - Trimmed Sizes - A and B Series (ISO 216-1975).

3.1.2. Applicability of this Guidance to Processes Involved in Records Creation.

The Bibliography . . . contains a few entries on "forms and blanks for completion" (9.1.13). Since forms are a major means of eliciting, recording and transferring information, they are an important element in the records creation process.

The ISO standards on flowcharting have a variety of useful applications in records management and archives Records managers involved in the analysis of information flow in an organisation will often use flowcharting as a tool The results of such use can affect the form and content of records that are created, as well as the processes by which they are used to conduct the business of the organisation.

The standard on writing paper sizes is basic to determinations on the size and design of forms; the physical characteristics of correspondence, reports and other documents created by an organisation; and the design and dimensions of filing equipment.

3.1.3. Proposals for New Guidelines.

3.1.3.1. Recommended in the Bari Report.

The Bari Report. assigned priority A to the development of

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guidelines establishing the desirable levels of quality for paper, ink, seals, typewriter ribbons, and films.

It recommended priority C for the development of guidelines on the preparation of various record types, such as correspondence, reports, directives, and forms.

Priority B was assigned to the preparation of guidelines on the application of automated and reprographic techniques to records creation, and called for attention to be paid to the archival preservation requirements of records created by use of these techniques.

3.1.3.2. <u>Recommended by the RAMP Consultants.</u>

Guidelines on source data automation, word and text processing, and micrographics.

3.1.3.3. <u>Additional Recommendations.</u>

Guidelines establishing the desirable levels of quality for magnetic tapes.

Guidelines on:

(a) The development of management information systems;

(b) The development and promotion of standard and optional forms for government-wide use; and

(c) The management of technical manuals.

3.1.3.4. <u>Discussion.</u>

The development of guidelines on quality levels for paper, ink, seals, typewriter ribbons, films, and magnetic tapes, could have a major and positive impact on future archival preservation and conservation requirements, if the guidelines are widely disseminated and observed. If long-lasting recording materials are used in the process of records creation, the burden of repair and preservation work in archival facilities can eventually be lessened. High standards of permanence are not necessary, of course, for records not likely to be judged as archival in character. Standards for recording materials for records of temporary value should probably be developed at more than one level, taking into account the length of time the record is likely to be retained and the use to be made of the record. It would seem advisable to give the

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highest priority to the development of quality levels for materials used in the preparation of records likely to be of permanent value. A substantial amount of data is available on this subject from national standards organisations, testing laboratories, and research studies sponsored by national archival institutions.

The guidelines on the preparation of various record types, including correspondence, reports, directives, and forms, should probably be more broadly focused, and give attention to their management as well as their preparation.

(Correspondence management, for example, is concerned with the format, substantive content, and clarity of a letter or memorandum., as well as efforts to minimise the number of copies prepared and filed, and the number of administrative levels that must approve the correspondence before it is dispatched.

Reports management involves a concern for the content and format of reports, reporting intervals, relationships between "feeder" reports and consolidated reports, and controls on the number of reports generated as well as the number of copies to be prepared and filed. The development of management information systems, which may or may not be automated, is a logical extension and outgrowth of reports management.

Directives management is concerned not only with the style and format of directives, but also with developing a flexible, expansible, easily amended, and comprehensive system of directives, and with the distribution of directives. The objective is a system by which management can systematically and promptly inform the organisation of policies and procedures. The management of technical manuals is similar to, and an outgrowth of, directives management.

Forms management is involved not only in forms design--- a concern for size, clarity, arrangement of data elements, and ease of completion---but also in controlling the number of copies to be created and filed, assigning a unique number to each form, and seeing to the revision or discontinuance of obsolete forms. The promotion> by an agency with govern-

ment-wide authority, of a system of standard or optional forms to accommodate similar functions in two or more agencies, is an additional dimension of forms management.

The recommendation of the RAMP consultants for the development of guidelines on source data automation, word and text processing, and micrographics, constitutes a needed elaboration of the Bari Report's call for guidelines on the application of automated and reprographic techniques to records creation. The concern expressed in the latter recommendation for the archival preservation requirements of records created by use of these techniques will be substantially allayed by the preparation of guidelines on quality levels of materials used in the records creation process, which were discussed at the beginning of this section.

3.2.   RECORDS MAINTENANCE AND USE .

3.2.1.   Exist ing Standards and Other Guidance.

Two standards on flowcharting, Information Processing - Flowchart Symbols (ISO 1028-1973), and Information Processing - Conventions for Incorporating Flowchart Symbols in Flowcharts (ISO 2636-1973) , have applications in the areas of records maintenance and use, as well as those previously noted in the area of records creation.

There are also a number of technical standards relating to automated information processing, as follows:

Information Processing - Magnetic Tape Labelling and File Structure for Information Interchange (ISO 1001-1979);

Information Processing - Magnetic Tape Cassette and Cartridge Labelling and File Structure for Information Interchange (ISO 4341-1978);

Information Processing Interchange - Representation of Ordinal Dates (ISO 2711-1973);

Data Processing - Procedure for Registration of Escape Sequences (ISO 2375-1980);

Printing Specifications for Optical Character Recognition (ISO 1831 -1980) ;

Information Processing - Magnetic Ink Character Recognition - Print Specifications (ISO 1004-1977);

7-bit Coded Character Set for Information Processing Interchange (ISO 646-1973);

Information Processing - Graphical Representations for the Control Characters of the 7-bit Coded Character Set (ISO 2047-1975);

Code Extension Techniques for Use with the ISO 7-bit Coded Character Set (ISO 2022-1973);

Information Processing - Representation of the 7-bit Coded Character Set on Punched Tape (ISO 1113-1979);

Information Processing - Representation of the 7-bit Coded Character Set on 12-row Punched Cards (ISO 1679-1973);

Information Processing - Implementation of the 7-bit Coded Character Set and its 7-bit and 8-bit Extensions on 9-track 12.7 mm (O. 5 in.) Magnetic Tape (ISO 962-1974) ;

Information Processing - Implementation of the 7-bit Coded Character Set and its 7-bit and 8-bit Extensions on 3.81 mm Magnetic Tape Cassette for Data Interchange (ISO 3275-1974) ;

Information Processing - 8-bit Coded Character Set for Information Interchange (ISO 4873-1979);   and

Information Processing - Representation of 8-bit Patterns on 12-row Punched Cards (ISO 2021-1975).

It should also be noted that UNESCO has published The Organization of Intermediate Records Storage, 1974.   It provides guidance on an important aspect of records maintenance.

3.2.2.   Applicability of these Standards to Records Maintenance and Use.

The flowcharting standards are useful to records managers as they seek to improve the flow of records and information through an organisation, and thus have a bearing on records use.

The technical standards on automated information processing were created, for the most part, to assist in the efficient interchange of information between organisations, often on the international level. The same standards are generally useful and usable for the exchange of information within governmental agencies, and between agencies of the same government. They are, therefore, applicable to the work performed by records managers in the area of records and information use.

