Structure

• Research process
• Definitions of appraisal
• Comparison: „Life“ of a document
• Comparison of appraisal practice
• Conclusion
• Recommendations
• References
Research Process

• Questions:
  – Who is involved in appraisal?
  – When does it take place?
  – Which tools exist in each country and how do they compare?
  – Are there special guidelines for electronic records?
Research Process

- Difficulties/Limitations:
  - No common vocabulary
  - Little English resources
  - Only information on participants’ countries available
  - Limited research into realities of practice; only anecdotal evidence
  - Little experience of appraisal in practice
Research Process

• Scope of research:
  – Only compared England, Finland and Germany
  – Mainly focused on national archives
  – Idealized version of practice: limited to information taken from tools
  – Limited to elements of practice comparable across all three countries
Definitions

Appraisal

• **UK:** “Appraisal is the process of distinguishing records of continuing value from those of no further value so that the latter may be eliminated.” (TNA, Appraisal Policy, 2004).

• **Germany:** Appraisal identifies records of archival value amongst those offered for transfer by an agency. (Menne-Haritz, Schlüsselbegriffe der Archivterminologie).

• **Finland:** “The creators of archives must specify the periods and methods of retention ... determine the preservation value of the documentary information already when it is created. This is called *appraisal in advance*, with the archival plan as a main tool.” (NAS).
Life of an English Record

**DIGITAL AND HYBRID RECORDS BY CREATORS AND TNA**

- **CREATION**
- **1st REVIEW**
- **2nd REVIEW**

**ACTIVE PERIOD**

- Appraisal based on future business use + awareness of historical value
- Appraisal based on historical value

**ORGANISATIONAL BODY**

**DEPARTMENTAL RECORDS CENTRE**

**TNA**

**INACTIVE PERIOD**

**THE NATIONAL ARCHIVES (TNA)**

**ARCHIVAL REPOSITORY**
Life of a Finnish Record

ORGANIZATION TOGETHER WITH NAS
CREATING AMS
FILLING IN THE METADATA TO ERMS + APPRAISAL
ORGANIZATION’S ARCHIVE OR DISPOSAL
NATIONAL ARCHIVE OR OTHER OR DISPOSAL
RETENTION PERIOD, CONFIDENTIALITY, FUNCTIONAL CLASSIFICATION
ORGANIZATIONAL REPOSITORY
ACTIVE PERIOD
CREATING THE DOCUMENT
SEMI-ACTIVE PERIOD
INACTIVE PERIOD
ARCHIVAL REPOSITORY
Life of a German Record

- **CREATION**
- **REGISTRY/OFFICES**
- **ORGANIZATION’S ARCHIVE**
- **ARCHIVES OR DESTRUCTION**

**ACTIVE PERIOD**
- end of the retention period

**SEMI-ACTIVE PERIOD**
- appraisal based on historical and evidential value

**INACTIVE PERIOD**
- ORGANIZATIONAL REPOSITORY
- ARCHIVAL REPOSITORY

**ADMINISTRATOR**

**ARCHIVIST**
Comparison of the Lives

• When is appraisal conducted?
  – England: 1st review 5 years, 2nd review 25 years
  – Finland: at the creation
  – Germany: at the end of the retention period

• Who conducts appraisal?
  – England: 1st review creator, 2nd review archivist
  – Finland: creator
  – Germany: archivist
Comparison of the Lives

Who has the most influence on appraisal?

