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Methodological principles of the expertise of documents' value in the Ukrainian archives modern practice

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Expertise of documents' value, their selection for permanent preservation or destruction of unnecessary documents is appertaining to the State Archives and at the same time the basic archival function. The expertise of documents' value pierces all cycle of the National Archival Fond of Ukraine formation (hereinafter referred to as "NAF"), providing the selection of documents for permanent preservation and exception those which lost their value, documents' organization at all levels of the archival system, determination of priority rows of documents and documentary complexes with the purpose of establishment of the appropriate regime of their preservation, order of registration, order of their information office creation and application of the different approaches in their description method, and also cost of NAF documents. This procedure requires archivists of high professionalism and objectivity, which neither a policy, ideology or religion, nor economic situation or human factors must influence on. Although the archival services closely co-operate in the questions of appraisal and selection of documents with fonds' creators, freelanced experts, and with potential users (researchers, scientists, public), a final decision on the fate of documentary heritage can not depend on intuition of an archivist, but must be based on the concrete methodological principles - aggregate of the expertise of documents' value methods where principles and criteria of documents' selection for preservation have the significant value.

One of the main tasks of the archival institutions of Ukraine nowadays is to provide society with a reliable retrospective information. Political and socio-economic changes in the state and society life happened after regain of Ukraine's Independence has substantially activated an interest of society to the archival information and archives as to the depositories of universal informational resource. Reformation of the state control system, economy transformation, growths of public need in the retrospective information and removal of redundant ideologization influence substantially on the appraisal and selection of documents to the NAF.

Modern expertise of documents' value of Ukraine takes its beginning in 1920th. Although there yet was not a theory of expertise at that time archival science, was not also used the term "expertise of documents' value", but it was already declared its principle

position - to preserve only issues which matters for the study of life in all its spheres by the first decrees of the archival affairs. Exactly then, in 1920-1930th, there was active development of theoretical principles of expertise of documents' value. It was defined its basic criteria and categories of documents which were subject to permanent, durable and temporary storage. Thus, the expertise of documents' value of Ukraine today is based on the system of principles and criteria, developed in soviet times. Archival science basical principles (historical approach, comprehensiveness and complexity) as a scientific positions are stored in the modern archival science and documented by normative legal acts. At the same time, despite succession of the soviet theory of expertise, the Ukrainian archival science has formed the list of positions which differs greatly from soviet ones (e.g., non-party, de-ideologization).

Accordingly, interpretation of basic principles and criteria of expertise of documents' value has changed with changes in political and economic life of Ukraine. Presently a theory of expertise of documents' value is on the stage of "critical revision" in Ukrainian archival science: what is worth to be preserved, and what should be develop in the nearest future, how to apply the criteria of expertise of documents' value in new socio-economic terms for establishments of different social and legal status, different forms of property, taking into account appearance of new types of documents. Changes, which took place in society life, different spheres of its activity, has found a reflection in the archival legislation and influenced on the theory of expertise of documents' value as a scientific basis of NAF formation and archive's acquisition. In the modern Ukrainian archival science the definition "expertise of value" is understood as a certain method by which, on the basis of functional analysis of fond creator (their structure, functions, jurisdiction, types of activity and intercommunications), comprehensive study of documents (types, kinds, forms, content), application of concrete normative and methodical manuals on the selection of documents (lists, files nomenclature) determine the terms of preservation of documents according to their historical, scientific, cultural, social, legal or practical value, which after the conduction of certain selection procedure are preserved in the state, communal or other archives.

The expertise of documents' value plays a significant role in a selection and inclusion of modern documents to the NAF where a today's society life is fixe, and which are the result of activity of all its branches, state and non-governmental organizations. It includes the processes of creation of normative and methodical base of expertise of value (typical lists of documents, exemplary files nomenclature), determination of NAF forming sources, appraisal of documents on the primary stages in record keeping service and archival subsections of juridical persons during the conclusion of files nomenclature and organization of documents, and also in archives - at the primary sorting out of disordered documents of non-governmental organizations, foning, making of the archival descriptions and forming and description of files/units of the archival documents registration.