3.2.3.   Proposals for New Guidelines.

3.2.3.1.   Recommended in the Bari Report.

The Bari Report proposed a number of guidelines in the area of "records maintenance." It assigned priority B to guidelines on storage conditions outside of archives and records centres, to include recommended practices for both textual records and the various types of non-textual records; and on the organisation and operation of records centres.

Priority C was assigned to guidelines on:

(a) The development of vital records programmed, to include guidance on the selection for microfilming of records essential for administrative continuity;

(b) The development of filing systems, including information storage and retrieval systems, both manual and automated; and

(c) Types and specifications of filing equipment and supplies.

3.2.3.2.   Recommended by the RAMP Consultants.
Guidelines on file operations.

3.2.3.3.   Additional Recommendations.

In the "records maintenance" area guidelines are needed on the design of records centres; and on equipment and supplies for use in records centres.

In the area of "records use" the following additional guidelines would be beneficial:

(a) Work measurement and the costing of work processes;

(b) Systems analysis, as applied specifically to records and information systems;

(c) Mail and telecommunications management;

(d) The management of office copying machines; and

(e) Files management.

3.2.3.4.   Discussion.

The recommendation in the Bari Report for the development of guidelines on storage conditions outside of archives and records centres presumably has in mind records stored in administrative offices, file rooms, and records storage areas under the control of the creating ministry. This would appear to duplicate, at least with respect to offices and file rooms, the recommendation for guidelines on types and specifications of filing equipment and supplies, also in the Bari Report. The use of proper filing equipment and supplies while records are in active administrative use will also increase the efficiency of retrieval in archives and records centres; and, for archival materials, will lessen the burden of documentary repair and conservation in the archival repository. This is especially true for machine-readable records, where inadequate documentation or improper storage conditions can quickly render the records completely unusable. In the

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case of storage areas for inactive records under ministerial control, guidelines are needed that will encourage security, fire safety, economies in space. utilisation, and proper organisation of the records for easy retrievability.

Guidelines on the organisation and operation of records centres are needed, although much useful guidance exists in the UNESCO publication, <u>The Organization of Intermediate Records Storage</u>.

Guidelines are also needed on the design of records centre buildings, which should cover such matters as structural requirements, fire suppression systems, space planning, and shelving configurations that will ensure operational efficiency as well as maximum storage capacity in relation to available floor space.

Additional guidelines should cover specifications and options for specialised equipment, shelving, and supplies for records centres.

The proposed guidelines on vital records programmed should deal not only with criteria for selecting records for microfilming, but also with criteria for selecting secure offsite facilities for the storage of the security microfilm.

Guidelines on the development of filing systems, whether manual or automated, should focus on the order or arrangement in which records or information are filed and maintained. They should be tailored to the functions and operational needs of the offices served, so as to enhance retrievability of needed information.

Closely related, but distinct, are guidelines On file operations, as recommended by the RAMP consultants. This proposal, moreover, might be extended to encompass the broader concept of files management. A files management programme may deal with various aspects of designing and managing many filing systems within a large unit of government, perhaps an entire ministry; and it may be concerned with such matters as selection of appropriate filing equipment, maximizing the utilisation of existing filing equipment, the timely and periodic disposition of inactive files, as well as the development of systems

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for the storage of information on non-paper media, such as microforms and video recordings, with retrieval by computer-assisted indexing.

The proposed guidelines that have been discussed thus far in this section relate primarily, although not entirely, to the area of "records maintenance." Those discussed below relate to "records use."

Guidelines on the conduct of work measurement studies, and on the costing of work processes, would be of especial value to records management analysts, because such guidelines would assist them in testing the efficiency and cost-effective-ness of changed paperwork methods and procedures as compared to existing methods and procedures; and in demonstrating to management in a tangible and persuasive way the need to adopt more efficient procedures.

There is a large body of literature and experience on systems analysis. If this could be more narrowly focused on, and applied to, records and information systems, guidelines of considerable value for records management analysts might be articulated. This effort might, alternately, take the form of a course in systems analysis for records managers. Perhaps both are needed, with the course serving as a supplement to the guidelines.

Guidelines on mail and telecommunications management should be concerned with such matters as controlling communi-cations, in whatever medium, to ensure their prompt receipt at the appropriate office, and the selection of appropriate and cost-effectiv$_e$ means of dispatching outward bound communi-cations.

The proposed guidelines on the management of office copy-ing machines are related to those discussed in section 2.3.3.3 on criteria for the selection of such machines. Among the matters that should be addressed are controlling the amount Of office copying equipment (for example, one large, versatile, high-capacity machine may be more cost-effectiv$_e$ than several small machines), the location of copying machines in relation-ship to their users, and management controls to minimise paper wastage and unauthorised use,

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3.3. RECORDS DISPOSITION.

3.3.1. Existing Guidance and Work in Progress.

There are no published standards or guidelines applicable to records disposition.

However, a study on "Sampling Techniques in the Selectory Retention of Modern Records," has recently been completed by ICA under contract from UNESCO.

Also completed in draft form is a handbook on records disposition, prepared under ICA sponsorship with the assistance of a grant from the Council on Library Resources, which provides guidance on records surveys and inventories, records scheduling, and disposition programmed and procedures.

The current programme of UNESCO includes the development of three RAMP draft guidelines: (1) on the conduct of records surveys and the preparation of records schedules; (2) on the selection for permanent preservation of motion pictures and related materials; and (3) on the appraisal. of machine-readable records and related materials.

3.3.2. Proposals for New Guidelines.

3.3.2.1. Recommended in the Bari Report.

The Bari Report obviously attached considerable importance to the preparation of normative material in the area of records disposition, as it recommended priority A for the development of the following guidelines:

(a) The conduct of records surveys;

(b) Systems of control to ensure that action leading toward the disposition of records proceeds in an orderly and timely manner; and

(c) The methodology of preparing retention and disposition schedules for various records categories, to include guidance on methods of destruction and on sampling techniques.

3.3.2.2. Discussion.

When completed and published, the materials described in section 3.3.1 would appear to constitute an appropriate response to a number of the proposals in the Bari Report, particularly recommendations a and b. 'The development of

guidelines on selection and appraisal of motion pictures and machine-readable records, and the study on sampling techniques, respond in part to recommendation c. There are a number of other specialised kinds of records," including scientific observational data, aerial photographs, maps, architectural records, still photographs, and sound recordings, for which retention and disposition guidelines will still be needed. Also needed are guidelines on methods of records destruction. The latter, while useful and probably not difficult to prepare, could probably be given a rather low priority among the guidelines on records disposition. They might simply set forth a number of common-sense options for destruction under varied circumstances.

4. GUIDELINES AND STANDARDS ON ARCHIVES ADMINISTRATION.

4.1. APPRAISAL AND ACCESS TONING OF ARCHIVES.

4.1.1. Existing Standard.

One standard, Information Processing - Magnetic Tape Labelling and File Structure for Information Interchange (ISO 1001-1979) , sets forth labelling and documentation guidance for machine-readable files.

In addition, most of the materials discussed in section 3.3.1 relate to some extent to the appraisal process, which cannot be cleanly separated from records disposition. In reality they are two aspects of the same process.