FINLAND ENGLAND GERMANY

RECORDS MANAGER or RECORDS CREATOR

ARCHIVIST
<table>
<thead>
<tr>
<th></th>
<th>Finland</th>
<th>England</th>
<th>Germany</th>
</tr>
</thead>
<tbody>
<tr>
<td>Determined in advance</td>
<td>determined in advance</td>
<td>not determined in advance</td>
<td>determined in advance</td>
</tr>
<tr>
<td>Active</td>
<td>active</td>
<td>passive</td>
<td>active</td>
</tr>
<tr>
<td>Archivist absent</td>
<td>archivist present only at appraisal</td>
<td>archivist present</td>
<td>archivist present</td>
</tr>
<tr>
<td>Framework created by archivist</td>
<td>archivist + creators</td>
<td>framework created by archivist</td>
<td>framework created by archivist</td>
</tr>
<tr>
<td>Comprehensive</td>
<td>comprehensive</td>
<td>not comprehensive</td>
<td>comprehensive</td>
</tr>
<tr>
<td>Detailed</td>
<td>detailed</td>
<td>generic + non-specific</td>
<td>detailed</td>
</tr>
<tr>
<td>One document</td>
<td>one document</td>
<td>many documents</td>
<td>one document</td>
</tr>
<tr>
<td>Records creator + NAS</td>
<td>consultation TNA + department</td>
<td>archivist (+ record creator opinion)</td>
<td></td>
</tr>
<tr>
<td>Legislation more precise</td>
<td>uk law general</td>
<td>archivist must conduct appraisal</td>
<td></td>
</tr>
</tbody>
</table>
## Comparison of Practices

### Cultural differences

<table>
<thead>
<tr>
<th></th>
<th>Finland</th>
<th>Germany</th>
<th>England</th>
</tr>
</thead>
<tbody>
<tr>
<td>Is there a difference between archives and RM in theory?</td>
<td>N</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td>“ in practice?</td>
<td>N</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td>“ in job roles?</td>
<td>N</td>
<td>Y</td>
<td>Y</td>
</tr>
</tbody>
</table>
## Comparison of Practices
### Law, organization and authority, part 1

<table>
<thead>
<tr>
<th>Question</th>
<th>Finland</th>
<th>Germany</th>
<th>England</th>
</tr>
</thead>
<tbody>
<tr>
<td>Is there a legal basis for appraisal?</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td>What % is kept permanently at state level?</td>
<td>10-15%</td>
<td>1% (target)</td>
<td>4-5%</td>
</tr>
<tr>
<td>Are there any policies for appraisal of electronic records?</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td>Are there any strategies for appraisal of electronic records?</td>
<td>Y</td>
<td>N</td>
<td>N</td>
</tr>
<tr>
<td>Is there co-operation for appraisal with other repositories (across sectors)?</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td>Is there a minimum review period for appraisal policy?</td>
<td>Continual</td>
<td>N</td>
<td>Some</td>
</tr>
</tbody>
</table>
## Comparison of Practices
### Methods

<table>
<thead>
<tr>
<th></th>
<th>Finland</th>
<th>Germany</th>
<th>England</th>
</tr>
</thead>
<tbody>
<tr>
<td>Is appraisal based on function?</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td>Is appraisal based on content?</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td>Is it recommended to document appraisal?</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td>Is there a minimum level for appraisal?</td>
<td>Document</td>
<td>File</td>
<td>File</td>
</tr>
</tbody>
</table>
Conclusions

• Comparisons were difficult, but we managed to establish the following points:
  – All countries have a legal basis for appraisal
  – Both functional and content-based approaches are used
  – Important differences between systems: stance on the continuum
• Comparable tools
  – Retention schedules
  – Strategies for local and central archives
Conclusions

• Other issues:
  – Many different approaches exist, but education is focused on national practice
Recommendations

• More research needed in practice

• Further comparative study

• More translations
References

• National Archives Service of Finland [NAS], Julkishallinnon Asiakirjatietojen Seulonta
• NAS, Ams-opas
• The National Archives [TNA], Acquisition and Disposition Strategy
• TNA, Appraisal policy
• Strategiepapier Bewertungsgrundsätze (Dokumentationsprofil) des Bundesarchivs für Unterlagen der Bundesrepublik Deutschland
• Arbeitshilfe: Erstellung eines Dokumentationsprofi ls für Kommunalarchive
Thank you for listening!

Any Questions?