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Management of Government Archives in Italy

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PART III: FIELDWORK

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Vita and publications

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PUBLICATIONS AND PRESENTATIONS

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4. G. Torre, "The City as a Widespread Archive: a Hidden Treasure", in ENCATC, The ecology of Culture: Community Engagement, Co-creation and Cross Fertilization. Book proceedings 6th Annual Research Session October 21-23, 2015 Lecce, Italy, Bruxelles, pp. 447-461, 2015, ISBN 978-92-990036-2-6

5. G. Torre, "La conservazione nelle piccole e medie imprese di Genova: un percorso di censimento". Paper presented at Un archivio per l'impresa, Giornata nazionale di studi, Genoa 12th November 2015

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9. G. Torre, "The census of Enterprise Archives as an Opportunity for the Business. How to teach businessmen to boost their business through their archives, their own energy", in Francesca Pino, Creating the Best Business Archive Achieving a good return on investment, Milano: Hoepli, 2017, pp. 165-175, ISBN 9788820379872

10. G. Torre, "La sostenibilità dell'archivio". Paper presented at Progetto archivio. Trasformare un'idea in una realizzazione, Genoa 08th March 2017

11. G. Torre, "Dissemination of picture copies through different archives: the visual power of Cesare Battisti's death", in Predella Journal of Visual Arts, n. 39, pp. 63-76, ISSN 1827-8655

List of abbreviations

ACS	Archivio Centrale dello Stato
ANAI	Associazione Nazionale Archivistica Italiana
CAD	Codice dell'Amministrazione Digitale
CH	Cultural Heritage
DGA	Direzione Generale per gli Archivi
DPCM	Decreto del Presidente del Consiglio dei Ministri
FOI / FOIA	Freedom of Information Act
GDPR	General Data Protection Regulation
HMC	Royal Commission on Historical Manuscripts
ICA	International Council on Archives
ICT / IT	Information and Communications Technology
MLA / MLAC	Museums, Libraries and Archives Council (UK)
NCA	National Council on Archives (UK)
PA	Public Administration
PM	Project Management / Project Manager
PRO	Public Record Office (UK)
RM	Records Management
SIUSA	Sistema Informativo Unificato per le Soprintendenze Archivistiche
SIAS	Sistema Informativo degli Archivi di Stato
SISTAN	Statistics office of Ministry of Cultural Heritage
TNA	The National Archives (UK)
UK	United Kingdom

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Abstract

The research has affirmed the value of archives among other cultural objects because archives are a vital part of the national identity, but not just that. In fact, the good management of the *res publica* and an efficient administration pass through the proper documents conservation as the life source of government bodies.

Starting from an archival perspective, the research object points to archives as institutions and offices of Public Administration rather than the peculiarity of the documentation which they preserve. Therefore, the analysis is focused on the internal organisational structures where the two souls of archives - one administrative and one cultural - came to light. In this sense, archives are a point of intersection of multiple issues for their intrinsic nature.

The work is based on a literature review in order to contextualise Italian archives in the international scenario. The comparative analysis focused especially on the UK reality and the consecutive case study performed in Tuscany allowed the definition of the paths should be covered in order to improve national government archives.

The research allowed the possibility to improve the management of archival structures starting from the strength of the national system, as the presence of a legislation with a good basis on the archival theory. In this context, the archive director emerged as the figure able to synthesise the archival knowledge and the managerial skills, aware of the necessity to coordinate multiple professional background and technological resources. This figure is the one who can put in practice the optimisation of what is defined as the *archive management* starting from the deep knowledge of the ongoing reality and thanks to the cooperation with the Superintendencies.

In the light of above, a conclusion is the announcement of the need to design a plan of continuing professional development in *archive management* for administrative staff as well as for legislators, accepting the dynamicity of current scenarios and with the goal to improve national government archives.

Introduction

Has Italy lost its memory? Paraphrasing the title of a newspaper article dated August 2014[1], which represents the spark that has launched the research, the thesis moves deep in the complex world of archives in order to understand the current situation of managerial difficulties shared by Italian archives.

Precisely, this research was born following the recent news on stumbling blocks of Italian public archives which generated a spread upset among the public opinion without a practical answer by the Government.[2] This state of impasse brought out the evidence that Government pays a little consideration to the peculiarity of archival institutions, *in primis* the role of the dedicated Superintendencies, especially if compared to other Cultural Heritage sectors.

Starting from an archival perspective, this study has the ambitious goal of affirming the value of archives among other cultural objects because archives are a vital part of the national identity, but not just that. In fact, the good management of the res publica and an efficient administration pass through the proper documents conservation as the life source of government bodies.

1. Background

The story of archives, as offices that manage documentation, is grounded in the ancient past and various evidence can be traced in

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[1] Galzarano, Carmen. "L'Italia senza più memoria," *La Repubblica*, August 20, 2014.

[2] In addition to the article quoted in the previous note, three snapshots from the media had contextualised the topic of the thesis and influenced its structure; they are: Guercio, Maria. "Dieci anni del CAD: che cosa imparare da una lunga storia di inosservanza," *Forum PA*, December 4, 2015, available at http://www.forumpa.it/pa-digitale/archivi-digitali-pubblici-le-regole-della-digitalizzazione-di-un-paese-anormale-i-parte (accessed November 24, 2016); Taddeucci, Paola. "Tagli ai fondi e poco personale. Così muore l'Archivio di Stato," *Il Tirreno*, August 24, 2015; Law published on GU Serie Generale n. 59 del 11th March 2016, in effect on 26th March 2016.

Italy, starting, for example, from the archival laws of the Roman Empire and the recordkeeping practices of medieval repositories. Despite this general statement, the structure of current government archives as the keeper of the Italian memory for the future generations, is not meant to be paralysed into the past, because the activities of conservation, enhancement, and enjoyment of archival heritage should proceed regularly. Furthermore, cultural bodies have increasingly the duty to update the procedures, to diversify their cultural offer and to work towards reaching essential levels of cost-effectiveness and efficiency, in accordance with the practice of spending review of the funding distribution from central government. These circumstances have caused the need to take on organisational models for the archives borrowed from managerial disciplines.

Starting from the Nineties, in Italy, there was the aim to reform the Public Administration and this has meant also the reform of the records management. But to complete this improvement, it is essential to start with the knowledge of structures of the offices dedicated to records management, the archives. Only by studying their historical organisation and current management issues, which are mutually cause and effect of economic ones, it will be possible to propose a rational reform.

In this context, the term *records management*, usually known under the acronym RM, is used to indicate the functions, the responsibilities and the tools associated with the current archive. This is the first phase of the life cycle of the documentation in which records are created and their initial organisation is pivotal for the good administration of the archive in the following steps and consequently for the effective management of the entire institution. In other words, archives are tools of government while their functions and potentialities are the objects of this study.

On the one hand, archives are the leading actors of this work. In particular, the key objects of the study are not archival holdings but instead their administration. On the other hand, archives for their intrinsic nature of having two souls – one administrative and one cultural – are a point of intersection of multiple issues. For this reason,

the topic is structured as a link with four macro-areas: Archival Science, Legislation of Cultural Heritage, Economic analysis and Project Management strategy. In this way, the common ground of these different fields discloses the importance to apply a multidisciplinary approach in order to understand the critical situation that archives are facing nowadays, to take advantages from their exploitation, and to find some possible managerial improvement.

Furthermore, an international comparison will be here proposed between the legislation and governance of public archives in different countries, especially with a focus on the context of the United Kingdom. In this way, some best – and also bad – practices will be found as representative of the current ways to handle archival administration in a world of continuous improvement of recordkeeping practices.

2. Aim and scope of the thesis

The aim of this project is to explore the current archive organisation and to introduce a new way to analyse such a peculiar cultural organisation thanks to Project Management knowledge. In fact, public archives could be defined as *peculiar* compared to other well established cultural institutions dedicated to the preservation of cultural objects, like museums, archaeological sites, and libraries. As a matter of fact, in Italy, documentation created by State and public institutions is granted the status of 'Cultural Heritage' *ab origine*, in compliance with Italian Code of Cultural Heritage (art. 10, c. 2, lett. b) whereas other categories of cultural objects must face a different process. In public archives, the creation phase is in close contact with the preservation one and this is different to other cultural institutions. Precisely, the State preserves the documentation created in the State Archives and public local authorities create and preserve their documentation for the entire life cycle of papers.

These peculiarities influenced the choice of the object of this work: government archives selected according to the article no. 114 of the Italian Republic Constitution ('The Republic is composed of Municipalities, Provinces, Metropolitan Cities, Regions, and the State').

State Archives and public local authorities' archives are very different archival institutions, in terms of law and archival holdings but their shared management issues can be compared. In general, both institutions are regulated by the same national law, the Code of Cultural Heritage promulgated in 2004, and in addition to this, they are linked together with the Ministry of Cultural Heritage structure.

On the one hand, the presence nowadays of *hybrid archives* – namely the coexistence of documents in analogue and digital form in the same archival group – had increased the pre-existing difficulties of the Public Administrations in the managing of specific expertise and infrastructures dedicated to their archives. On the other hand, public local bodies' archives exemplify a real evidence of the importance of having a unique director who is in charge for the three phases (current, semi-current and historical) in order to have an inclusive vision of what documentation is being created, produced and passed on to the next generations.

The thesis has some boundaries which lead the researcher to leave out of scope the contents of archives, like the archival holdings or the history of relevant documents. Furthermore, considering the label of *public archives* which is commonly applied to all public bodies, it will not take into account the archives of public institutions like hospitals, chambers of commerce, and educational institutes. In this context, only the archives of territorial government bodies will be examined.

Among the public local authorities, it is important to remark that this research will also consider the Provinces' archives because it is interesting to study the complex current situation of their documentation after the legislative decision to abolish these institutions (law no. 56/2014). In this perspective, a goal of the thesis is the identification of actors able to coordinate proper and sustainable projects for the conservation of Provinces' archives considering the effects of the legislative division of administrative functions among other territorial bodies.

3. Research questions and methodology

Even before the economic crisis of 2007, a debate about public financing for cultural heritage has been on the public agenda and several studies in cultural economics highlight that economic tools are applicable to cultural organisations. Despite this situation of increasing research, there is an evident lack of interest in the archival field and this thesis has the target to cover this absence.

In accordance with the aim and scope of the thesis described above, the main research questions can be summarised as follows:

- Why are there managerial and financial issues in public cultural institutions nowadays? Are the same general problems shared by archives?
- Are there some international best practices that can be adopted by Italian archives?
- Is it possible to apply Project Management strategies in government archives?
- How is it possible to optimise the archival administrative structure in Italy?

In order to find answers to these questions, the methodology applied in this research is a mixed method, both qualitative and quantitative, in order to reach a more comprehensive analysis of the research problems and to gather a rich data set minimizing the limitations of both methods.

4. Structure of the thesis and disposition of the chapters

The research project is structured in three main sections which reflect the structure of the writing. The groundwork is based on an extensive literature review that will allow a historical and regulation outline as well as the specification of Cultural Economics and Project Management disciplines application in the archival field. These interdisciplinary studies will influence the development of the core of the thesis. In fact, the second part, called the 'context of the *archive management*', will describe the archival peculiarities from a managerial point of view. In this way, the elements which provide the management of an archival structure (resources, procedures, processes

and services) are formulated giving an innovative description of archives and going beyond the traditional explanation on chronological phases. Finally, the aim to become familiar with the optimisation of the archive management will be put in practice thanks to two fieldworks linked together as a consecutive step.

In other words, the thesis covers a wide variety of managerial tasks, responsibilities, and roles of Italian government archives, also if most of the dissertation could reflect any typology of archival institutions. For this reason, the final finding could be appreciated for the optimisation of all kind of archival institution, public and private as well, like for example business archives.