The expertise of documents' value is carried out on the basis of principles and criteria with the help of which it is possible to con-

duct the selection of documents for long-term preservation. Criteria of the expertise of documents' value are direct units of measuring of documents' value. In practice it is more frequent used just certain criteria and only at the analysis of concrete documents which appeared in the set time, in the certain sphere of activity and in a certain place. It is appropriate, because as well as every theory, the expertise of documents' value with its principles and criteria, is approximate, and its principles and criteria can not be absolute.

Basic practical principles of the expertise of documents' value are defined by the "Basic rules of the State Archives of Ukraine work" (2004). The eventual result of the expertise of documents' value must be preservation of valuable documents. The question is, what documents to consider valuable? Certainly, those, which will satisfy the needs of history, science, economy, culture in the future. Taking into account, that there is no even a single branch of science that is able to define the future themes of applying to the archived sources, it is impossible to require it from an archivist.

Basic principles of the expertise of documents' value

The expertise of documents' value and inclusion of documents to the NAF is carried out today on the basis of principles of historical method, comprehensiveness and complexity.

Principle of historical method is basic in a theory and practice of the expertise of documents' value, which determines national features, origins, content of document, its external signs. Knowledge of concrete historical terms which documents were created in, the study of all sides of society life which they represent in a together with other documents of fond creator and other funds allows us to provide the valuable completing of NAF of Ukraine.

In the Soviet archivists, too ideological, principle of historical method often was substituted by the principle of party membership whereby every document was examined as a "product of certain historical epoch" and was appraised "from position of class essence", that means "from the point of view of ruling classes". It resulted in ahistorical appraisal.

However, completing of State Archives on the principle of party membership deprived the soviet Archives of many documents of "dissidence" which appeared in the non-official establishments and contradicted to the "interests of party and working class". Instead of the archival criteria there were used for the certain part of documents the political criteria which answered desires and requirements of ruling party. Thus, political and ideological interference with the professional sphere of the archival affairs and archival services in USSR inflicted a serious harm to the documentary heritage.

Despite succession of the soviet theory of expertise, the modern Ukrainian archival science has formed the list of positions which differs greatly from soviet ones. Above all things, it - de-ideologiza-

tion, non-party. It is not only abolition of principle of “party membership” and not a change of signs on opposite. Ukrainian archival science understands principle of historical method as aspiring to maximal objectivity, to the academic manner in the best meaning of this word. Principle of historical method is understood as universal scientific principle, principle of approach to reality which changes in time, develops. In case to examine this principle from this point of view, then it combines all principles which now apply (objectivity, historical method, comprehensiveness and complexity) and to a great extent represents scientific objectivity.

Modern archival science finally rid of ideological blinders, of those limitations which put class, party approach for priority. In acquisition - it is aspiration to acceptance and saving of all variety of documentary sources, regardless of their origin, form of property; in description - it is a maximally complete and objective reflection of document's information without political, ideological and other estimations which go out outside its content; in the use and publication - it is democratic principle of publicity and openness of Archives.

Thus, basic principle of the expertise of documents' value is principle of historical method, which foresees taking into consideration time and place features of documents' creation, all historical context.

Conducting of the expertise of documents' value on the basis of impartial approach, but with an orientation on their accordance or discrepancy to the society needs, requires *principle of objectivity*.

Principle of comprehensiveness and complexity coincides with the scientific principle of integrity, understanding of the phenomena of reality as unity of parts of the whole in variety of their displays, and also with scientific principle of the system, or study of the object as system of interrelated elements.

While conducting of the expertise of documents' value it is applied principle of comprehensiveness and complexity as the unique methodological requirement to study the proper documents taking into account their place in the complex of other documents.

Methods of the expertise of documents' value

In the theory of the expertise of documents' value are applied methods of historical research, system, structural and functional methods, modeling, informative, statistical methods, method of classification, axiomatic method.

A *historical method* foresees the necessity of study of reasons of origin of documents, objective principle of their development, connections with other documents, in order to select the most substantial sides of documents and on that ground to give their appraisal.

A *system method* allows to discover the value of information of documents in development, in the process of its change and transformation taking into account connections of docu-

ments, their place and value both in the concrete document system and in the national system of document and in an eventual result is instrumental in determination of composition of valuable documents which are to be preserved. Positions of the systems approach are specified in the process of complex application of the system of criteria of the expertise of documents' value, and also in the method of development and application of the system of lists of documents and other methodical manuals.