4.1.2. Applicability of this Standard to Archival Appraisal and Accessioning.

This standard provides appropriate guidance for the labelling and documentation essential to the accessioning and subsequent use of machine-readable records in archives.

4.1.3. Proposals for New Guidelines.

4.1.3.1. Recommended in the Bari Report.

The Bari Report advocated priority A for the development of appraisal criteria for various categories and physical types of records, including administrative records, programme records, motion pictures, still pictures, cartographic and architectural records, sound recordings (including oral tradition materials) , machine-readable records, and printed records.

It assigned priority B to the preparation of guidelines on the following problems and processes of accessioning and related activities:

(a) Scheduling, registration, and reporting of transfers to the archival agency;

(b) Safeguards for the maintenance of archival integrity of the records transferred to the archives;

(c) Procedures for assuring the transfer of agency-created finding aids;

(d) Rational use of archival storage space;

(e) Stocktaking, or periodic checking of archival hold-

ings ;

(f) Determination of restriction on access (if any) to official records;   and

(g) Factors influencing conditions of access to documentation acquired by bequest, donation, purchase, or deposit.

4.1.3.2.   Additional Recommendations.

Appraisal criteria for aerial photographs, and for scientific observational data.

Guidelines on the physical and technical processes involved in the transfer of records from the ministry or agency of origin (or the records centre) to the archives.

Guidelines on measures to assure transfer of ownership of, and legal responsibility for, records physically transferred to the archives.

4.1.3.3.   Discussion.

The proposals for development of appraisal criteria for various categories and physical types of records entail an undertaking that will be complex and time consuming. In order to ensure that a maximum amount of this guidance will become available as quickly as possible, it would seem desirable to produce and issue it in segments.   Priority should be given to the production of guidance that will be generally valid for all or most categories of records.   After this becomes available, a number of working parties could begin to develop the more specialised guidance necessary for particular record categories or types, and these individual guidelines could be issued seriatim upon completion.   Eventually, it might be desirable to have a single compendium of all such guidelines, but in the interim this much-needed guidance ought to be made available on a piecemeal basis.

It should be noted that the current programme of UNESCO includes projects for the development of appraisal criteria for two specialised types of records: motion pictures and machine-readable records.

Two of the guidelines on accessioning procedures proposed in the Bari Report, those on the transfer of agency-created

finding aids and on determining restriction on access to official records, probably are not necessary. The transfer of finding aids is unlikely to pose any serious problems different from those involved in transferring other kinds of records. The determination of access restrictions is just one of a number of facts and conditions that should be ascertained as a part of the process of transfer and acces- sion. To the extent that guidance is needed on these matters, it should be incorporated, where appropriate, in other guide- lines dealing with the accessioning process.

The recommendation in section 4.1.3.2 for guidelines on the physical and technical processes involved in the transfer of records to the archives, may be simply a different way of stating what the Bari Report intended in its recommendation for guidelines on safeguards for the maintenance of archival integrity of records transferred to the archives. In any event, there should be guidelines dealing with packing and labelling of containers used for transfer of records, security during transfer, transfer receipts, and cleaning and disinfestation of records before they are placed in permanent archives storage areas.

The remaining recommendations for guidelines on transfer and accessioning seem both worthwhile and self-explanatory, and, when completed, will offer rather comprehensive guidance on a critical archival process.

4.2. SECURITY AND PRESERVATION OF ARCHIVES.

4.2.1. Existing Guidance and Standards.

The Bibliography on the Preparation and Presentation of Documents Containing Scientific or Technical Information, 1974, contains several entries on paper terminology (1.2:001.4).

Much of the remaining guidance on archival preservation consists of standards on various aspects of photography and micrographics. These have been discussed in more detail in section 2.3, Reprography, but because photography and micrographics are major tools for archival preservation, they are listed below for convenience of reference:

Photography - Raw Film (Silver-gelatin and Non-silver Gelatin Types) for Micrographic Uses - Dimensions of Roll and Sheet Material (ISO/DP 6148.2);

Photography - Silver-gelatin Type Microfilms - Processing and Storage for Archival Purposes (ISO 2803-1974);

Cinematography - Motion-picture Safety Film - Definition, Testing and Marking (ISO 543- 1974) ;

Micrographics - Density of Silver-gelatin Type Films (ISO 6200-1979);

Documentary Reproduction - ISO Conventional Typographical Character for Legibility Tests (ISO Character) (ISO 435-1975);

Microcopying - ISO No. 1 Mire - Description and Use in Photographic Documentary Reproduction (ISO 446-1975);

Microcopying - ISO Test Chart No. 2 - Description and Use in Photographic Documentary Reproduction (ISO 3334-1976);

Microcopying - Transparent A6 Size Microfiche of Uniform Division - Image Arrangements No. 1 and No. 2 (ISO 2707--1980);

Microcopying - Transparent A6 Size Microfiche of Variable Division - Image Arrangements A and B (ISO 2708-1980);

Microfilming of Technical Drawings and Other Drawing. Office Documents - Part II: Quality Criteria and Control. (ISO 3272/ 2- 1978) ;

Microcopying of Technical Drawings and Other Drawing Office Documents - Part III: Unitized 35 mm Microfilm Carriers (ISO 3272/3- 1975) ;

Microfilming of Newspapers on 35 mm Unperforated Micro-

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film for Archival Purposes (ISO 4087-1979);

Microfilming of Press Cuttings - Part 1: 16 mm Silver-gelatin Type Roll Microfilm (ISO 6197/1-1980) ;

Microfilming of Press Cuttings - Part 2: A6 Size Micro-fiche (ISO/DP 6197/2);

Micrographics - Microfilming of Documents on 16 mm Silver-gelatin Type Microfilm - Part 1: Operating Procedures (ISO/DP 6199/1);

Micrographics - Microfilming of Documents on 16 mm Silver-gelatin type Microfilm - Part 2: Legibility (ISO/DP 6199/2);

Micrographics - Vocabulary - Section 01: General Terms (ISO 6196/1-1980); and

Micrographics - Vocabulary - Section 02: Image Placement and Methods of Recording (ISO/DIS 6196/2) .

The International Council on Archives (ICA) has published two works that provide guidance on archival microphotography and other aspects of archival reprography. Although their focus extends beyond the use of micrographics as a means of preservation, t-hey will be useful to those using microfilm for this purpose. They are Microphotography for Archives, 1968; and A Study of the Basic Standards for Equipping, Maintaining and Operating a Reprographic Laboratory in Archives of Developing Countries, 1973. The ICA has also adopted a "Recommended Practice for the Titling of Microfilm (Microfiche and Roll Microfilm) of Archives and Manuscripts."

Two other works provide useful guidance in the conservation and restoration of archival materials; they parallel, in a sense, the two works cited immediately above. The first, published by UNESCO, is Conservation and Restoration of Archives Materials, 1973. The second, published by the International Council on Archives, is A Study on the Basic Standards and Methods in Preservation and Restoration Workshops Applicable to Developing Countries, 1973.