In detail, the first chapter illustrates the focus of this thesis: the governmental archives in Italy. In particular, the archives are analysed as institutions and offices with a complex organisation rather than for the peculiarity of the documentation preserved. The overview of their characteristics, concerning the Italian regulation and territorial shapes, will be correlated with a comparative study of the international scenario in order to highlight the current bad and best practices in archival management. The state of the art includes an outline of the archival studies which had applied cultural economics and cultural management disciplines. In this perspective, a definition of the archival sustainability and the economic impact of archives is introduced.

Secondly, a deep study is performed in the context of archival management, taking into account the main critical problems that prevent users to access the contents. In order to structure a coherent and fruitful dissertation, the main issues are clustered in two topics following the knowledge areas of Project Management. Especially, the third chapter deals with resources, like human, organisational and financial one. In the following chapter, the peculiarities of an archival institution are analysed not following the classic threefold subdivision (current phase, semi-current and historical) but examining their internal policies, processes and services designed and performed in order to demonstrate how it is possible to increase accessibility to archives by the general public.

The last section of the thesis is dedicated to two field works consisting in a pilot study of a consecutive case study. In the first place, a foreign scenario will be examined studying the UK government model applied in public archives. In particular, the history of Anglo-Saxon archival science, The National Archives configuration and the rules of archives of public local authorities, will be observed in order to perform a qualitative pilot study. Some interviews will be arranged with team members of five different archives. This small study will allow to test the questionnaire designed for the planned Italian case study which will be improved thanks to the suggestions proposed during the meetings. Furthermore, two good practices will be presented: the Accreditation Archive Service and the Survey of Visitors to UK Archives. Both cases show how Project Management strategies applied to archives can have a positive impact on the internal optimisation of the archives involved.

Thanks to this background, an Italian case study is identified in Tuscan Region in order to gather quantitative data that could allow some generalization in the rest of national territory. The case study analysis includes the design of a questionnaire, the communication process to 311 different typologies of government archives (State Archives and archives of Municipalities, Provinces, Regions and Metropolitan cities) and the consequent data collection in order to evaluate in a quantitative manner the current situation about resources, processes and activities.

The thesis is also articulated in order to enhance the fieldworks' results. On the one hand, the study of the UK archival administration will engenders several reflections on which good practices can be exported in the Italian scenario and, at the same time which, elements owned by the Italian organisations are enviable and need an improvement. On the other hand, the opportunity to conduct an extensive survey on a prolific territory of cultural projects, like the Tuscany, will guarantee the proper identification of critical points where setting up a plan of training and develop the optimisation of *archive management* strategy.

5. Contribution of the thesis

Management in archival science is an underexplored field, if not completely ignored by the Italian literature.

The performed study allow the author to highlight the best practices and elaborate internal management guidelines that are applicable to different archival institutions all over the Italian country. In addition, the research will demonstrate how the application of a Project Management approach to archival institutions will reach the optimisation of internal management thanks to continual growth and development of training.

In conclusion, the thesis statement is that the national cultural policies should take into account not the management of single records but the whole *archive management* that represents the examination of an archive in its complexity, from its current – known as *records management* – to the historical phase. Only by doing this it will be possible to give a correct consideration of archives within other cultural institutions with proper attention to their peculiarity in the administrative field.

PART I
THE STATE OF THE ART

Chapter I
The Italian model
in the international regulatory framework

The aim of the first chapter is the achievement of a general overview, so as to highlight the right paths to discover the topic of the thesis. The chapter does not claim to be comprehensive, but it does seek to draw attention to some key legislative phases and to current critical archival issues in Italy and in the international context.

1. A premise: the key to interpretation

Starting from the first chapter the common threads will be unraveled and consequently, they will be examined in depth through the following chapters. First and foremost, the reader will be conducted into the detailed identification of the object of the thesis because the use of the unique keyword *archives* is rather reductive. In fact, the term is not univocal, rather than is related to different meaning, contexts, discipline, and issues. For this reason, the essay starts with some figures about the quantification of the amount of documents in government archives in order to grasp how such important collective memory is widespread. These peculiarities are highlighted as a natural evidence in a **government archive**, as the **institution** for the preservation of documents created by the **Public Administration**. In this way, it will be defined the leading actor of this thesis.

Secondly, archival institutions will be studied for their internal structure in order to understand their current organisation. A history of the Italian government archive will underline the development steps towards the state of neglect of the present day. The Italian history is linked on the one hand to the international scenario and on the other hand to the legislative framework.

These few elements make boundaries to the topic of this research but in reality, they open the scope to several issues. The archival Italian discipline will be analysed for its strengths and weaknesses compared to other national contexts. The simple act to count archives will prove

the impossibility to enumerate exactly these assets because they can be visualised from two main points of view, administrative and cultural, which represent their two intrinsic souls. However, the thesis would cover both archives' souls; therefore, all the classical chronological phases will be analysed in the whole archival institute. This approach will testify the relationships and repercussion from the management of the first archival phase to the following ones. Therefore, current issues commonly ascribed to financial lacks are more complex of the generic comment of disrepair and financial instability. A comprehensive vision on the entire life processes is even more necessary. In this way, the construction of this complex archival map of Italy will justified its as for cause and effect of legislative issues, amendments and postponements which have characterised the confuse and contradictory legal environment currently in force in Italy.

The historical framework started with a legislative regulation mainly addressed to the definition of the instruments for the production of documents in a government office, then the legislative vision of the archive moved towards its cultural potential outputs, while, in conclusion, there are a more recent group of legislative outcome which are related to the introduction of IT in the e-government. The legislation and the analysis of the controversial construction of the ministerial structure dedicated to archives give other traces useful to understand the current Italian reality. In this context, institutions will be connected to their resources for their multiple aspects. In fact, if the general public knows that Italian archives spend about twenty millions of euro per year in rental rates and a big part of these expenses are made by the Central Archive of the State[3], it is less aware that from 2015 archival national staff was reduced

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[3] A condemnation of these counts is stated by Casini, Lorenzo, 2015. *Gli archivi nella riforma dei beni culturali*, in «AEDON» Bologna: Il mulino, Vol. 1. Evidence of data are available at http://www.archivi.beniculturali.it/index.php/chi-siamo/amministrazione-trasparente/beni-immobili-e-gestione-del-patrimonio (accessed August 25, 2017).

by 67% of units for directors and 34% for archivists, which count only 23 and 628 people respectively[4]. For this reason, the first section of this thesis give a constructive background to read in a critical way the following chapters, especially that one on the triple perspectives of resources: human, logistical and financial.

In order to sum up, the key to interpreting all these points of question is their common field: the management. In fact, only thanks to the understanding of archival internal structure and processes it will be possible to individuate the real problems. Furthermore, thanks to the analysis of different best practices form multiple international environments it will be possible to optimise the Italian government archives.

The final goal which is evident through all steps of the texts is the optimisation of a greater accessibility to archives, especially both to administrative and historical documents. In this perspective, the first chapter gives some legislative referee on open archives. The second chapter will explain the basis and guidelines about the application of managerial analyses to archives. The third and fourth chapters will report the characteristics of an archive following a managerial analysis and they will conclude with a paragraph expressly dedicated to accessibility. On this ground, the text will drive to two fieldworks and their results will be interpreted thanks to the management know-how explained in advance.

2. First guidelines

One first statement, useful to understand the Italian archival background, is that 'the archival Italian discipline is characterized, on the one hand, by a fine and acute capacity for theoretical reflections as well as some important works. On the other hand, it has not been able

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[4] The data are extracted by the DM of 6 August 2015 attached workforce plan. About the archival situation see an ANAI's report *Gli organici del Mibact, un'occasione perduta? Modeste proposte per prevenire*, October 2015, available at http://media.regesta.com/dm_0/ANAI/anaiCMS//ANAI/000/0828/ANAI.000.08 28.0001.pdf (accessed August 23, 2017).

to elaborate methodologies and find criteria to pass on this knowledge and guarantee an average standard of good efficiency in services and functions execution.'[5]

For this reason, the archival Italian discipline will be analysed in comparison with the international scenario starting from some theoretical reflections which are arisen during the historical and legislative development. As stated by archivist Paola Carucci, Italy is noteworthy to have elaborated some methodologies and to have based the legislation on the grounded theoretical basis. However, the Italian country had difficulties to emerge for its knowledge in the international scenario and this characteristic will be explained thanks to a multiple analysis. Furthermore, the national archival community has shown a lack of shared standards and best practices aimed to guarantee efficiency and optimisation of current processes and services which is one goal of this research.

In order to highlight the noticeable importance of archives for our country and history, it seems appropriate to start the dissertation with a mention of their quantification. Indeed, although the Italian State spans a limited territorial area, it has a huge amount of cultural assets and it is noteworthy that a high percentage of this heritage is made up of archival records. According to UNESCO World Heritage List, in which 1073 sites with outstanding universal value are registered, Italy is the country with the most cultural sites declared.[6] Precisely, 53 sites are listed on the Italian territory, 48 of which are cultural assets and 5 natural ones. The next countries, on the highest steps of the podium, is Spain with 40 cultural sites out of 46 total,

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[5] Author's translation from Italian to English by: Carucci, Paola. 1998. *Dall'archivio corrente all'archivio storico: la selezione come momento essenziale per la salvaguardia della memoria storica*. in Ferrara, Patrizia. 1998. *Per la storiografia italiana del XXI secolo: Seminario sul progetto di censimento sistematico degli archivi di deposito dei ministeri realizzato dall'Archivio centrale dello Stato, Roma, 20 aprile 1995*. Roma: Ministero per i beni culturali e ambientali. Ufficio centrale per i beni archivistici: 23-29, 23.

[6] The data here reported are related to 2018 UNESCO's World Heritage List. The List is available at http://whc.unesco.org/ (accessed January 25, 2018).

France with 39 out of 43, Germany with 39 out of 42, and China with 36 out of 52.

In addition to UNESCO sites, Italy has thousands of other artworks like over 40.000 in fortresses and castles, 95.000 churches, 20.000 historical and architectural city centers, and 36.000 archives and libraries[7]. As for this last data, historical evidence is available on the *Commissione Franceschini* report (1964-1966).[8] The parliamentary group asserted that the Italian archives were, during the Sixties, at least twice the amount of every other European country.[9]

Today, following the changing of the writing material and multiplication of data, it is impossible to calculate the exact number of archives that are circulating in one country. For example, in 1985 UNESCO tried to enumerate archives kilometers all around the world, between which, for example, Archives Nationales in France owned 350 km (not including 36 km at the Archives d'Outre-Mer, 27 km at the Foreign Affairs archives and 65 km at the Armed Forces archives), the Public Record Office in London held 379 km (the India Office records

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[7] Data extracted by the report elaborated by Ernst & Young Financial-Business Advisors S.p.A., available at http://www.italiacreativa.eu/ (accessed April 7, 2016).

[8] The "*Commissione d'indagine per la tutela e la valorizzazione del patrimonio storico, archeologico, artistico e del paesaggio*", was chaired by the Honourable Francesco Franceschini and established according to law no. 310 of 26 April 1964, upon a proposal by the Ministry of Education, working until 1966. For more details see the following chapter and the report published on Commissione d'indagine per la tutela e la valorizzazione del patrimonio storico, archeologico, artistico e del paesaggio. 1967. *Per la salvezza dei beni culturali in Italia: atti e documenti della commissione d'indagine per la tutela e la valorizzazione del patrimonio storico, archeologico, artistico e del paesaggio*. Roma: Colombo.; Claudio Pavone's report in Klein, Francesca, and Vitali, Stefano. 2006. *I beni culturali patrimonio della collettività fra amministrazione pubblica e territorio: atti del convegno promosso dall'Associazione nazionale archivistica italiana-Sezione Toscana*. Firenze: Pagnini., 171-180.