The *method of functional analysis* foresees the study of place of institutions -fond creators at industry, concrete functions, which they execute, having a purpose setting of separate categories of documents, formed while activity of establishments, role of this documents in the proper systems of documents. A structural and functional analysis - scientific method, which foresees the study of the phenomena and processes as a system where each element of structure has the certain setting (function), lies in the basis of functional method.

The method of functional analysis allows to find out dependence between the function of the establishment and its document information. A functional method comes forward as a method of prognostication of possible value of complexes of documents, foremost their content and is based on the knowledge of principle of documents' origin, their setting, kinds and varieties and is specified in a criterion of functional and purpose setting (type of activity) of organization, and then in the lists of sources of completing and system of lists.

An *informative method* in the archival science - is a scientific approach which means an application of information theory positions to the informative aspects of the archival affairs. At the expertise of documents' value an informative method leans against the system picture of management structure, on principles of motion and transformation of information in the process of management, principles of repetition of information in the conditions of functioning of the modern management systems. To the tasks of informative analysis belong: determination of quantitative, high-quality descriptions of information, which allow to judge on the degree of public value of documents and their complexes, on the selection of documents for the state preservation. With the help of the informative method of analysis one explore the question of appraisal and selection for storage of documents with the repeated information. The study of the systems of documents as informative systems allows to find out the features of division of information on communication channels in a management, and also principles of this process.

The method of classification is used at research and solving of questions of the expertise of documents' value, for example, at development of the expertise of documents' value criteria, normative and methodical manuals on the selection of documents (lists, lists of organizations and so on). Documents are classified on such criterion : nominal, functional, valued, genetic, and also by thematic, chronologic, regional and other signs. Classification of sources of completing of the State Ar-

chives is carried out on the basis of a particular branch sign, their public meaningfulness, and after the types (to the legal form) of organizations, after the patterns of ownership and to other signs.

Next to scientific methods at an estimation and selection of documents are also used the methods of other sciences, in particular, source study method and sociological methods.

The basic theoretical provisions of the expertise of documents' value are based on positions of *source study analysis*. In a general view a source study method in the theory of expertise examines a document as potential source of historical cognition, foresees research of source origin and analysis of its content.

The *sociology methods* can be instrumental in an estimation and selection for preservation of socially meaningful information which will allow high-quality to diversify composition of NAF. And all aggregate of sociological methods the most widespread at the tasks solving of the selection of documents is a method of questioning (questionnaire and interview), it is a special method of information reception about the subjective world of people, their inclinations, reasons, biographic information, presence for the citizens of documents of the personal origin, types of this documents and their stored. Application of sociology methods allows to extend cognitive possibilities of archival science in the theory of expertise: to collect on the set program (by a questionnaire) and analyse information; to formulate perspective challenge and ways of its decision; to find out attitude toward new ideas, projects, approaches to the appraisal of documents and so on.

Archival science methods are applied at the estimation of documents: a method of expert estimations and nominal approach in expertise.

The *expert appraisal method* is used at the evaluation of documents, consists in the exposure of prevailing at this composition of experts of predicted judgement: whether to keep documents permanent or to destroy. During an expert appraisal documents are compared and estimated on the basis of criteria of the expertise of documents' value and work experience of experts (archivists), their knowledge. In practice of the expertise of documents' value the method of expert appraisal will be realised as a concrete method of direct expertise (method of every page revision).

Nominal approach in expertise as a part of functional analysis leans against a nominal sign, sign of kind and variety of document, which testifies to its functional setting, form, and character of information. Often on the basis of nominal sign the value of document can be determined.

All methods of archival science at research of questions of the expertise of documents' value are applied in co-operation, complex. It is allowed to get around the requirement of scientific objectivity and thus to provide quality of completing of NAF. At the same time complex application of methods does not eliminate possibility of the use of separate methods depending on documents which are to

be appraised.

At the evaluation of documents of mass character the methods of selective selection have an overwhelming value. For the predicted estimation of documentary fund the method of functional analysis and nominal approach can be used above all. At expertise of value of large groups of documents of interrelated funds an informative method will help to set principle of information motion in the system.

Principles and methods of the expertise of documents' value are interrelated and create the integral system - methodological basis of expertise. Principles of expertise find their specification in the criteria (or signs) of estimation and selection of documents.