Finally, because proper housing of archives is essential both to their security and preservation, ICA has published, as Volume 1 of its Handbook Series, Archives Buildings and Equipment, 1977; and UNESCO has published La conception des

bâtiments d'archives en pays tropical, 1979 (also available in Spanish translation) . An English translation of the latter work would be most useful.

4.2.2. Applicability of this Guidance to Problems in the Security and Preservation of Archives.

'The entries on paper terminology in the Bibliography. . . relate, at least tangentially, to one type of material upon which information may be preserved.

The standards listed in the preceding section all deal with various aspects of preserving the content of records in facsimile form on a medium of maximum durability, which lends itself to subsequent reproduction at reasonable cost. Micro-reproduction is a cost-effective and readily available method of archival preservation, and the standards governing it are fully applicable to this alternative for archival preservation.

It should be noted that most archives will have relatively small quantities of newspapers or press cuttings. Other than official gazettes, these are more likely to be in the custody of libraries. However, to the extent that they do exist in archives, they present a critical preservation problem, because of poor quality paper on which they are typically printed; the standards on microreproduction of newspapers and press cuttings are fully applicable to this problem.

4.2.3. Proposals for New Guidelines and Standards.

4.2.3.1. Recommended in the Bari Report.

The report recommended guidelines on the fumigation and disinfestation of archival materials; and on the equipment of workshops to accomplish all kinds of documentary conser-vation, repair, and restoration.

Because the provision of secure, environmentally controlled facilities for the storage, processing, and use of records of all physical types is essential to their preservation, the Bari Report proposed a number of guidelines and standards on archival buildings and equipment. It called for guidelines on the siting and conception of buildings, including advice on conversion and upgrading of existing structures; and on fur-

nishings and equipment for archival buildings, including shelving and other records storage equipment, cleaning equipment, lighting, equipment for the internal movement of records, and packing materials and methods.

The report proposed the development of standards on security, including equipment and means of surveillance; and on the internal environment of archives buildings, taking into account the varying climatic conditions prevailing in different countries.

For all of the above, the Bari Report recommended priority B.

4.2.3.2. Additional Recommendations.

Standards on deacidification, flattening, lamination, and encapsulation of paper records; on conservation methods for audiovisual records of all kinds, including photographic negatives and prints, motion picture films, and sound recordings on various media; and on conservation methods for machine-readable records.

Guidelines on means of achieving maximum environmental protection for archives at minimal energy costs.

In the area of fire safety for archives, guidelines are needed on building design characteristics to minimise fire loss; and on employee fire safety training. Standards are needed on:

(a) Fire-resistive construction and finishing materials, furniture, equipment, and storage containers;

(b) Fire detection and alarm systems; and

(c) Sprinklers and other fire suppression systems.

Guidelines are also needed on emergency steps to be taken in the event of large scale records damage due to fire, flood, earthquake, or other natural or man–made disasters.

4.2.3.3. Discussion.

The standards cited in section 4.2.1 deal basically with only one means of preserving archival information - microreproduction. Although microreproduction offers an important and relatively inexpensive means of preserving the informational content of documents, it is by no means the only weapon at hand in the complex and unceasing struggle to preserve the ar-

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chival heritage. Deacidification, flattening, lamination, and encapsulation are techniques for prolonging the life of original documents. There should be guidance on the situations in which one or more of these may appropriately be used, as well as internationally accepted standards on the processes, equipment, and materials involved.

The standard proposed in the Bari Report respecting the internal environment of archival buildings, should deal with optimum ranges of temperature and humidity, not only for conventional paper records, but also for microfilm, audiovisual materials (including colour photographs and motion pictures), and magnetic tapes. It should also address itself to systems for suppressing dust and excluding atmospheric pollutants. In this time of escalating energy costs, it would seem prudent to supplement this standard with guidance on means of achieving maximum environmental protection for archives at minimal energy costs.

The fire protection guidelines and standards recommended in section 4.2.3.2 are urgently needed and should be accorded a high priority within the overall normative programme.

The rapidly increasing use of magnetic tape as a medium for both audio and video recording, plus its widespread use as the basic medium for machine-readable records, indicates the importance of studies on the permanence of magnetic tape and its viability as an archival medium. These studies should logically lead to the development of guidelines, if not standards, in this area. Alternatively, they may point to the need for developing or utilising some other medium for the preservation of machine-readable archival data.

4.3.   ARRANGEMENT AND DESCRIPTION OF ARCHIVES.

4.3.1.   Existing Guidelines and Standards, and Work in Progress .

The Bibliography on the Preparation and Presentation of Documents Containing Scientific or Technical Information, 1974, contains several entries on cataloging of "non-book media" including audiovisual materials (9.2.1/.4(4.4/.6)) , and on the cataloging of maps, atlases and plans (9.2.1/ .4(6.2:91)).

Two guidelines have been issued by UNESCO dealing with development of thesauri: Guidelines for the Establishment and Development of Monolingual Thesauri, 1973; and Guidelines for the Establishment and Development of Multilingual Thesauri, 1980. Two others relate to the conduct of national inventories: Guidelines on the Conduct of a National Inventory of Scientific and Technological Information and Documentation Facilities, 1975; and Guidelines on the Conduct of a National Inventory of Current Research and Development Projects, 1975.

Somewhat akin to the inventory guidelines is a standard on Directories of Libraries, Information and Documentation Centres (ISO 2146-1972). Other standards susceptible of possible application to aspects of archival arrangement and description are:

Documentation - Numbering of Divisions and Subdivisions in Written Documents (ISO 2145-1978);

Documentation - Guidelines for the Establishment and Development of Monolingual Thesauri (ISO 2788-1974), which apparently supersedes the guidelines mentioned in the second paragraph of this section);

Documentation - Methods for Examining Documents, Determining their Subjects, and Selecting Indexing Terms (ISO/ DIS 5963); and

Information and Documentation - Vocabulary - Section 3b: Documentary Languages (ISO/DIS 5127/3b).

Volume 2 of the ICA Handbook Series, The Arrangement and Description of Archival Materials, sets forth basic guidance

on the two related functions discussed in this section.

In progress, as a part of UNESCO's current programme, is a project for the development of RAMP guidelines for the preparation of general guides to the holdings of national archival repositories.

4.3.2. Applicability of these Guidelines and Standards to the Arrangement and Description of Archives.

The entries referred to in the Bibliography . . . are ones with which archivists engaged in describing non-textual records will wish to acquaint themselves.

The standard entitled Documentation - Guidelines for the Establishment and Development of Monolingual Thesauri is useful for development of automated archival finding aids, and computer-created indexes to conventional archival find-ing aids. On the other hand, the Guidelines for the Esta-blishment and Development of Multilingual Thesauri have little applicability to work currently performed by archi-vists.

The Guidelines on the Conduct of a National Inventory of Scientific and Technological Information and Documentation Facilities are practical and generally well-conceived. They recognise archives as one kind of facility containing scien-tific and technological information. However, in the section on "Scope of the Inventory," the informational elements hav-ing to do with the nature of collections do not include manu-script materials, which comprise the bulk of the holdings of archives and manuscript repositories. On page 5 of the guidelines it is stated that "there will be only a few [archives] in a country," which "can normally be identified without any difficulty through personal knowledge of the surveyor." This may be true in some small developing coun-tries, but there are probably many more archives and manu-script repositories than is generally realised. For example, the Directory of Archives and Manuscript Repositories in the United States, 1978, compiled by the U.S. National Historical Publications and Records Commission, lists more than 3,000 such institutions, and estimates that the Directory includes

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no more than half of those actually existing.