[9] Sandri, Leopoldo. 1958. *La storia degli archivi*, in Commissione d'indagine per la tutela e la valorizzazione del patrimonio storico, archeologico, artistico e del paesaggio. 1967.

occupied 11 km of shelving whereas the National Archives of India preserved 25 km), and in Nigeria the National Archives stored 28 km. [10] Nowadays, Italian State Archives preserve about 1,600 km of shelves.[11] However, the number of documents existing in our country and internationally, especially for the variety of structures and typologies of records, is so considerable that they need some insight. Above all, such quantitative yardsticks provide only a limited indication of the value of their contents for research. In this perspective, the typology of government archives could be a good example of the diversity of archival institutions for their extensiveness on a territory and their characteristics to be easily recognizable by the community. On account of this, government archives in our country are the object of this research.

To define the reasons for the importance of archives is redundant: it is clear and agreed that archives are powerful symbols of identity and memory. Precisely, government archives have even more a leading role in this perspective because they are the authentic history of the people of a nation. 'It is at the local level that our rights and privileges as citizens are documented: birth, marriage, death, property ownership, right to vote.'[12] In a widespread way, on the national territory, local authorities have a legal responsibility to look after citizens' records.[13] These include the official records that underpin

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[10] Data extracted by an article UNESCO, "Archives by the Kilometer," *in* Unesco. February 1985. *The courier*. [Paris, France]: Unesco, 35; available at http://www.unesco.org/new/en/unesco-courier/archives/ (accessed October 9, 2016).

[11] Data extracted by the 2010/2015 survey about Italian State Archives, published on the website of SISTAN (Statistics office of Ministry of Cultural Heritage) http://www.statistica.beniculturali.it/Archivi_di_stato_15.htm (accessed January 25, 2018).

[12] Slate, John H., and Kaye Lanning Minchew. 2016. Managing local government archives. Lanham: Rowman & Littlefield, ix.

[13] Statements about the importance of archives are very common. A quotation in this direction could be find in Local Government Association

democracy and civic right as well as the records which testify the lives of ordinary people, businesses and the life in a community. The archival institutions have an indispensable task: to guarantee the preservation of cultural assets and the identity values.

The analysis of the internal processes in archival public institutions could allow the discovery of the current requirements for a modernisation and optimisation of them. A useful clue to reach this goal is to start from the reflection on the crucial role of the archive as a coordinator inside the same Public Administration (hereafter PA), which produce them. In fact, if the archival sector is neglected, the administrative performance immediately decreases.[14] Good evidence of this can be found in sociologist Max Weber's work about the observation on modern bureaucracy[15]; he underlined the vital role of records and their organization for the management of an office itself. German archivist Angelika Menne-Haritz, in her 2004 pivotal work on Business Process, has provided a clear explanation of Max Weber's analysis of bureaucracy, often misunderstood as a description of monocratic hierarchy.[16] Although the term *bureaucracy* normally describes a deplorable situation, Weber thought that the division of labour and the need for specialised knowledge as central elements in bureaucratic bodies would be a key aspect for a better organisation. American archivist David Bearman has added some consideration in this perspective when he talked about the relationship between bureaucracy and management, stating that 'bureaucratic structures were designed as strategies for organizational management of far-flung enterprises, and methods of organizational record keeping such as the

(England and Wales). 2009. *Our past: your future : local government archives*. London: Local Government Association, 3.

[14] Bucci, Oddo. "La gestione dei documenti come fattore del rendimento amministrativo," in Pigliapoco, Stefano. 1996. *La gestione dei documenti nelle pubbliche amministrazioni: un modello informatizzato*. Rimini: Maggioli, 6.

[15] Weber, Max. 1922. *Wirtschaft und Gesellschaft*.

[16] Menne-Haritz, Angelika. 2004. *Business processes an archival science approach to collaborative decision making, records, and knowledge management*. Dordrecht: Kluwer Academic Publishers, 16-18.

registry office were specially designed to support standardized action across distance of time and spaces.'[17]

The research is influenced by David Osborne and Ted Gaebler's reflections dated 1992, which led them to design ten principles[18] according to which to reinvent the USA's public sector thanks to the lessons learned in the private sector and the effective switchover from a bureaucratic to a managerial administration.[19] The idea of managerial effort for a cultural organisation should not be misunderstood as the commercialization of culture, namely, the transformation of the cultural product into merchandise. In fact, the focus is on the internal organisation because, like in companies and factories, there are some offices in a public institution that should be more efficient. In this perspective, a business toolkit is applied to archives.

In brief, the first chapter is based on general concepts and a literature review; it is structured in four parts with the aim to provide guidelines and the right instruments for the following chapters and the field works. Firstly, it introduces historical evidence that has

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[17] Bearman, David. 2008. "Diplomatics, Weberian Bureaucracy, and the Management of Electronic Records in Europe and America". *Archives & Social studies: a journal of interdisciplinary research. 2* (1).

[18] Osborne and Gaebler's principles are: 1. Steer rather than row to get catalytic government; 2. Empower rather than serve to get community-owned government; 3. Inject competition into service delivery to get competitive government; 4. Transform rule-driven organizations to get mission-driven government; 5. Fund outcomes, not inputs, to get results-oriented government; 6. Meet the needs of the customer, not the bureaucracy, to get customer-driven government; 7. Earn rather than spend to get enterprising government; 8. Prevent rather than cure to get anticipatory government; 9. Move from hierarchy to participation and teamwork to get decentralized government; 10. Leverage change though the market to get market-oriented government.

[19] Osborne, David, and Ted Gaebler. 1992. *Reinventing government: how the entrepreneurial spirit is transforming the public sector*. Reading, Mass: Addison-Wesley.

determined the current structure in Italian governmental archives.[20] Secondly, it enumerates the most relevant legislative references, useful to contextualise the archival subject and define its action area in Italy as part of the international setting.[21] Thirdly, a special focus on the government body of Provinces is introduced in order to allow a reflection on the decision regarding their abolition and confusion on archival competencies, which has consequently arisen in the Italian PA map. Finally, the chapter deals with the multi-faced issue of digital documentation mostly in relation to the body of law which has the aim to regulate the activity of the PA in the digital era.

3. History of the structure of government archives

The existence of archives, in government institutions alike, is strictly related to the general definition of the archive, commonly known as 'the whole of documents made and received by a juridical or physical person or organisation, in the conduct of affairs, and preserved'.[22] Since a documentary fond has been produced for ordinary administration, it grows together with the natural settling of records and is then preserved in order to build an institutional archive. In such a case, the archival institutions taken as the object of this thesis pertain to government authorities.

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[20] For a noteworthy and complete analysis of the administrative regulation history about document management in the Italian historical development see: Bucci, Oddo. 1996.

[21] For a depth analysis, but not updating, on Italian archival legislation see two volumes: Lodolini, Elio. 2005. *Legislazione sugli archivi: storia, normativa, prassi, organizzazione dell'amministrazione archivistica. Vol. 1-2*, Bologna: Pàtron. For a general overview of Italian cultural legislation see: Cassese, Sabino. 1975. "I beni culturali da Bottai a Spadolini". *Rassegna Degli Archivi Di Stato.* (1-2-3): 116-142.

[22] Definition by the School of Library, Archival and Information Studies at the University of British Columbia in Vancouver, published on ICA Multilingual Archival Terminology at http://www.ciscra.org/mat/ (accessed March 30, 2016).

National and local territorial bodies are a clear and intrinsic example of an organised society whose existence is based on the historical necessity of self-reporting activities and preserving proofs.[23] In fact, 'from the origin of the documentary system in ancient times, there has been a need to prearrange procedures which allow to identify accurately when, where, by whom and in which specific function or activities, the documents were produced or conserved'.[24] Therefore, as was remarked by Italian politician Giovanni Spadolini in 1975, the history of archives is our history and to conserve archives means to conserve ourselves.[25]

Historical studies on archives globally move from the analysis of documental conservation in the ancient world, and the first examples from ancient Greece, Egypt and the Roman Empire testify the 'links from these written archives to legal and political developments.'[26] The birth of the European modern archives is commonly acknowledged as the result of the French Revolution and the Napoleonic period. In fact, a noteworthy consequence of the historical twisting events on the public documentation is the public accessibility to archives, which had previously been closed to the citizens. Subsequent the French Revolution, with its principles of democracy and equality, 'the notion that research on archives was a civic right was increasingly recognised'

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[23] Guercio, Maria. "La gestione elettronica dei documenti e la tenuta degli archivi. Principi generali e requisiti archivistici." In Scuola superiore della pubblica amministrazione. 2002. *La gestione integrata dei documenti nelle pubbliche amministrazioni: un progetto per la definizione di linee guida e di modelli di classificazione*. Roma: Scuola superiore della pubblica amministrazione, 7.

[24] Author's translation from Italian to English by: Guercio, Maria. 2002, 7.

[25] Spadolini, Giovanni. "Prefazione alla Prima edizione." In Lodolini, Elio. 1980. *Organizzazione e legislazione archivistica italiana: dall'unità d'Italia alla costituzione del Ministero per i beni culturali ed ambientali*. Bologna: Pàtron.

[26] Michel Duchein's quotation is reported in: Shepherd, Elizabeth. 2009. *Archives and Archivists in 20th Century England*. Ashgate Publishing Group, 6. See also: Posner, Ernst. 2003. *Archives in the ancient world*. Chicago: Society of American Archivists.

in Europe.[27] This is the basis of the international success of the modern Freedom of Information Act as explained later on. In other words, the shift in the history of public archives which is contemplated as pivotal in this research, is the evolution from the mere conservation of memory to the accessibility of information by the general public.

The Italian history of public administration archives reached a key point at the threshold of the country unification in 1861 and here below some chronological steps are introduced.

Since 1853, thanks to Count of Cavour's law on the central administration system in Sardinia and Piedmont State, a new managerial model of administration was created. In the same year, some guidelines on the production, circulation and conservation of documents were also issued for the central bodies.[28] In particular, the central function of registration of deeds was stated. After the first Urbano Rattazzi's government (1862), the Piedmont legislation in force about local administration was extended to the newly annexed provinces in order to create a uniformed administrative set of rules in the young single state of the Kingdom of Italy.[29]

With the previous and following legislative measures, the basis for a unitary country was laid alongside with the setting of administrative offices and the presence of common documentary practices. This was possible, in particular, thanks to the Law no. 2248 of 22 March 1865 for Municipalities and Provinces, the 1897 Astengo's

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[27] Duchein, Michel. 1992. 'The History of European Archives and the Development of the Archival Profession in Europe', American Archivist, 55: 14–25.

[28] Law no. 1483, 23 March 1853 and related regulation no. 1611, 23 October 1853. For more details, see: Bucci, Oddo. 1996; Brunetti, Dimitri. 2016. *L'archivio comunale dall'Unità al 1897. I manuali per i segretari comunali, i modelli di classificazione e la Circolare 17100 -1 del 1885*, in Pubblicazioni degli Archivi di Stato, Saggi 112, edited by Ministero dei Beni e delle Attività Culturali e del Turismo, Direzione generale archivi.

[29] Carucci, Paola. 1994. *Il riordinamento degli archivi comunali*, in *Amministrazione e archivi comunali nel secolo XIX Atti del seminario svoltosi a Milano il 19 gennaio 1993*, Milano: Regione Lombardia, 22-23.

classification for Municipalities archives[30], and the *archival law* (Royal Decree no. 35 of 25 January 1900). The last one introduced a regulation for offices and record procedures for central administration. This set of regulations, even if still grounded on the previous Decree no. 2552 of 27 May 1875[31], contributed to providing a first definition of archival arrangement and some of the most important record instruments.[32] In addition, Italian State Archives were regulated by Royal Decree no. 445 of 9 September 1902, then revised by the Royal Decree no. 1163 of 2 October 1911. In those laws was defined that archives reported to Home Office, as detailed later on.