Determination of documents' value degree

Value of document - an informative possibilities of document which predetermine its historical, scientific, social, economic, political, cultural or other community sense and give grounds to include it into the NAF. Archivists try to avoid the severe losses of information, but it is impossible to preserve everything, consequently it exists priority of more valuable before less valuable. A value can not depend on demand, but can and must answer the informative needs of society, including and those which are unknown for today.

In archival science there was a picture of different value of documents, which depends on different aspects; 1) to meaningfulness of document from the point of view the fact represented in it; 2) to meaningfulness of document for society as historical source and for working out management problems; 3) meaningfulness of document in the light of cognition theory (general and single) and theory of reflection; 4) meaningfulness of document from the point of view of informative approach; 5) meaningfulness of document from the point of view of society social memory.

In relation to the facts of reality the task of expertise is to select documents which represent the most meaningful historical facts. The variety of reality is represented in a great number of facts (phenomena, events) from which a historian selects the most meaningful for society history, scientist of source study - the most reliable sources about these events, and an archivist selects documents, where events are given expounded. In particular the last carries out the role of saving of the part of the fixed in the daily record keeping work which reproduces activity of the control society system most full and deeply. Repetition of typical historical facts is thus taken into account in new historical terms.

Appraisal of document from the point of view of the society need in retrospective document information in accordance with an operating in Ukraine order is carried out on the stage of record keeping, in a department archives, in a State Archives, by a few stages, providing the appraisal of documents, as the set period of time will pass, and at the same time providing storage of valuable documents. As a result the NAF consists of the valuable documents, failings

appear because of great amount of duplicates and not very valuable records.

In relation to finding out of value of document it is proved in the light of cognition theory and theory of reflection, that a researcher does not need necessary all facts, but only most meaningful. A researcher is unable to revise all documents, therefore the selection of documents which contain the most meaningful facts will rationalize his/her work.

At the selection of documents the advantage is given to the informative documents, to the documents with a greater informative closeness, and abandoned documents which contain "informative noise". Consider that the "senescence" of information, or loss of utility, comes in 20 years, "semisenescences" - in 5 years.

Most sharp is a problem of selection of documents with the *repeated information* of the middle of 1920th as a problem of "duplicate". The repeated information is the same information about an object (phenomenon, event), fastened in different documents or in different forms of the same document (his original, rough copy, variant, project, copy, duplicate and so on). Repetition of information of documents which appear in the process of management has two kinds: formal - is a recreation of document information and analytics and synthetic - is transformation of document information. In the basis of the first kind lie more simple forms of repetition at which information of primary document is saved (reproduced) in the second document without any substantial changes. In the basis of the second kind are more difficult forms reiterations which lead as a result of the analytics and synthetic processing to transformation of information of primary document in the second one.

To the recreation and transformation of document information inherent concrete forms of reiteration. For a recreation it is such forms as: duplicate (the copies of the same document are multiplied), quoting (a word for word reiteration of all text of document or its part is in other document), combination (simple addition of homogeneous information of primary documents in the second with saving of information of primary documents and from ambassador blow what workings out the totals, when can be present also lines of transformation in the form of generalization). Forms of transformation: generalization (treatment of these primary documents is in the second document through their different grouping, analysis, synthesis), abstracting (transmission in a brief kind in the second document content of primary document by its analysis and synthesis), exposition (transmission, but not word for word, all text of document or its part in other document with the possible changes of location of information and style of exposition).

The relatively independent form of reiteration of document information is adimorphism. The variants of documents combine the different forms of reiteration, that is why a adimorphism conditionally can be examined as the special type of repetition.

Documents preserved in archives are part of the social memory. The social functions of document (communicative, reproductive, mnemonic) are gathered in a document, but one predominates, determining the type of document. The most valuable documents of

different social functions are transferred to the archives.

Society passes on permanent preservation to NAF the documents and gets them, when they are needed. The expertise of value must *provide the valuable completing of NAF*. A study requires problem of proportional presentation of basic types of funds of all types of state institutions, non-governmental organizations, personal collections/funds in the NAF.