There would be some merit in developing comparable guidelines on the conduct of a national inventory of archives and manuscript repositories. If this were to be done, the existing inventory guidelines could constitute a useful Point of departure. The general points addressed, and the internal structure of the guidelines might be adopted without much change. The section on "Scope of the Inventory" would have to be adapted to conform to the nature of the institutions being inventoried, although a number of the individual informational elements could be adopted without change. Most of the section on "Inventory Taking Methodology and Procedure" could be used with little modification; the backgrounds of the project leader and the other professional members of the inventory team should, of course, be in archives rather than in librarianship. The section on "Output Preparation and Use," which is heavily oriented toward libraries, would have to be significantly recast. The general guidance in the section on "Keeping the Inventory Up-to-Date," could be adopted with only minor modification. Substitutions would have to be found for most of the appendixes in order to reflect the character of the institutions being inventoried.

The <u>Guidelines on the Conduct of a National Inventory of Current Research and Development Projects</u> are not applicable to archives.

The provisions of the standard on <u>Directories of Libraries, Information and Documentation Centres</u> are generally appropriate for, and applicable to, directories of archives and manuscript repositories. A new standard for directories of such institutions would require some changes in definitions, and modification of the information specified for "type of centre," "services provided," "volume of holdings," and "types of services." An alternative would be to expand the present standard to include archives and manuscript repositories. This would necessitate expansion or revision of the elements mentioned above.

The standard on the numbering of divisions and sub-divisions of documents has been discussed at some length in section 2.4.2. Because it provides a simple and logical system of hierarchical numbering, it should be useful as a means of identifying bodies of records at differing hier-archical levels in archival finding aids.

Although indexing of records in an archives is not a common practice, the methods set forth in the standard en-titled Documentation - Methods for Examining Documents, Determining their Subjects, and Selecting Indexing Terms constitute useful guidance in those cases where indexing of archival materials is determined to be cost-effective, or necessary for other reasons.

Finally, the vocabulary embodied in Information and Documentation - Vocabulary - Section 3b: Documentary Language>, while not generally applicable to archives, does contain some terms, definitions and concepts that would be useful in the construction of thesauri needed for automated archival finding aids. These are found chiefly under 3.4.1, "Concepts relating to languages used in documentation," 3.4.2, "Basic elements of documentary languages," and 3.4.6, "Thesaurus."

4.3.3. proposals for New Guidelines.

4.3.3.1. Recommended in the Bari Report.

The report recommended priority A for the development of guidelines for arrangement and primary description of archives, and identified them as follows:

(a) Basic archival principles to be observed in the arrangement, classification, identification, and numeration of archives;

(b) Production of basic finding aids; and

(c) Special considerations governing the description of 'non-textual records and non-organic records (artificial or special collections of records).

The Bari Report suggested that priority B should be assigned to the development of guidelines on secondary find-ing aids, specifically, criteria for:

    (a)   General guides;

    (b)   Inventories of individual <u>fonds</u>, record groups, or series;

    (c)   Repertories, lists, and indexes;

    (d) Topical guides;

    (e)   Inter-archival finding aids;

    (f) User-oriented finding aids for massive holdings; and

    (g)   Computerised finding aids.

4.3.3.2. <u>Additional Recommendations,</u>

Guidelines for the description of the several classes of non-textual records, i.e. still photographs, motion pictures, sound recordings, maps and architectural records, and machine-readable records.

4.3.3.3. <u>Discussion.</u>

The recommendations of the Bari Report for finding aid guidelines are not entirely clear in every instance. It seems likely, however, that in making the distinction between "basic" and "secondary" finding aids, it was intended that the former category would include rudimentary aids that provide basic assistance in locating records of a particular provenance or broad subject field. The latter category presumably would consist of more sophisticated finding aids that enable archivists and researchers to pinpoint individual records or other small file units relating to a well-defined topic, and with minimal effort.

The individual guidelines recommended within this category are in some cases identified or described with such brevity that some speculative elaboration may be appropriate.

"General guides" are presumably guides to the total holdings of a given archival repository, or at least to a major organisational or custodial subdivision of the repository. The development of guidelines for this type of finding aid is now underway.

"Inter-archival finding aids" probably is intended to suggest finding aids describing all records in a system or network of repositories, those located in a particular geo-

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graphical area, or those with common interests or charact-
eristics. This term might also be applied to finding aids
describing selected records of similar subject or character
in more than one repository.

"User-oriented finding aids for massive holdings" appar-
ently refers to finding aids having the unique function of
providing information about records to the user, rather than
to finding aids the purpose of which, in part at least, is
to enhance archival control over the records. These finding
aids might be essentially subject-oriented , and useful to
researchers such as economists, sociologists, and scientists,
who may approach the records without intimate knowledge of
archival principles or administrative history. Guidelines
on textual records should be fairly easy to develop, as there
is a wealth of experience and an international consensus to
guide the effort.

The task of developing description guidelines for non-
textual records is more difficult and perhaps more urgent.
The recommendations in section 4.3.3.2 for guidelines of this
sort, duplicate, in a sense, the proposal in the Bari Report
for guidelines on special considerations governing the descrip-
tion of non-textual records and non-organic records. The
validity of the latter recommendation is questionable, be-
cause these considerations vary so widely, depending on the
particular type of non-textual record. It might be prefer-
able to limit the Bari Report proposal to guidelines on the
description of non-organic records, and to develop separate
guidelines on each major type of non-textual record.

A practical step in this direction is the recent decision
of five international Non-Governmental Organisations (FIAF,
IASA, ICA, IFLA, and IFTA) to join hands, in close cooperation
with UNESCO, in developing guidelines and recommended practices
for the processing of audiovisual records.

The international archival community has paid too little
attention to the description of non-textual archives, and to
their appraisal_ and conservation, as well. Guidelines in this
area should therefore be accorded a high priority in inter-

national normative efforts. Because these kinds of records often lend themselves to individual item description, as well as to the collective description that is typical and appropriate for conventional textual records, the experience of librarians in individual item cataloging should be carefully studied, and adapted for archival use whenever appropriate.

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4.4.   ARCHIVAL REFERENCE SERVICE (INCLUDING STUDIES OF USERS'
NEEDS) .

4.4.1.   Existing Guidelines and Standards.

A substantial number of UNESCO guidelines and ISO stan-
dards relate in one way or another to the provision of infor-
mation services and the analysis of user needs.

These include the Guidelines for Developing and Imple-
menting a National Plan for Training and Education in Informa-
tion Use, 1979; UNISIST Guidelines for the Conduct of User
Studies, 1978; Guidelines for the Establishment and Evaluation
of SDI and Computerized Documentation Services, 1979; Guide-
lines on Referral Centres, 1979; and the Study on the Problems
of Accessibility and Dissemination of Data for Science and
Technology , 1974.