These milestones correspond to the basis of the Italian archival legislation, which evolved in a confusing and often nebulous way to these days. In fact, the development of legislation and management in public archives is influenced by the organisation of the public administration's structure since the birth of the Italian State. The administrative growth (characterised by the enlargement of personnel and functions which contributed to the stabilisation of archival procedures) was not an immediate consequence of the unification of the country, as happened in other European countries. In fact, in Italy, the reinforcement of the *state machine* occurred about forty years after, as a requirement of the industrial takeoff with its social and administrative needs.[33] Following the years, the frequent upset political events have determined an alternated direction of the PA, that is

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[30] About the classification issued by the senator Carlo Astengo, namely the law no. n. 17100-2 of March 1897, see below for more details.

[31] The Royal Decree no. 2552 of 27 May 1875 fixed the general set of rules for State Archives and defined the protection on archives of Municipalities and provinces by the Archival Superintendencies.

[32] Carucci, Paola, and Maria Guercio. 2011. *Manuale di archivistica*. Roma: Carocci, 205.

[33] Cfr. Melis, Guido. 1996. *Storia dell'amministrazione italiana: 1861-1993*. Bologna: Il Mulino.

known as the *spolis system*, and hereupon the impossibility to stabilize archival reforms.[34]

In the meantime, at international level, the first national legal frameworks on the management of government archives came to light with different evolutionary trajectories.[35] For example, the history of the United Kingdom – which represent the main comparative reference on which is based the research – shows very little legislation directly affecting records, except for the records of central government.[36] The Public Record Office was established in 1838 by an act which was the first piece of the UK legislation to deal specifically with records; it addressed only central legal and court records and introduced the concept of a single physical repository for public records.[37]

Another different case is the birth of Canada's Public Archives. 'Unlike their counterparts in Europe and the United States, Canadian governmental archives, national, provincial and municipal, preserve not just the official administrative records but also acquire private materials in all documentary media bearing on the history of their area.'[38] In fact, the Public Archives of this country were born as a consequence of the growing sense of national identity which drove to search and copy original documents related to Canada's history. Its intellectual origins can be traced to the establishment of the Literary and Historical Society of Quebec in 1824. Under these circumstances, the importance of preservation of national historical documents was proved and then managed by the Ministry of Agriculture. During this second phase, 1900 to the 1970s, Canadian archivists pursued the preservation of both institutional records – created by government

[34] Cfr. Melis, Guido. 2014. *Fare lo Stato per fare gli Italiani: ricerche di storia delle istituzioni dell'Italia unita*. Bologna: Il Mulino.

[35] For a deeper, International analysis and bibliography see: Lodolini, Elio. 2005. *Archivistica: principi e problemi*. Milano: F. Angeli, 319-345.

[36] Cfr. Shepherd, Elizabeth. 2009.

[37] On the history of the Public Record Office in the UK see: Shepherd, Elizabeth. 2009, 22.

[38] Wilson, Ian. 1983. "'A noble dream': the Origins of the Public Archives of Canada," *Archivaria* 15 (Winter 1982-83): 16.

bodies – and those collected from private sources, which was known as the *total archives approach*.[39]

The United States of America offers an additional international reference point, in that the first state Archival agency was not established until 1901 with Alabama, and the state archives network was eventually completed in 1978 with New York.[40] Only in 1934, the federal National Archives were established, as an agency of the executive branch of the Government, and its organization and functions were laid down in the *National Archives Act* of that year.[41]

This comparison of data let us recognise the establishment of national conservation bodies and the issue of legislation on management of government archives as occurring in a common historical period at the beginning of the contemporary age.

Going back to Italian archives, since the unification of the Italian State, the preservation and transmission of documentary memory acquired by ancient regimes had been assigned to state bodies uniformly organised and centralised. After the 1870 Cibrario Commission's works on the choice of the minister to be entrusted with the archival administration, Royal Decree no. 1852 of 5 March 1874 defined the responsibilities of archives under the authority of the Home Office for their characteristics to ensure legal certainty, rather than historical truth.[42] Only in 1975, after the establishment of the Ministry

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[39] Shepherd, Elizabeth. 2009, 13.

[40] Some references on American outline about government archives could be found in: Shepherd, Elizabeth. 2009; VanTyne, Claude Halstead, and Waldo Gifford Leland. 1904. *Guide to the archives of the Government of the United States in Washington*. Washington: Carnegie Inst.

[41] Posner, Ernst. 1939. *Archival administration in the United States*, in Posner, Ernst, Kenneth Munden, and Angelika Menne-Haritz. 2006. *Archives and the public interest*. Chicago: Society of American Archivists.

[42] For the function more political and juridical than cultural see: Cassese, Sabino. 1975; Giuva, Linda, Stefano Vitali, and Zanni Rosiello, Isabella. 2007. *Il potere degli archivi: usi del passato e difesa dei diritti nella societa` contemporanea*. Rome: Mondadori, 7-8; Zanni Rosiello, Isabella. 2005. *Gli archivi tra passato e presente*. Bologna: Il Mulino, 9.

of Cultural Heritage[43], the archival sector was moved to the new Ministry, whereas the competence to authorise the consultation of confidential archival documents still belonged to the Home Office. The division of competencies between two ministries represents an anomaly in the legislation because it means that a Ministry could give more guarantees of privacy than other bodies.[44] With these bases, archives are the only cultural object that is ruled by two ministers.

The new Italian State, at the time of its constitution, was mainly devoted to state documentation and only marginally to the management of Municipalities and other local bodies' archives.[45] In this context, the closure of offices called *Cancellerie del Censo*[46], designated to administer public archives, played a negative role. As of 1856 only Municipalities where those Chancelleries were located had archival structures steady enough to store archives of neighboring municipalities.[47] The abolition of these traditional institutions caused a real *archival diaspora*, which involved several public offices often without any archival knowledge, because, under the previous system, they only had the duty to transfer closed documentation to *Cancellerie del Censo*.

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[43] The Italian Ministry of Cultural Heritage was established accordingly with the decree no. 657 of 14 December 1974, passed into law no. 5 of 29 January 1975, known as "Legge Spadolini". For more details see the following section of the chapter.

[44] Lodolini, Elio. 2003. *Gli archivi nel T.U. sui beni culturali e in altre recenti norme: una legislazione tutta da rivedere.* In Rivista trimestrale di diritto pubblico: 463-497, 468.

[45] Antoniella, Augusto, *Gli archivi comunali toscani dall'abbandono alla valorizzazione* in Brogi, Marina. 1989. *Il lavoro negli archivi: Giornata di Studio, 9 dicembre 1988, Il Ciocco, Castelvecchio Pascoli*: 53-54, 52.

[46] On the history of this body see *Guida Generale degliArchivi di Stato* available on-line at http://guidagenerale.maas.ccr.it/ (accessed April 27, 2016). A clear explanation of the *diaspora* is stated by Augusto Antoniella in Brogi, Marina. 1989.

[47] Antoniella, Augusto, *Gli archivi comunali toscani dall'abbandono alla valorizzazione* in Brogi, Marina. 1989, 53.

Hence, with the birth of State Archives in Italy, the documentation of ancient regimes was transferred to new institutions, with some exceptions.[48] In fact, State Archives were established in each provincial capital with the institutional aim to preserve archives of ancient regimes, documents created by judicial and administrative bodies of the State which are not relevant for the current activity, and archives or documents owned by the State or consigned to it by law. In this way, the other government bodies, that are public local authorities as Municipalities, Provinces, Regions and Metropolitan cities (the last ones are bodies of relatively recent establishment in the Italian administrative and geographical system), institutionally preserve their documentation by themselves and generally since their establishment. Furthermore, Municipalities express the territorial authorities with more ancient origins, thus with a longer, often uninterrupted life, although some of their functions and general configuration have changed over time.[49] This predisposition to the *unbroken custody* for the local administration is an added value to the importance of these bodies in the link between preservation of memory and its accessibility to the public as it is investigated in this thesis. This statement is internationally accepted: municipalities as representatives of the whole community would be creators and keepers of records, as well as they should ensure legal rights for all citizens.[50]

In summary, the Italian archival map is really complex due to different geographical and political backgrounds. The management of

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[48] For more details on the documentation of Italian ancient governments see: D'Angiolini, Piero, and Claudio Pavone. 1981. *Guida generale degli archivi di Stato italiani*. Roma: Ministero per i beni culturali e ambientali, Ufficio centrale per i beni archivistici,

available online at http://www.guidagenerurealearchivistato.beniculturali.it/ (accessed April 27, 2016).

[49] Carucci, Paola, and Maria Guercio. 2011, 45.

[50] 'Bibliographic Essay' in O'Toole, James M., and R.J. Cox. 2006. *Understanding Archives and Manuscripts*,Chicago: Society of American Archivists.

this inheritance causes difficulty understanding transfers of properties and a multiplication of operating costs. This contradictory reality is clear for government archives: their existence is obvious but, in order to perceive their organisation, a deductive analysis starting to the history of institutions as well as national and local legislation is necessary.

In general, according to law, the archives of public local authorities conserve their own documentation. However, quite a lot of public administration agreed to deposit their series to other centers of archival conservation, like State Archives.[51] Conversely, public institutions often preserve documentation made by other bodies, as a consequence of donations or skill transfers. Furthermore, some public bodies could be appointed to store other archives by a ministerial order. This is the case of archives alienated for money on which the State – in the authority of the Ministry of Cultural Heritage – could have the faculty to acquire the asset with the pre-emptive right. Nevertheless, the Ministry could also resign its right by transferring it to the territorial public bodies – of the area in which the documentation is kept.[52]

This irregular and varied configuration of the patrimony owned by each public local archive is due to the fact that 'the government control on documentation not produced or owned by the State, such as archives of public local authorities, was weaker and more intermittent for a long period of time.'[53]

Besides, the Italian administration was not static on the nineteenth-century pyramid system but was characterised by multiple systems with various organisation models. The traditional government monopoly has been soon replaced by widespread and articulated institutional pluralism. In fact, during the first decade of the 20th century, the number of public authorities significantly increased. The historiography that took this topic into account has talked of a real

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[51] This deposit is allowed according to art. no. 44 of 2004 Code.

[52] This case is regulated according to articles no. 61-62 of 2004 Code.

[53] Author's translation from Italian to English by: Zanni Rosiello, Isabella. 2005, 9.

escape from the State with the consequent creation of a *parallel administration*.[54]

The roots of this configuration had traced to the outset of the structure of the State and its administration.[55] At the beginning of the Italian unification, the PA was influenced by politics and its staff came largely from the aristocracy. The organisational model focused on the supervision activity instead of management one, mainly because only a few sectors (e.g. railways and telegraphs) could measure their activity in economic terms. This approach requested a vertical and pyramidal structure but at the beginning of the Twentieth century, the lack of an efficient and simple structure, financial autonomy and properly trained staff was evident.[56] These shortcomings could be observed even nowadays. The State governs centrally thanks to the administrations in the outskirts but the drawbacks are, back then as today, due to the obstacle of the apparatus.[57] The effect was a driving force toward bodies with public law and, after the wars, State-owned companies with a public aim but entrepreneurial criteria.

Having said that, it is possible to find documents in Italy with a *public* feature in peripheral bodies and State-owned companies. As stated previously, the complexity of the archival map is due to the fact that 'archives reflect in each aspect the complexity of society, of its past, present and future.'[58] Furthermore, another point which influenced the archival physiognomy between State Archives and other government bodies is the historians' interests. In fact, only in the 1990s historiography began to show a growing interest in the use of documentation not produced by the State.[59] Through this process, a qualification of *high studies* was created also for researchers on sources

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[54] Zanni Rosiello, Isabella. 2005, 5.