Basic criteria and their complex application

Criteria of value of documents - are the system of the scientifically grounded signs on the basis of which the degree of documents' value is determined. During the expertise the Ukrainian archivists apply three groups of criteria: origin, content and external signs of documents. The decree of Cabinet of Ministers of Ukraine is fasten such grouping of criteria: origin, content and external. Forming of this system of criteria took place during many decades. In their development considerable contribution was done by the Russian archives. Presently it is formed and approved system, but interpretation of criteria in the last few years definitely changed in connection with changes in political and economic life of Ukraine. In the control system - there are new organizations, new tasks and functions of organizations, change of vertical and horizontal way of management, refusal of severe centralization, new structure of organizations. In an economy - there are different patterns of ownership, multiple-discipline activity. Changes took place in documenting of society activity (new types of documents, different plenitude of documenting of organizations' functions, actualization of certain complexes of documents, changing of role and value of separate types of documents in organization of administrative processes). The society needs changed in retrospective information: ideological objections are withdrawn of the subject of researches, socio-political neutrality became firmly established in relation to the estimation of facts.

Criteria of origin

To the basic criteria of documents' value, based on their origin, belong: the functional and special purpose setting of physical person (fond creator), meaning of physical person (fondoutvoryuvacha) in life of society (than more substantial role of establishment is in the state control system, economy, culture and other industries of life of society, the closer connection between a function and basic special purpose setting of establishment, the more valuable will be its documents);

- meaningfulness of event (phenomenon, object), in preparation, conducting or study of which establishment took part (than event has the greater influencing on development of some industry of life of society or than brighter this life appears in it, the more valuable documents in which an event will find a reflection);
- time of documents formation (advantage get documents created simultaneously with an event or right after it);
- place of creation of documents (advantage get documents crea-

ted wherein there was an event, or in a direct closeness from it).

These criteria aim archivists at saving and primary acceptance of documents of major establishments and structural divisions, attract attention on documents which represent history of public life in its basic displays and created, on possibility, simultaneously with the proper events by their direct participants.

Criteria of external signs of document

As a criteria based on an “external signs” consideration there can be examined: form of fixing and the content transfer, attestation, feature of processing document (estimation of original appearance of document, form of content transfer, processing document, and its physical condition); state of document preservation (plenitude of documents preservation which lighten the fondoutvoryuvacha activity). The basic displays of social and historical terms, related to the origin of documents find a concrete reflection in these descriptions.

During the expertise of documents’ value it is foreseen application of lists of typical documents, that asserts by the State Committee on Archives of Ukraine, and also agency (branch) lists of documents with the terms of preservation, typical and exemplary files nomenclatures, which are developed by ministries, other central bodies of executive power, central bodies of citizens organizations, other departments which have a network of inferior establishments and become firmly established also by the State Committee on Archives of Ukraine.

The most effective instrument of the expertise of documents’ value, by which a receipt is provided on permanent preservation of the most valuable documentary complexes, that form the NAF, there still are lists of documents with the terms of storage. Role of lists in conducting of the expertise of documents’ value in record keeping is of current importance, as they are basic normative manuals which are followed by the experts commission of all levels during conducting of the expertise of documents’ value.

With creation in Ukraine in 2007 Central State Archive of Foreign Archival Ucrainica the issue of application of withstand criteria of values to the documents, which can be characterized as archival ucrainica became of a great importance. Experience shows that storage of such documents in foreign (mainly non-government) archives is related to the row of problems, in particular: ignoring of the proper examination of value of documents; composition of documents is mixed: as a rule, documents are included with the transmitters of papers, documentary photographs, undercuts from newspapers and magazines, printing editions: newspapers, magazines, brochures, books, sometimts museums materials; presence of plenty

of duplicates materials; insufficient level of informing of scientific and information offices, its inveteracy or absence (mainly in the non-governmental archives); acceptance on storage of funds in the non-registered state and without descriptions; in bad physical condition of documents (drying up of tapes, laceration of paper basis, influencing of metal paper clips or other facilities of fastening of paper leaves influence on paper basis); absence of insurance copies of documents. Not decision all together and every in particular problem, forming of intellectual barrier threatens to the users of the archival information. Taking into account such necessity on the base of the Ukrainian Research Institute of Archival Affairs and Record Keeping in 2008 the method of expertise of value of archival ukrainica is being developed.

In practice the expertise of documents' value is carried out by the expert commissions of different levels, which follow in the activity the Constitution of Ukraine and Laws of Ukraine, Acts of President of Ukraine, Cabinet of Ministries of Ukraine, other normative acts, orders of the State Committee on Archives of Ukraine.