In addition to these guidelines, the following techni-
cal standards, most of which were discussed earlier in sections
3.2.1 and 3.2.2, deal with various aspects of automated in-
formation dissemination:

Documentation - Formats for Bibliographic Information
Interchange on Magnetic Tape (ISO/DP 2709);

Information Processing - Magnetic Tape Labelling and File
Structure for Information Interchange (ISO 1001-1979):

Information Processing - Magnetic Tape Cassette and Car-
tridge Labelling and File Structure for Information Inter-
change (ISO 4341-1978);

Information Processing, Interchange - Representation of
Ordinal Dates (ISO 2711-1973);

Data Processing - Procedure for Registration of Escape
Sequences (ISO 2375-1930);

7-bit Coded Character Set for Information Processing
Interchange (ISO 646-1973);

Information Processing - -Graphical Representations for
the Control Characters of the 7-bit Coded Character Set
(ISO 2047-1975) ;

Code Extension Techniques for Use with the ISO 7-bit
Coded Character Set (ISO 2022-1973);

Information Processing - Representation of the 7-bit

Coded Character Set on Punched Tape (ISO 1113-1979);

Information Processing - Representation of the 7-bit Coded Character Set on 12-row Punched Cards (ISO 1679-1973);

Information Processing - Implementation of the 7-bit Coded Character Set and its 7-bit and 8-bit Extensions on 9-track 12.7 mm (O. 5 in.) Magnetic Tape (ISO 962-1974) ;

Information Processing - Implementation of the 7-bit Coded Character Set and its 7-bit and 8-bit Extensions on 3.81 mm Magnetic Tape Cassette for Data Interchange (ISO 3275- 1974) ;

Information Processing - 8-bit Coded Character Set for Information Interchange (ISO 4873-1979);   and

Information Processing - Representation of 8-bit Patterns on 12-row Punched Cards (ISO 2021-1975).

One draft international standard, Information and Docu-mentation - Vocabulary, Section 4, Information Dissemination (ISO/DIS 5127/IV) , obviously has a degree of relevance.

Finally, there is one ISO draft proposal, performance of Readers for Transparent Microforms (ISO/DP 6198), and one standard, Microcopying - Measurement of the Screen Luminance of Microfilm Readers (ISO 782-1975), that relate to equipment used in archival reference service.

4.4.2.   Applicability of these Guidelines and Standards to Archival Reference Service.

The Guidelines for Developing and Implementing a National Plan for Training and Education in Information Use fail to recognise that archives and manuscript repositories contain information of value to users, or that they are parts of the national information infrastructure. Furthermore, in section 2.2, on "The purposes of user-education and training," there is no recognition of the information needs of researchers in the humanities or social sciences. Were the guidelines to be revised with these points in mind, they would then have a degree of relevance for archives.

The UNISIST Guidelines for the Conduct of User Studies provide guidance that seems to be appropriate for eliciting responses from users or potential users of archival services,

as well as those of other information services. It should be noted that a broad-scale survey limited to the needs of users or potential users of archives would usually not be worth the effort and expense involved. However, a survey of limited and obvious groups, such as certain classes of government re-search workers or university professors of history, might be. Moreover, in cases where a broad scale survey is conducted to determine the needs of users and potential users of a nation's information services, archives should be one of the services included.

The major part of the Guidelines for the Establishment and Evaluation of SDI and Computerized Documentation Services has little direct relevance to archives. However, Chapter 2, "General Considerations," provides a clear, easily understood, description of how data banks are developed and the ways in which they are used. Archivists dealing with machine-readable archives will find this useful. Furthermore, it is likely that in the future, key information elements in selected, heavily used, conventional archival series may be inputted retrospec-tively into computerised data banks. The principles outlined here would have a substantial degree of applicability. Chapter 3 describes UNESCO's combined CDS/ISIS - CAN/SDI software. UNESCO might wish to consider having it analysed by computer-conversant archivists to determine what archival applications it may have, or to suggest modifications that would make it usable for certain archival tasks.

The Guidelines on Referral Centres are of interest to archivists because archives are one class of institutions possessing vast quantities of information. Referral centres should therefore refer inquirers to archives under appro-priate circumstances, and seek information about archival holdings and information resources. Archives, themselves, frequently provide informal "referral centre" services for researchers whose topics require access not only to the resources in one particular archives, but also to information in other archives, manuscript repositories, and "libraries.

The Study on the Problems of Accessibility and Dissemi-

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nation of Data for Science and Technology is not applicable to archives.

Although bibliographic interchange, and other kinds of automated information interchange, are not presently carried on by archives, there seems little doubt that at some future time they will be. These information exchange activities may very well involve the interchange of finding aids (the archival equivalent of bibliographic data), and of machine-readable archival files. The interchange activity could be carried on between archives within a given country, between archives and other institutions within a given country, and between archives and other institutions on an international basis. The technical standards on information processing and interchange listed in the preceding section would be generally applicable to future archival information interchange activities.

The vocabulary embodied in the draft standard entitled Information and Documentation - Vocabulary , Section 4, Information Dissemination is generally acceptable to, and usable by, archivists, although parts of it are not applicable to archival information dissemination.

The draft proposal on Performance of Readers for Transparent Microforms sets forth criteria that are appropriate and important for microform readers used in archival reference service activities, as well as for readers used in other archival and records management contexts. The method of measurement set forth in the standard on Microcopying - Measurement of the Screen Luminance of Microfilm Readers is appropriate for readers used in archival reference service, as well as other archival activities.

4.4.3. Proposals for New Guidelines and Standards.

4.4.3.1. Recommended in the Bari Report.

The report recommended that priority B should be assigned to the development of guidelines on:

(a) Access rules;
(b) Security regulations;
(c) Research services and facilities;
(d) Citation of archives;

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(e) The loan of archival materials;

(f) Fees;

(g) The use of microforms in reference service; and

(h) The use of automation to control and monitor reference service.

4.4.3.2. Additional Recommendations.

Standards on labelling and file structure for non-magnetic media and recording modes.

Standards for the implementation of character sets on higher density magnetic tapes.

4.4.3.3. Discussion.

The Bari Report proposed guidelines on access rules. As a matter of fact, conditions of access will be governed by agreements between the archives and the transferring authorities, and by governmental laws and regulations unique to particular countries. If this proposal was intended to cover general rules for users of archives research rooms, this guidance might better be provided as a part of guidelines on research services, proposed as part of item (c) in section 4.4.3.1.

The recommendation for guidelines on security regulations presents comparable problems. If the intent is to develop guidance on regulations covering physical security in the archives (including research room security), this would seen to be covered, at least in large part, by the recommendation in section 4.2.3.1 for the development of "standards on security, including equipment and means of surveillance." If the reference in the Bari Report is to national security regulations, these are normally imposed on the archives by the state security authorities.