[55] Melis, Guido. 1985. "Amministrazione e mediazione degli interessi: le origini delle amministrazioni parallele." In *L'Amministrazione nella storia moderna*, Milano: Giuffrè: 1429-1511

[56] Melis, Guido. 1985, 1458.

[57] Melis, Guido. 1985, 1464.

[58] Zanni Rosiello, Isabella. 2005, 5.

[59] Zanni Rosiello, Isabella. 2005, 73.

available in archives of public local authorities. Between Italian archivists, Augusto Antoniella had one of the pioneering contributions on the application of managerial point of view on archives of public local authorities. Thirty years ago, he remarked on the 'underestimation of the importance of historical archives in public local authorities by administrative institutions, including the same bodies' owners and archivists.'[60]

The interest in public archives has two main reasons: a) the certainty of rights which should be guaranteed to every citizen thanks to the conservation of deeds that could contribute to this certainty; b) requirements of historical and scientific culture should be satisfied also thanks to their documentation.[61] Consequently, a citizens' right to know about and use the documentation will follow and bear a reference to them in order to defend their interests; and in the same way a right to study the old documentation with a research aim. Therefore, the study on public archives should be interpreted as a requirement of the human spirit.[62]

Following the above historical framework, it would be helpful to have an overview of the archival structure in a public body.

As usual, the life of a public archive goes through the three classic phases: current, semi-current and historical. The difference between current and semi-current archives was introduced by municipality and province rules and the first dispositions were issued by the second half of the 19th century. The well known *Italian model* is based on the archive as a whole entity and on the principle of the strict keeping of the original arrangement of documents, from the current phase to the historical one.[63]

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[60] Author's translation from Italian to English by: Antoniella, August. *Gli archivi comunali toscani dall'abbandono alla valorizzazione* in Brogi, Marina. 1989.

[61] Sandri, Leopoldo, 1958, 411.

[62] Sandri, Leopoldo, 1958, 411.

[63] Guercio, Maria. 2002, 13.

For the Italian law, it is important to highlight that not only a historical archive is a cultural asset and thus, subject to a specific regulation by the State. Conversely, as defined by the art. 10 of Italian Code of Cultural Heritage, 'archives and single documents of the State, the Regions, other territorial government bodies, as well as of any other government body and institute' have the title of *cultural objects*.[64] Consequently, the legislator expands on the duties of *Cultural Heritage* status on each specific phase of archival organisation: current, semi-current, and historical. The ambiguity could be solved with the interpretation for which both cores – practical/administrative and historical/cultural – are intrinsic in every archival documentation from their birth. Therefore, current archives have the peculiar status of *Cultural Heritage* but only potentially.[65] In fact, the elapsed time and the discard activities guarantee the determination and recognition of archive characteristics in the historical phase, clearly part of the Cultural Heritage concept.

In support of citizen's rights, archives – as Cultural Heritage – have the nature of *collective goods* or *public goods*, and for this reason, are managed by the public authority with the aim to guarantee their free and widespread accessibility. The cultural sector is always included in the public scope for different motivations. Firstly, for the citizens' right to access the patrimony under the best conditions; secondly, for their force to monitor those assets and preserve the cultural heritage for future generations.[66] Thanks to the study of the history of the Ministry of Cultural Heritage – which will be detailed later on – it is possible to recognise the historical motivation for the concentration of public responsibilities inside national cultural assets and this is true even nowadays. In fact, stress is laid on the state hegemony that controls

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[64] Italian Code of Cultural Heritage, art. 10, c. 2, lett. b – 'Gli archivi e i singoli documenti dello Stato, delle regioni, degli altri enti pubblici territoriali, nonché di ogni altro ente ed istituto pubblico'. For more details see: Guercio, Maria. 2002.

[65] On the ambiguity see: Carucci, Paola, and Maria Guercio. 2011, 35, 45.

[66] Imperiale, Francesca. 2006. *Processi di valorizzazione del patrimonio culturale e sviluppo aziendale*. Bari: Cacucci, 20.

cultural patrimony with the aim to protect it, before whatever other activity like promotion, enjoyment, enhancement and innovation.[67] These circumstances have conditioned also the management of financial resources for the cultural patrimony which is centralised at a national level.

On the legislative level, according to the article no. 53 of the Italian Code of Cultural Heritage, governmental archives have State-owned status. Indeed, archives are part of the State property administration, also according to the article no. 822 of the Civil Code of 1942, together with museums, art galleries and libraries owned by public local authorities. Precisely, it is possible to distinguish between governmental archives in two sections according to the current organisation of rules in the Ministry of Cultural Heritage: State Archives and archives of public local authorities.
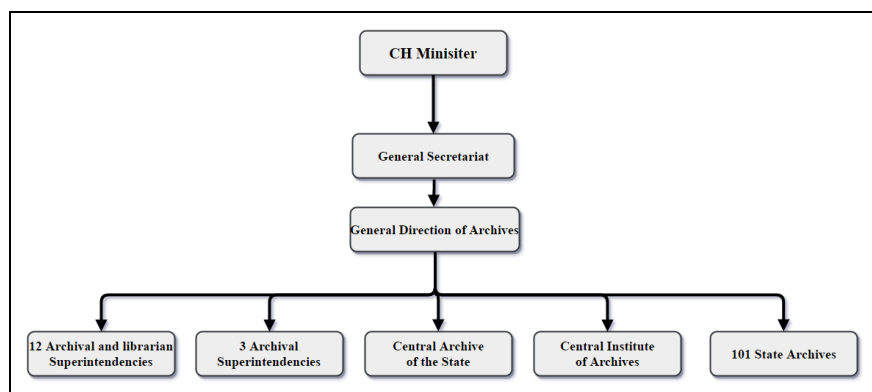
Table 1. Section of 2017 organisational chart of the Italian Ministry of Cultural Heritage.[68]

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[67] Merlo, Anna. *Gli assetti istituzionali* in Carù, Antonella, and Severino Salvemini, *Management delle istituzioni artistiche culturali*, Milano: Egea, 2012, 201.

[68] Data extracted by 2017 organizational chart of the Italian Ministry of Cultural Heritage available at http://www.beniculturali.it/ (accessed October 9, 2017). It is recommended to see the update structure on the website because it is subject to frequent changes.

As shown in table 1, the State Archives are directly subject to the General Secretariat, whereas the others are supervised by the local Superintendencies which depend on the same Secretariat.

Specifically, there are some differences at the operative level. On the one hand, the monitoring activity on state documentation is carried out by the Monitoring Commissions (in Italian: *Commissioni di sorveglianza*) which supervised records management and discard dispositions.[69] On the other hand, the Superintendencies's primary task is to supervise and protect (in Italian: *vigilare* and *tutelare*) archives of public local authorities and other local authorities, archives and single documents owned by privates with particular cultural interest and bibliographical object not owned by the State, which is located in the covered territory.

The protection activity is based on an essential instrument: the catalogue. In fact, no institution could guarantee a conservation program if it does not have an up-to-date list of objects under its control. About the cataloguing procedure, the national archival situation is marked by a 'pathological process of fragmentation and scattering of initiatives.'[70] This is mainly due to the spread presence of little-known archives owned by privates and different institutions. Whereas, it is possible to gain a clearer view of government archives. State Archives were enumerated in *Guida Generale degli Archivi di Stato*[71]

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[69] The monitoring commissions was established by D.P.R. 1409/1963 and are currently ruled by D.P.R. 377/2001 and following updates. For more details on members constituting the group see: http://acs.beniculturali.it/attivita/ (accessed August 2, 2017) and art. no. 41 of 2004 Code.

[70] Guercio, Maria. 2008. *Dalle reti virtuali di archivi alle reti istituzionali, ovvero dalle reti casuali al governo coordinato di architetture complesse*, in Archivi & Computer, Pisa: Titivillus edizioni, 1.

[71] On the prestigious editorial work see: *Guida Generale degli Archivi di Stato italiani*, cit. For the thoretical analysis see: Pavone, Claudio, and Piero D'Angiolini, *La guida Generale degli Archivi di Stato italiani: un'esperienza in corso*, in Zanni Rosiello, Isabella. 2004. *Intorno agli archivisti e alle istituzioni. Scritti di*

and registered online on *Sistema Informativo degli archivi di Stato SIAS*[72]. In contrast, the archives of public local authorities are registered on a parallel system called *Sistema Unificato delle Soprintendenze Archivistiche SIUSA*. This is a network with the aim to census those private or public archives that are supervised by the Superintendencies.[73] This complex web project started in 1990 with a network previously called *Anagrafe informatizzata degli archivi Italiani*, which was the first Italian initiative in this field but never really completed.[74] Nowadays, since December 2011, both virtual networks have unified access thanks to *Sistema Archivistico Nazionale SAN* platform, which is managed by the *Istituto Centrale per gli Archivi*.[75]

This brief introduction on the general organisation of Italian government archives is the first step towards understanding the context of the dissertation. The advanced section deals in-depth with the reference legislative framework.

The crucial moment in the management of government archives which was introduced in the historical outline and will be connected with the following legislative explanation is the changing of the

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Claudio Pavone, Roma: Ministero per i Beni e le Attività culturali, Direzione generale per gli archivi; and Carucci, Paola, and Maria Guercio. 2011, 125-136.

[72] Cfr. http://www.archivi-sias.it/ (accessed April 20, 2016) and the document edit by Pierluigi Feliciati and available as document on http://www.regione.veneto.it/static/www/cultura/Feliciati.ppt (accessed September 4, 2017).

[73]For more information on the project see: Bondielli, Daniela. 2002. *SIUSA - Sistema Informativo Unificato per le Soprintendenze Archivistiche: genesi e sviluppi di un progetto*. Pisa: Scuola Normale Superiore available as document   at http://siusa.archivi.beniculturali.it/documenti/SIUSA_Genesi_e_sviluppi_di_un _progetto.pdf; http://siusa.archivi.beniculturali.it/ (accessed September 19, 2015).

[74] For more details on *Anagrafe* Project see: *Riprogettare Anagrafe elementi per un nuovo sistema archivistico nazionale* (2000), in *Rassegna degli Archivi di Stato*, LX/2, 373-454.

[75] http://san.beniculturali.it/ (accessed January 9, 2017).

Ministry in charge of the management of archives in the 1970's. The understanding of this turning point is fundamental in order to contextualise the following research which covers both two souls of archives: the administrative and the cultural one. In fact, the analysis of the current organisation of government archives exceeds the distinction in terminology between *access* to records and *consultation* (in Italian: *consultazione*) of historical documents. Therefore, the next section will give the legislative background in order to deal with the civic right of access to current archives of PA and the dispositions which guarantee the accessibility to historical archives for research aims. In this way, the analysis will focus on the weakness and strengths in the archive management as the result of the changing in the ministerial direction.

4. The archival legislation

Although since the late 1990s a discussion has been generated about some supranational archival principles between European Countries and the rest of the World, as of today there is no shared archival legislation.[76] On this topic, the International Council on Archives (hereinafter ICA), founded in 1948[77], works in cooperation and with the aim to spread information on different national practices and managerial systems; particularly, thanks to the activities of its

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[76] On these shared principles was held the International conference on 1998, as reported in: Vivoli, Carlo. *L'accesso agli archivi: a proposito di un recente convegno internazionale* in Borgioli, Maura, and Francesca Klein. 1999. *Democrazia in rete o "gramde fratello"?: l'acceso agli archivi e la salvaguardia della riservatezza nelle fonti contemporanee : atti del convegno, Firenze, 27 novembre 1997*. Firenze: Leo S. Olschki: 29-38.

[77] ICA predecessors were 1910 International Congress in Brussels; 1929 International Commission for Historical Science which set up an Archives Commission; 1931 Committee for Intellectual Cooperation IICI (forerunner of UNESCO), which set up an Archivists Committee. In 1948, as a result of damages caused to archives during the Second World War, a group of archive experts was invited to Paris by UNESCO and then they decided to establish the ICA.

Section for Local, Municipal and Territorial Archives, which was established in 1988.[78]

In this perspective, a relevant contribution towards harmonising archival legislation was UNESCO's publication of the *Draft model law on archives*[79] proposed in partnership with ICA, with the aim to be suitable for different countries at varying stages of development. It was elaborated in 1972 by Salvatore Carbone and Roul Guêze, coincidentally two Italian archivists, both from the Central Archive of the State in Rome. Although this work was closely based on Latin - specifically Italian - archival legislation, it could offer a guideline for countries where a specific regulation is absent.

In 1985, UNESCO published a *Records and Archives Management Programme RAMP study* on archival and records management legislation prepared by Dutch professor Eric Ketelaar with the intention to assist information policy and planning specialists and those involved in proposing, drafting and reviewing archive legislation and regulations. It was based upon a compared analysis of groups of legislation and regulations current at that time in nearly 120 countries.[80]

In 1993 the advent of the European single market under the Maastricht Treaty of the European Union provided a transition from a community of member states to a closer union. [81] In relation to this new bond, an EU Experts Group on archives was formed in 1991 in order to sift through areas of coordination on different archival aspects:

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[78] For more details see: http://www.ica.org/en/about-local-municipal-and-territorial-archives-slmt (accessed May 5, 2016).

[79] Carbone, Salvatore, and Raoul Guêze. 1972. *Draft model law on archives: description and text*. Paris: Unesco.

[80] Association of Commonwealth Archivists and Records Managers, and Dagmar Parer. 2001. *Archival legislation for Commonwealth countries*. London: ACARM, 4.

[81] Cfr. Shepherd, Elizabeth. 2006. "Archives," in Bowman, J.H. 2006. British Librarianship and Information Work 1991-2000. Flor-ence: Taylor and Francis, 263; European Commission. 1994. *Archives in the European Union: report of the Group of Experts on the Coordination of Archives*. Luxembourg: Office for Official Publications of the European Communities.

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appraisal, conservation, access to traditional archives and digital records, as well as legislation and development of professional networks. The EU experts penned a report with some general recommendations which reflected 'the position of national archives more than the rest of profession.' [82] However, the international collaboration carries on, especially thanks to the birth of projects and researchers groups in the area of digital records: like for example, the InterPARES initiative led by the University of British Columbia (1999) and ICARUS research centre at University College of London (2005). Furthermore, a crucial step in the history of the international legislation was the issue of the ICA Code of Ethics in 1996.

UNESCO and ICA have been concerned with archival legislation for a number of years; in addition, ICA has devoted four volumes of its review *Archivum* (those for 1967-1971) to the publication of international archival legislation.[83] When analysing the pros and cons of a supranational law it is important to realise, how clarified in a 2005 EU report, 'that the varied history, legal tradition and experience in different countries, even between the countries of Europe with a common western tradition, have created differences in the content, interpretations and applications of archival and related legislation.'[84]

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[82] Shepherd, Elizabeth, 2009, 53.

[83] Cfr. Eric Ketelaar's report on Archival and records management legislation and regulations available at http://www.unesco.org/ (accessed May 16, 2016).

[84] Commission of the European Communities. 2005. *Report on archives in the enlarged European Union opportunities for future action: priorities: report from the Commission*. Luxembourg: Office for Official Publications of the European Communities. The 2005 EU report mentioned had the aim to harmonized management of document series and electronic files emanating from different institutions and organs, in occasion of the enlarging of the Union occurred in 2005 with the increment of Member States from 15 to 25. The European Commission proposed some guidelines with the aim to ensure increased institutional and professional cooperation and coordination on archives.

The above-mentioned 2005 EU report featured an analysis of the archival system in the twenty-five EU Member States at that time.[85] In 2005 the Ministry of Culture was responsible for State Archives in the majority of Countries (fourteen: Denmark; France; Germany; Hungary; Ireland; Italy; Latvia; Luxembourg; the Netherlands[86]; Poland; Portugal; Slovenia; Spain; Sweden). In the other countries, State Archives were managed by the Prime Minister (Austria; Estonia; Lithuania), Minister of Education (Finland; Greece; Malta); Minister of Interior (Czech Republic; Slovak Republic), Minister of Justice (Cyprus; UK[87]) or in a single case (Belgium) by the Minister of Science Policy. The case of the UK is peculiar because in 2005 the archives of the UK Government and of England and Wales were under the Lord Chancellor's Department (Ministry of Justice), those of Northern Ireland were under the Ministry of Culture, Arts and Leisure, those for Scotland under the Office of the First Minister. After ten years, as detailed in the following chapter on the pilot study, the UK National Archives' parent department changed from the Ministry of Justice to the Department for Culture, Media and Sport.[88] Finally, according to a 2016 referendum vote, *Brexit* was announced, namely the United Kingdom's planned withdrawal from

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[85] At pages 38 and 39 of the above-mentioned EU report there are two tables with the aim to illustrate the differences between positions occupied by the National Archives service in each Member State and in their governmental structures. The analysis of these charts is useful for this research in order to acquire a photography of the organisation of government archives inside the structure of different countries which have in common to be part of the European Union. However, a mistake is important to underline: the documentation of Italian premiership is preserved by the Central Archive of the State.

[86] In the case of the Netherlands, the Ministry of Culture is also that of education.

[87] In the case of the UK, the archives of the UK Government and of England and Wales are under the Lord Chancellor's Department (Ministry of Justice), those of Northern Ireland are under the Ministry of Culture, Arts and Leisure, those for Scotland under the Office of the first Minister.

[88] This government change happened on 17th September 2015.

the European Union; consequently, this country will not be included in a future European report.

These international references testify to the delayed attention on archives about the definition of their universal dimension as a cultural asset. The key to overcoming the deadlock could be a research on the democratic requirement of cultural heritage and, in particular for archives, the right to accessibility on documents for each citizen. From the author's standpoint, the group of legislation of Freedom of Information Act which is spreading nowadays in different countries could be the basis for the meeting point for a supranational legislation on archival accessibility. For these reasons, a special focus on this topic will deal with Process and Services in the fourth chapter.

After a brief international background, to try to retrace all the historical phases of the development of the Italian archival legislation would be arduous and lead to a long digression. Thus, fundamental steps are examined in order to learn about the intrinsic motivation of the current regulatory framework in our country, especially related to government archives.[89]

First of all, a legislative contextualization of the term *management*, in a CH context, could be the definition expressed by art no. 148, co. no. 1, letter. d, of D.lgs. 112/1998: it is every direct activity carried out through the organisation of people and material resources, with the aim to ensure the access of cultural and environmental heritage, contributing to their protection and enhancement.

In the particular case of State Archives, those are managed and regulated even today with legislation issued back at the time of the Kingdom of Italy. In 1874 some norms were released about their

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[89] For a useful list of current archival legislation in Italy see the website of the Italian Association ANAI http://www.anai.org/ (accessed May 20, 2016). For a clear overview on legislation for documents of PA see: Carucci, Paola, and Maria Guercio. 2011, chapter 15.

structures[90] and in 1911 the current regulations act, **Royal Decree no. 1163 of 2 October 1911**, was ratified.

For the documentation of central administrations, the Central Archive of the State (in Italian: *Archivio Centrale dello Stato ACS*) was formally born in 1953 with the law no. 340.[91] This institution stems from the archive of the reign, which was established by Royal Decree no. 2552 of 27 May 1875 with the aim to preserve originals of laws and documents produced by central administrations after the 1861 unification.[92] The rules of 25 January 1900 defined the deposit into the archive of the reign of closed documentation preceding the last ten years and then, in 1933, the term was moved up to only five years. However, the turning point in the arrangement of this institution was the 1943 year, precisely the days immediately after the fall of Mussolini, when the archive director Emilio Re understood the importance to preserve documentation of the Fascist regime for the contemporary history. The events aimed to recover the archives of Mussolini's dictatorship represent the peculiarity of the Italian archival system and the core of the Central Archive of the State itself, for its function to preserve contemporary sources. The archive worked in practice with

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[90] The Royal Decree no. 1852 of 5 March 1874 about the Ministry in charge on archives and the Royal Decree no. 1861 of 26 March 1874 about the institution of the *Consiglio per gli archivi* and Superintendencies.

[91] About the central administration and its documental classification see: Attanasio, Agostino. 2014. *1943-1953 : la ricostruzione della storia.* Roma Ministero dei Beni e delle Attivita Culturali e del Turismo, Direzione Generale per gli Archivi, Archivio Centrale dello Stato; Grossi, Monica. *La classificazione come strumento per la gestione documentale nella pubblica amministrazione del Regno d'Italia*, in Aga-Rossi, Elena, and Maria Guercio. 2001. *La metodologia per la definizione di piani di classificazione in ambiente digitale*, available as document at http://www.lettere.uniroma1.it/sites/default/files/428/MetodologiaClassificazio neSSPA_0.pdf (accessed January 9, 2017).

[92] Remarkably, some Italian bodies has the permit do not deposit their documentation in the Central Archive of the State but to create a own archive: *Senato della Repubblica, Camera dei deputati, Presidenza della Repubblica, Corte costituzionale, Ministero affari esteri, uffici degli Stati maggiori dell'esercito, della marina, dell'aeronautica e dell'Arma dei carabinieri.*

the same management and place of the State Archive of Rome until 1953, when it was separated into the current Central Archive and it became an independent entity. Then, the ACS was opened to the public in 1960 at the current headquarters at Roman EUR district.

For Italian archives of public local authorities, the first fundamental law was **D.P.R. no. 1409 of 30 September 1963**, which represented the reference policy document and regulated Italian archival patrimony for a long period of time, more than thirty years, with just a few little changes. This law ruled preservers located on the territory of our country and showed precise distinctions between conservative activities on State Archives and supervision activities on the archives of public authorities or private ones. Furthermore, the 1963 law established the General Direction of Archives.

According to the 1963 archival law, issued before the actualization of the Regional regulation[93], the historical archives of Regions (at that moment only *envisaged* because the current regional archives were established in the 1970s) – with a special status or ordinary one – were assimilated into the organisation of public authorities. Therefore the arrangement of a separate section for archives of public local authorities was defined as a historical archive managed by a specialised archivist.[94] Furthermore, these bodies should be supervised by Archival Superintendencies, then as now.[95]

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[93] The activities of Regions with ordinary status started in 1970, when first elections of regional councils were held. First limited transfers of functions dates back to 1972, a second, more extended, to 1976-77.

[94] Art. 30 of the D.P.R. 1409/1963, abrogated by art. 166 of the D.lgs. no. 490 of 29 October 1999, which, in turn, is abrogated by the Italian Code of the Cultural Heritage D.lgs. 42/2004.

[95] Art. 21 of the Code of Cultural Heritage establish at the fourth paragraph that 'the execution of work of any kind on cultural properties is subject to authorisation by the superintendent'; art. 30 at the fourth paragraph define the duty for archive supervised to arrange and write inventories, for with - in art. 31 - it is necessary a superintendent's authorization. About the explanation of changed title of Italian Superintendencies, see below.