The recommended guidelines on research services and facilities should, perhaps, be divided into at least two separate but related guidelines. The guidelines on research services should deal not only with the services to be provided, but also contain recommendations on the ways in which the archival staff provides them. These guidelines might also be expanded to cover rules governing the conditions under which reference service is provided and the rights and obligations of researchers

making use of the archives, as was suggested in the first paragraph of this section. Guidelines on research facilities should cover such matters as research room layout, furnishings, and equipment, not only for conventional textual records, but also for cartographic and architectural records, the several kinds of audiovisual records, machine-readable records, and records on microform. In the larger archives repositories, separate facilities for each should be provided, and additional rooms made available for persons using typewriters, dictating machines, or other equipment likely to cause distraction.

The primary purpose of guidelines on citation of archives should be to enable a researcher or an archivist to find a cited document with a minimum of time and effort.

The loan of original archival materials is to be discouraged except under the most tightly controlled conditions. Guidelines covering the loan of archival materials for exhibit purposes are proposed in section 4.5.3.2, and discussed in section 4.5.3.3. If separate exhibit loan guidelines are developed, the proposal under dicussion here could be limited, hopefully, to the loaning of archives back to the agency of origin, and measures to ensure their earliest possible return to archival custody---and to the loan of reproductions of archival materials.

Presumably, the recommended guidelines on fees would deal with fees for reproduction of records, although fees for other services might in some circumstances be appropriate or necessary. Because such fees depend primarily on costs of materials and labour, which vary greatly from one country to another, only general guidance could be given.

The proposed guidelines on the use of microforms in reference service might well be made a part of the guidelines on research services discussed in the third paragraph of this section.

Guidelines on the use of automation to control and monitor reference service should point the way to systems through which the absence or unavailability of requested items can be quickly ascertained, whether the reason be unavailability be-

cause of restriction on use, fragile condition, or absence
from the shelves because of repair or reprographic measures,
or loan. Possibly of even more value in the long run, however,
would be a system that will permit the accumulation and analysis
of data on the volume and characteristics of users, and of
records used. Such data has great potential value in refining
accessioning policies; improving user services; prioritizing
arrangement, description, preservation, and reprographic work-
loads; and even in developing the best utilisation of archival
storage areas.

The proposals for new standards set forth in section 4.4.3.2
look toward the day when archives become involved in automated
information interchange. These additions to the existing body
of technical standards on information processing and inter-
change also have obvious relevance to other disciplines in the
broader information community.

4.5. EDUCATIONAL AND CULTURAL PROGRAMMED .

4.5.1. Existing Standard.

One ISO draft proposal, Documentation - Headers for Microfiche of Monographs and Serials (ISO/DP 512.3), has possible relevance to documentary publication, an education- al and cultural programme sometimes conducted by archives.

4.5.2. Applicability of this Standard to Educational and Cultural Programmed.

The draft proposal is not specifically applicable to archival activities. It has been supplemented, however, by ICA's "Recommended Practice for the Titling of Micro- film (Microfiche and Roll Microfilm) of Archives and Manu- scripts."

4.5.3. Proposals for New Guidelines.

4.5.3.1. Recommended in the Bari Report.

The Bari Report recommended that priority B should be assigned to the development of guidelines on:

(a) The needs and education of users of archival materials, including administrative users;

(b) The use of archival materials by school children; and

(c) Exhibition policy and catalogues.

The report also recommended the development of technical guidelines on exhibition security, including insurance; and on exhibition display equipment. It assigned priority C to this work.

4.5.3.2. Recommended by the RAMP Consultants.

Guidelines on reprography as applied to documentary publication.

4.5.3.3. Additional Recommendations.

Guidelines on:

(a) The conceptualisation, layout, design, and content of archival exhibitions;

(b) The design, shipment, and security of traveling archival exhibitions;

(c) The selection of items for facsimile reproduction;

(d) Determining the preferred means of facsimile re-production, and appropriate formats;

(e) Determining the most appropriate publication medium for documentary publications;

(f) Editorial practices in preparing documents for pub-lication in book form; and

(g) Targeting and editorial apparatus for microform pub-lications.

4.5.3.4. <u>Discussion</u>.

The recommendation of the Bari Report for guidelines on the needs and education of users of archival materials ought to concentrate on non-scholarly users, who are least likely to have received some instruction on this subject as a part of a university education. Prominence should be given to the specialised needs of genealogists, who are using archi-val materials in repositories throughout the world in large and increasing numbers. Consideration might be given to incorporating in this guideline suggestions on the use of archival materials by school children.

The distinctions between exhibition policy and the prep-aration of exhibition catalogues are broad enough to warrant the development of separate guidelines for the two topics. Closely related are the guidelines proposed in section 4.5.3.3, on the conceptualisation, layout, design, and con-tent of archival exhibitions.

Traveling exhibitions are becoming increasingly effective means of popular education. Some of these have been prepared by archives, and still more of them contain some archival items. Their display outside of secure archival facilities greatly increases their vulnerability to theft, fire, en-vironmental hazards, and other potential forms of damage. These. risks can be lowered if proper measures are taken in the design of display cases and shipping containers, and if high standards are set and rigidly enforced in selecting pro-per means of transportation, and secure places and conditions of display. Most of the foregoing points will also apply to

the display of selected archival items in exhibitions that do not travel, but are located outside of archival facilities. The major art museums have had a great deal of comparable experience in the display of unique materials of great intrinsic value, and this experience should be consulted during the development of guidelines for traveling archival exhibitions, as well as those on exhibition security and display equipment.

Educational and cultural programmed may also include the production of archival facsimiles, which are, in a sense, a hybrid of the exhibition and the documentary publication. These may be documents, photographs, works of art, or seals, that have individual historical significance, popular appeal, or artistic merit. Guidelines on the selection of such items for facsimile reproduction; on determining preferred means of reproduction; and on determining whether they should be produced as individual items, on postal cards, in sets, or in book or pamphlet form, would be useful. Production and sale of facsimiles can provide a source of additional revenue for archives.

Documentary publication is yet another significant element in an archives' educational and cultural programme. This involves the publication of a body of records of particular historical value or research interest, either in conventional book form or in microform (or a combination of the two). Book publication, as a rule, involves selection of the most important of the available documents, while in microform publication the usual practice is to publish complete series or files. Guidelines are needed to aid in the determination of the most appropriate publication medium, to advise on editorial practice when preparing documents for publication in book form, and to advise on targeting and editorial apparatus for microform publication.

The recommendation of the RAMP consultants that guidelines be developed on reprography as applied to documentary publication can probably be incorporated in the guidelines discussed in the previous paragraph. Any such guidelines should, of

course, complement the existing reprographic standards and proposed guidelines discussed in 2.3, Reprography.

5.   SUMMARY AND CONCLUSIONS.

5.1.   SUMMARY.

The introduction to this report notes certain basic differences between the information requirements of scientists and typical users of archives.   It also observes that it should not be surprising that the guidelines created to facilitate traditional UNISIST objectives are often not directly relevant to archival needs or activities.

The ISO standards in the field of information, also prepared in large part to meet the needs of this same community of users, tend to have a greater degree of applicability to archival and records management requirements.   This is attributable to the fact that they deal primarily with technical processes used in most information fields.   This is especially true of standards governing reprography and data processing.   Standards elaborated in behalf of the library and documentation fields also have a degree of relevance to archives, because all three fields are in the business of accumulating and disseminating information.