The modification of the Italian State, established by the 2001 reform of the Fifth Title of the Constitution of the Italian Republic, has deeply affected the bureaucratic procedures of the previous State with a centralised and hierarchically organisational structure. As a consequence of the increasing functions appointed to Regions and the expansion of autonomy areas of Municipalities and Provinces, strong decentralisation took place.[96] This administrative turning point had effects on functions and consequently of the production and preservation of government documents. The administrative functions were ascribed preferably to Municipalities and in an alternative way to higher levels (Provinces, Region and finally the State). Specifically, the State was assigned the protection of CH, environment and ecosystem whilst Regions had a concurrent legislative competence with regard to enhancement of CH and environment, promotion and administrative coordination of cultural activities (art. 117 of Italian Constitution, lett. *s*).

The gradual increase of autonomy with archival responsibilities has led to the overcoming of the centralism model that has characterised the Italian system since after the political unification. Furthermore, it involves different skills owned by Regions as well as Archival Superintendencies, causing considerable extra work for these last offices already struggling to handle daily activities.[97]

The 1963 law was mainly related to archival administrative functions and, for this reason, archives were managed by the Home Office. Afterwards, archives began to be recognised as Cultural Heritage because they are assets that represent the material testimony of civilisation value. One first proof of their cultural essence was the quotation of archival objects in the cultural heritage category in the 1970 UNESCO Convention on the *Means of Prohibiting and Preventing*

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[96] For more details on Archives of Regions see: Carucci, Paola, and Maria Guercio. 2011, 35-37.

[97] Valacchi, Federico. 2006. *La memoria integrata nell'era digitale: continuità archivistica e innovazione tecnologica*. San Miniato (PI): Archilab, 99.

the Illicit Import, Export and Transfer of Ownership of Cultural Property.[98] On the other hand, the same archival definition was written in the 1995 UNIDROIT *Convention on stolen or illegally exported cultural objects*.[99] Moreover, archives as cultural assets were the object of European Union laws: Council Regulation (EEC) n. 3911/92 of 9 December 1992 on the *Export of cultural goods* and Council Directive no. 93/7/ECC of 15 March 1993 on the *Return of cultural objects unlawfully removed from the territory of a Member State.*

In that cultural milieu, a parliamentary group was set up in Italy in 1964, known by the name of its President Francesco Franceschini: the *Commissione Franceschini*. It was established to perform a census of the cultural assets existing in our country at that time. After two years of work, the conclusion of this venture was composed by an important part devoted to archives[100] and claimed the justification on which was based the admission of the archival sector to a future Cultural Ministry. The analysis of work elaborated by *Commissione Franceschini* is useful to understand how their focus was especially on the concept of cultural objects[101], in which the category of archival documentation was included, without any references to their institutions.[102] Such evidence

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[98] The UNESCO convention issued in Paris on 14 November 1970, quotes archives on art. 1, letter. j: 'archives, including sound, photographic and cinematographic archives.'

[99] The UNIDROIT convention issued in Rome on 24 June 1995, quotes archives on letter j. in the annex.

[100] See: Commissione d'indagine per la tutela e la valorizzazione del patrimonio storico, archeologico, artistico e del paesaggio. 1967 and in particular: Vol. I - Part I Commission Report, especially the Title V – On archival assets (pages 82-87, vol. I); Part. II Survey of commission's work groups, especially the report on archival heritage. Vol. II – Part. I Commission's meetings, especially with librarians and archivists; Part. II questions evaluate by the commission, especially about the archival problems.

[101] The first discussion of cultural heritage in Italy is oriented on material objects and only afterward was introduced intangible element.

[102] Casini, Lorenzo. 2007. *Archivi e biblioteche: memorie del passato dall'incerto futuro*, in «Giornale di diritto amministrativo», 9, Milano: Ipsoa, 1029.

underlines the general low visibility of archives as institutions in the juridical science.[103] This situation was also the cause of the little consideration and spreads misunderstanding about the archive office as a cultural place.

Thanks to *Commissione Franceschini*'s reflections, the competent authority in archives changed and became the Ministry responsible for cultural and environmental assets (in Italian: *Ministero per i beni culturali e l'ambiente*), after its birth in 1974.[104] The shift of archives to the new ministry mainly depended on two circumstances: the will to entrust only one direction with the management of all kind of cultural objects and the loss by the Home Office of the characteristics of general administration of the State, after the establishment of Regions with ordinary status.[105]

In spite of the importance of a new, sole ministry, the legislation on the use of cultural objects did not bear any substantial innovations.[106] In fact, despite the discussion on Cultural assets, patrimony was regulated with previous laws, dated 1939 and 1963 until a systematic legislation in 1999 and then the 2004 Code. However, on the one hand, the 1999 consolidated law for all kinds of cultural objects

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[103] About the quotation of archive as institution in the law see the art. no. 101 of the Code of the Cultural Heritage where is defined an archive among cultural institutions and places. According to Casini, this is a positive element regarding the previous *Testo unico* of 1999 in which were mentioned only museums.

[104] The nomenclature of the Ministry was subject to various amendments. First of all, the D.lgs. no. 368 of 20 October 1998 has established the *Ministero per i beni e le attività culturali* adsorbing the skills of previous ministry, also for archives. Finally, in 2013, consequently to a new area of expertise in tourism, it was named *Ministero dei Beni e delle Attività Culturali e del Turismo*. In order to simplify the treatise a general name of Ministry of Cultural Heritage will be used.

[105] Gustapane, Enrico. 2000-2001. "Gli archivi" in *Trattato di Diritto Amministrativo. Diritto Amministrativo Speciale*, edited by Cassese, Sabino. Milano: Giuffrè: 1299-1347, 1304.

[106] Cassese, Sabino. 1975, 116.

left most of the previous regulatory texts on archives in force; on the other, the 2004 legislative corpus soon showed its shortcomings and subsequent updates would be necessary.[107]

The Ministry of Cultural Heritage was structured in a central level and a peripheral one: a concept still in force in the current design, as already shown in Table 1. The current framework of the archival sector, inside the Ministry, comprises a central and a peripheral level equally. Centrally there is a Central Direction of Archives [108], a Central Institute for Archives[109] and a Central Archive of the State in Rome; peripherally, 12 regional Archival and librarian Superintendencies, 3 Archival Superintendencies (for Regions with special status: Friuli Venezia Giulia, Sicily and Sardinia), and 101 State Archives are located in each provincial capital. Furthermore, there are 33 branches or little sections of State Archives in smaller towns that hold important archival fonds for local history.[110] The recent law DM 374/2014 has reshaped – temporarily – the distribution of some cultural peripheral institutions and has united, in three cases, the function of Archival Superintendencies with those of the State Archives in the same regional capital from 2014 to 2016. Specifically, this operation has taken place in Emilia-Romagna, Liguria and Sicily.[111] About this worrying unification of different functions, a sudden, additional change of organisation after the Superintendencies reorganisation since January 2016 is noteworthy and described in detail below.

The major important legislative outcomes for Italy were brought about by **Legislative Decree no. 42 of 22 January 2004** with which the

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[107] For subsequent updates to CH Code see: D.lgs. 156/2006 and 62/2008.

[108] The Central Direction of archives substitute the Central office of archives.

[109] The Central Institute for Archives is established by art. no. 6 of D.lgs. 368/1998 with the goal to define standards of scheduling.

[110] Cfr. Trani, Silvia. 2014. *Archival Networks in Italy*, Warsaw: Archiwa Spoleczne. The sections of State Archives depend on State Archive of the corresponding provincial capital.

[111] D.M. 374 of 27 November 2014, *Articolazione degli uffici dirigenziali di livello non generale del Ministero dei beni e delle attività culturali e del turismo*.

Code of the Cultural and Landscape Heritage has been established. The code has its foundation in articles 9 and 117 of Italian Constitution and includes archives among other public assets on which is a cultural interest *ex-lege* (art. 10 of the Code). However, some particular dispositions are devoted specifically to archives.[112]

The Italian Code of Cultural Heritage has some similarities, as well as differences, to the French *Code du patrimonie*, issued with a remarkable coincidence on the same day.[113] In fact, the French code includes two volumes – the second and the third items of the entire corpus – entirely dedicated to archives and libraries, respectively.[114] Therefore, the essential distinction is that Italy's archives had never been the direct object of a reorganization by the Ministry of Cultural Heritage until 1998.[115] Proof of this little consideration is that 51 articles out of 73 of the previous D.P.R. 1409/1963 are still in force.[116]

An outline of the legislation could be useful to point out an analysis of the development of a terminological issue since a fundamental aim of this research is to inquire into the meaning of words and objects of the treatise: *public* and *archive*. In fact, the archival law **no. 2006 of 22 December 1939** with a new set of rules for the archives of the Reign (known as *Legge Bottai* after the minister of

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[112] Archives are mentioned with other cultural objects in the article no. 10; in addition there are some articles on archives with specific clauses on archives, like: no. 41-42, 123/127.

[113] The *ordonnance* no 2004-178 of 20 February 2004 was published on *Journal officiel* no. 46 of 24 February 2004. For a comparison between the two codes see: Cassese, Sabino. 2005, *Codici e codificazioni: Italia e Francia a confronto*, in «Giornale di diritto amministrativo», 95; Casini, Lorenzo. 2005. *La codificazione del diritto dei beni culturali in Italia e in Francia*, in «Giornale di diritto amministrativo»: 98-104.

[114] Casini, Lorenzo. 2007, 1029.

[115] Exception for the disposition regarding the PA in general.

[116] Casini, Lorenzo. 2015, 2.

Education Giuseppe Bottai[117]), mentions *archives of public bodies*, although this notion was unclear and ambiguous, covering a variety of body typologies, including semi-public offices. Conversely, the 2004 Code of Cultural Heritage uses the univocal phrase 'archives of Public Administration' adopting a concept applied in general to State, Regions and local public authorities since the Nineties. Wherefore, there was no consideration that State Archives are managed autonomously and in completely different way from archives of other bodies, supervised by Archival Superintendencies.[118] In other words, we should not refer to *public archives* in the sense of offices open to the community but to *government archives*. This term defines the institutions which preserve documentation created by public local authorities and the State. Consequently for the creators' status, those archives are *public*. That is, on the one hand, because it concerns matters of public nature and, on the other hand, because there is a right of accessibility by citizens.

Archival Superintendencies, after their first establishment with R.D. no. 1949 of 31 May 1874, were re-established in 1963 using the same term but with a different meaning and represent a protection network on the territory.[119] Their scope was the supervision of archives belonging to public local authorities or private individuals, which are of particular historical interest.[120] Their area of jurisdiction, originally matching almost totally the territory of ex-national countries, was redefined by the 1963 law and corresponded more or less to the current shape, namely the regional territories. Their offices are located in the capital of each Region, with some exceptions.[121]

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[117] Bottai's group of laws, which includes also the law no. 1089 of 1 June 1939 and law no. 1497 of 29 June 1939, represented the legislation system for the protection of things with artistic, historical and landscape interest.

[118] Carucci, Paola, and Maria Guercio. 2011, 35.

[119] For a clear explanation about the historical evidence of Superintendences see: Brunetti, Dimitri. 2016.

[120] Their scope is renewed on Italian Code of the Cultural Heritage D.Lgs. 42/2004, art. 10, comma 3, let. b.