The standards analysed in this report tend, therefore, to have a wider degree of applicability and usefulness to archives and records management than do the UNISIST guidelines.

This report has also provided information on the small but growing body of normative material that has been prepared specifically for the use of archives and records management systems and services.   In addition to some published works, there are a number of guidelines that have progressed to the point of completion in draft form;   and the current programme of PGI includes a significant number of RAMP guidelines projects.

A total of 125 normative documents have been analysed by the author and cited in this report.

Thirty of them are guidelines or similar documents prepared in behalf of UNISIST or NATIS: 3 of these are fully applicable, or nearly so, to archives and records management needs;   8 are applicable in part;   9 are marginally applicable, having only minor or potential usefulness, or merely containing

ideas suggestive of future normative work that might be done in behalf of archives; and 10 appear to have no applicability whatever.

Eighty of the normative documents examined are ISO international standards, recommendations, draft international standards, and draft proposals: 57 of them are fully applicable, or nearly so; 8 are applicable in part; 13 are marginally applicable; and 2 are not at all applicable.

In addition, 15 normative documents prepared specifically for archivists and records managers are cited in the report, of which 3 are as yet unpublished.

The table which follows (Figure 1) illustrates the distribution of these documents, and their degree of applicability, in terms of the functional chapter outline of this report. It covers all normative works cited in the report, whether published by UNESCO, ISO, ICA, or another publisher, as well as unpublished cited materials. Totals will add to more than the 125 documents analysed, because some are considered in more than one chapter of the report.

Figure 1 also indicates, for each chapter, the number of proposed new archives and records management guidelines and standards described in the report (proposed either in the Bari Report, by the RAMP consultants, or by the author); the number of them that have been, or are being, addressed at least in part by existing international normative documents or by projects underway; and the number remaining to be addressed. These numbers must be regarded as tentative because many of the proposed guidelines are susceptible of subdivision or combination.

Chapter	Total Guidelines	Applicable	Applicable in Part	Marginally Applicable	Not Applicable	Total Standards	Applicable	Applicable in Part	Marginally Applicable	Not Applicable	Archives Normative Docs.	Guidelines Proposed	Addressed or in Process	Remaining Proposals
2.1. Policy, Planning	8	0	1	3	4	3	2	0	1	0	4	20	4	16
2.2. Staffing, Training	5	2	1	1	1	0	0	0	0	0	0	6	0	6
2.3. Reprography	1	0	1	0	0	25	24	0	1	0	4	7	2	5
2.4. Publications	6	0	2	2	2	20	10	3	6	1	0	2	0	2
2.5. Standards	1	0	1	0	0	0	0	0	0	0	0	1	0	1
2.6. Terminology	0	0	0	0	0	13	4	4	4	1	0	1	1	0
3.1. Records Creation	1	0	1	0	0	3	3	0	0	0	0	18	0	18
3.2. Maintenance and Use	0	0	0	0	0	17	17	0	0	0	1	14	1	13
3.3. Disposition	0	0	0	0	0	0	0	0	0	0	1	12	4	8
4.1. Appraisal, Accessioning	0	0	0	0	0	1	1	0	0	0	0	20	2	18
4.2. Security, Preservation	1	0	1	0	0	18	18	0	0	0	7	19	4	15
4.3. Arrangement, Description	5	1	2	1	1	5	3	2	0	0	1	15	3	12
4.4. Reference	5	0	1	2	2	17	15	0	2	0	0	11	0	11
4.5. Cultural Programmes	0	0	0	0	0	1	0	0	1	0	0	14	0	14
Totals	33	3	11	9	10	123	97	9	15	2	18	160	21	139

Figure 1.

5.2.   CONCLUSIONS.

A number of the UNISIST guidelines have at least a degree of relevance to archival and records management activities, as do most of the ISO technical standards in the field of information. Yet, because these guidelines and standards have for the most part been developed for other users, the unfulfilled normative requirements of archivists and records managers are both substantial and widely distributed across the functional spectrum.

In a purely quantitative sense, the functional areas needing the greatest investment of effort would appear to be records creation; appraisal and accessioning of archives; policy, planning and evaluation; and security and preservation of archives. Not far behind are educational and cultural programmed, records maintenance and use, arrangement and description of archives, and archival reference service.

Application of an imprecise quantitative rule in this situation is of limited value at best. It is the personal judgment of the author of this report that the functional areas needing the most normative attention are, in no particular order of priority: policy, planning and evaluation; staffing, and education, training and development of personnel; records disposition; appraisal and accessioning of archives; and security and preservation of archives. This is not to suggest that the other functional areas should be ignored, or that there may not be some very high priority needs for particular guidelines or standards within them.

In any event, it seems clear enough that a substantial allocation of energy and resources is needed on a continuing basis if the gap between archival and records management normative needs, and existing applicable guidelines and standards is to be significantly narrowed within the foreseeable future.

The General Information Programme of UNESCO, the International Organization for Standardization, and the International Council on Archives, as well as national standards organisations and archival institutions, all have challenging roles to play and important contributions to make in the furtherance of this worthwhile objective.

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Codes for the Representation of Names of Countries (ISO/DIS 3166); pp. 26, 27.

Data Processing - Procedure for Registration of Escape Sequences (ISO 2375-1980); pp. 42, 64.

Directories of Libraries, Information and Documentation Centres (ISO 2146-1972); pp. 57, 59.

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Documentation - Abstracts for Publications and Documentation (ISO 214-1976) ; pp. 26, 29.

Documentation - Bibliographical References - Abbreviations of Typical Words (ISO/DP 832); pp. 26, 29.

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Documentation - Formats for Bibliographic Information

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APPENDIX 1

LIST OF EXISTING UNISIST GUIDELINES AND ISO STANDARDS HAVING SOME DEGREE OF APPLICABILITY TO ARCHIVES AND RECORDS MANAGEMENT

This list includes all UNISIST guidelines and ISO standards covered in the present report that have any degree of relevance to archives and records management. Those that are marked with a double asterisk (**) are fully applicable, or nearly so, to archives and records management. Those marked with a single asterisk (*) are applicable in part. Those appearing without an asterisk have only minor or potential applicability, or are merely suggestive of future normative work that might be done in behalf of archives and records management. Guidelines and standards having no relevance or applicabilit$_y$ to archives and records management are omitted.

The entries are arranged in the order in which they first appear in this report.

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**Information processing - Graphical Representations for the Control Characters of the 7-bit Coded Character Set (ISO 2047-1975).

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APPENDIX 2

LOCATION LIST OF PROPOSED GUIDELINES AND STANDARDS

The following list is provided in order to facilitate reference to those sections of the report containing proposals for new archival and records management guidelines and standards. These proposals have as their sources the Bari Report, the RAMP consultants, and the author of the present report. The entries are arranged by topic, in the order in which they appear in this report. The first set of page numbers in each entry refers to the location of the section in which the proposed guidelines and standards are identified. The page numbers that follow (and are enclosed in parentheses) are those of the sections in which the proposed guidelines and standards are discussed.