[121] The Superintendence of Valle d'Aosta works together with Piedmont office. Additionally, according to D.P.C.M. 171/2014, the Librarian and Archival

The Archival Superintendencies exercise competencies of inspection and protection of historical archives as well as – in a preventive manner, as clarified before – current and semi-current archives of public local authorities. For non-historical offices, the Superintendence's activities are devoted not only to cultural aspects but also technical-administrative ones, like managerial activities, to optimize their internal organization. The meaning of the rule of protection or conservation (in Italian: *tutela*) is equivalent not to a single action but a complexity of operations put in place in order to guarantee the availability of these CH objects for the future.[122] This plurality of activities well matches the figure of Superintendencies with a lot of responsibilities in multiple fields. However, this combination of competencies translates into practical difficulties for Superintendencies' staff in order to govern each reality. On the other hand, Superintendencies' role is often underestimated or not appreciated by the same public institutions supervised. In fact, in the people's eyes the Superintendence body has an inspection meaning but the protection rule 'should be understood not as the mere practice of constraints and a defensive post-intervention, imposed by conditions of degeneration, but as a preventative monitoring program.'[123]

To summarise, archives of public local authorities were – and are - supervised by Superintendencies which, in turn, were then under the authority of Regional Directions. This hierarchical structure of the Ministry of Cultural Heritage changed with D.P.C.M. n. 171 of 29 August 2014 when Regional Directions were abolished and, consequently, Archival Superintendencies (and State Archives)

Soprintendency of Apulia and Basilicata placed in Bari has brought together in a unique institute the competence of two previous Superintendences, the same incorporation has happened for Umbria and Marche, Veneto and Trentino-Alto Adige.

[122] Tosco, Carlo. 2014. *I beni culturali: storia, tutela e valorizzazione*. Bologna: Il mulino, 87-88.

[123] Author's translation from Italian to English by: Tosco, Carlo. 2014, 112.

returned directly under the General Direction of Archives, as highlighted in Table 1.

Recently, on 19 January 2016, a further change of name of supervision bodies in *Archival and Librarian Superintendencies* was presented with the addition of supervision on non-state bibliographic assets, that is previously managed by Regions. This reconstruction – in effect on 26 March 2016 – caused other managerial problems in the archival administration, in addition to the difficulty in recognising Superintendencies' functions and responsibilities by stakeholders. In the author's opinion, this organizational swing reflects and accentuates the weakness of both sectors rather than generating a more efficient system. In fact, Archival Superintendencies should be seen as a pivotal point in the management of archives because they are able to put into practice a close relationship between centre and periphery and between different institutions on the territory. The strategic importance of this body, which is nowadays established after some difficulties, can be jeopardised by recent rapid changes of rules which tend to underestimate their tasks and confuse their competencies. Moreover, the peculiar relationship between this body and the regional territory was underlined by the recent reform which involved all CH Ministry changing and reducing the territorial boundaries of other cultural superintendencies.

According to the article no. 30 of the Italian Code of Cultural Heritage, the State and public authorities – local or not – should guarantee the preservation and security of their assets, the arrangement of documentation and the writing inventories of historical archives. Therefore inventories, in triplicate, and their updating should be sent to the Archival Superintendence in charge and to the Home Office. The latter shall investigate the inventories with a content analysis about the presence of privacy data, referred to the article no. 125 of CH Code.

Article no. 30 specified that historical archives consist of documents relating to matters concluded over forty years ago. About this temporal specification, during 2014 a reduction of the timeline was introduced into the Italian regulation, consistent with the wishes of

French Braibant's report [124], with Decree no. 83 of 31 May 2014.[125] In this way, the state documents relating to concluded matters should be transferred to the historical section after thirty years. This amendment represents an improvement and an attempt at alignment with the main important regulations of other European countries and with the same European Commission.[126] However, it is worth to underline the unvaried Italian delay on this topic: in fact, during the previous year, in 2013, a legislative change in the UK reduced the closing period for public central records from the previous 30 years to 20. The simultaneous but different signs of progress in the UK and Italy are dedicated expressly to state documentation only and not to all kinds of public records. Furthermore, the increase of transferred documents has caused further problems in the management of repositories, and historical archival groups often remain in semi-current storages. Finally, the change in the year to transfer archives is relevant because it has not been matched by a change in access legislation. In fact, the Code set a special time to access documents with information that must be protected: 40 years for documents with sensitive data and related to

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[124] For more details see: Braibant, Guy. 1996. *Les archives en France: rapport au Premier ministre*. Paris: Documentation Française, text of the report about proposals with the aim to improve the management of public records, then governed by the French law of 3 January 1979. The author was in charge of doing this work by Édouad Balladur, the Prime minister, who was also wondered about the consequences of a 'mixed regime' that leads to entrust the same manager of Department archives to the conservation of archives of local authorities such as those of state bodies, as written in the *Lettre de mission* available at http://www.ladocumentationfrancaise.fr/rapports-publics/964093000-les-archives-en-france-rapport-au-premier-ministre#lettre_mission (accessed April 12, 2016).

[125] The Decree became law in 29 July 2014 with law no. 106. The discussion on accessibility on recent documentation started with the direction of 22 April 2014 by Prime Minister Matteo Renzi about the cancel of record seals on documents of particular tragic events.

[126] Cfr. http://ec.europa.eu/historical_archives/faq_en.htm (accessed September 10, 2017).

criminal measures, 50 years for documents related to internal or external affairs, 70 years for documents with personal data.[127]

The quotation of the French report is interesting in order to launch a comparison with the experience in archive management beyond the Alps, which is alike to the Italian one for many aspects. In fact, the French organisation is based on a prior control into ministerial archives by the *missions* of the national archives. In that context, Braibant proposed the introduction of control bodies akin to *missions* in all public local bodies. In fact, it is important to realise that France miss entity with functions comparable to the Italian Superintendencies and *Commissioni di sorveglianza*.

The analysis of legislative references is important also for the understanding of recording instruments and finding aids, which each PA archival office should possess in order to manage the current phase. Since the Napoleonic administration, a register is used in the Italian PA in order to record documents in a classification system.[128] This records system was based on a classification scheme structured in categories and, if needed, in further sub-divisions, whereby the documents of a current archive are grouped together in a logical order.[129]

At the end of the Nineteenth century the Home Office, in charge of archives since R.D. no. 1852 of 5 March 1874, established that all Italian Municipalities should refer to a univocal classification scheme quoted in norm no. 17100-2 of March 1897, known as *Circolare*

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[127] Access time have effect from the data on document.

[128] About the history of the filing systems see: Lodolini, Elio. 2005, 83-92; Fregni, Euride. 2001. *Labirinti di carta: l'archivio comunale ; organizzazione e gestione della documentazione a 100 anni dalla circolare Astengo ; atti del convegno nazionale, Modena, 28-30 gennaio 1998*. Roma: Ist. Poligrafico e Zecca dello Stato, Libr. dello Stato; Brunetti, Dimitri. 2016.

[129] Another useful definition of the protocol register is available on the Dictionary of InterPARES 2 project at http://www.interpares.org/ (accessed January 9, 2017).

Astengo.[130] On the other hand, Provinces and Regions were without a similar precise regulation and created their own, different classification lists in the meantime.

The classification scheme signed by Minister Carlo Astengo was sent to all prefects with the aim to regulate the conservation of municipalities archives and to suggest how to classify all the documents, produced and received, during their statutory activity. It was diffusely used by every municipality with just a little updating for more than a century with a bewildering lack of changes which upset also German – and American of adoption – archivist Ernest Posner in its analysis of Italian archival structures made in the 1940s.[131] Only recently, from 2004 to 2008, the Astengo classification was reviewed thanks to a workgroup coordinated by the Ministry of Cultural Heritage. The group comprised archivists and administrators of Municipalities, a representative of *Associazione Nazionale Comuni Italiani ANCI* and the University of Padua, which had the role of coordinator with professor Giorgetta Bonfiglio-Dosio and archivist Giuseppe Mesoraca. They performed the new classification model thanks to a study of the selection activity and the monitoring of existing reality.[132]

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[130] On the regulations for the municipalities archives and about the Astengo's biographical profile see: Brunetti, Dimitri. 2016. A practical guideline on the application of the manual for records management procedures in municipality archive is in Brunetti, Dimitri, and Daniela Bacino. 2001. *L'archivio comunale: manuale per la tenuta e la gestione dei beni archivistici : titolario di classificazione ; massimario di scarto ; privacy e diritto di accesso ; forma digitale, protocollo informatico e nuove tecnologie*. Rimini: Maggioli.

[131] Posner, Ernst. 1943. *The administration of current records in Italian public agencies*, in Posner, Ernst, Ken Munden, and Angelika Menne-Haritz. 2006. *Archives and the public interest*. Chicago: Society of American Archivists: 98-106, 102.

[132] For more details see: Bonfiglio-Dosio, Giorgetta. 2007. "Il titolario e gli altri strumenti di gestione degli archivi comunali". *Archivi & Computer*. 17: 70-80; report edited by Gruppo di lavoro per la formulazione di proposte e modelli per la riorganizzazione dell'archivio dei Comuni, Piano di classificazione (Titolario) per gli archivi dei Comuni italiani (seconda edizione) in 2005 availabe as document on

Offices in the PA were structured as to reflect concepts of unitary and continuity of documentation regardless of the age of affairs. In fact, Royal Decree no. 35 of 1900 *Regulations for the Records Offices in the Central Administration* (in Italian: *Regolamento per gli uffici di registratura e di archivio nelle amministrazioni centrali*) established continuity between current and semi-current archives produced by State administrations and their archives. This was affirmed according to the principles of Cibrario's Commission (1870), which had rejected the distinction between *historical* archives and *administrative* ones.[133] This principle, always asserted by the Italian archival community, was the theoretical basis for the future legislative outline. The Decree no. 35/1900, which was in the order of the archives for nearly a century, was updated by art. no. 23 of D.P.R. no. 428 of 20 October 1998, which introduced the digital register in the PA.

The Nineties brought about new attention on the archives of public administration. First of all, with **Law no. 241 of 7 August 1990** on transparent administration and access to administrative documents – detailed later on –, current archives were dealt as strategic instruments in an efficient and transparent public management. Secondly, a *revolution* in the conception of a PA archive was represented by Bassanini's **Law no. 59 of 15 March 1997** which stated that all deeds created by PA with a digital document are considered effective and relevant by law. Thirdly, a direction by the Prime Minister was issued on 28 October 1999 about the digital management of document workflow in PA.

An important legislative introduction among the instruments useful to organise a current office is the *manual for records management procedures* (in Italian: *manuale di gestione*), which is legislated by D.P.R. no. 428 of 1998, then attached to **D.P.R. no. 445 of 28 December 2000** (in Italian: *Testo Unico delle disposizioni legislative e regolamentari in materia di documentazione amministrativa*). The *manuale di gestione* is an

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https://www.regione.veneto.it/static/www/cultura/nuovotitolario.pdf (accessed January 9, 2017).

[133] Gustapane, Enrico. 2000-2001, 1302.

obligatory requirement for all the public administrations (D.P.C.M. of 31 October 2000, art. no. 5; updated by D.P.C.M. of 3 December 2013, art. no. 5) and includes rules on records creation, capture, classification, filing, appraisal, and preservation (both in paper and digital form).[134] This manual could represent the best and most complete instrument to manage an archive since its birth. In fact, it is structured in a collection of every legislation, internal procedures about the creation of a document, responsibility references, norms on accessibility, and discard dispositions. Nevertheless, after more than fifteen years, several local bodies has not yet officially approved this manual and this shortage will be deeply analysed in the following case study on the Tuscany territory. A correct development of the manual par excellence allows for many advantages in the managing of a complex reality, like hybrid archives, born-digital archives, and archives moved as a result of the transfer of the owner's functions. It is also a salient element of a quality management system according to 9000 Standards ISO (International Organization for Standardization), as detailed later on.[135] Recently, in 2017, a checklist draft for the evaluation of management manual efficacy is elaborated by a workgroup during the project ReCAP *Rete per la Conservazione e l'Accesso ai Patrimoni Digitali*. This project is sponsored by Lazio Region and coordinated by University La Sapienza.

Furthermore, D.P.R. 445/2000 establishes some instructions on the organisation and preservation of archives of public authorities. In particular, this law defines as compulsory to perform a transfer of the documents relating to concluded matters from their current office to the repositories of semi-current archives (art. no. 67) at least once a

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[134] D.P.C.M. of 31 October 2000, *Regole tecniche per il protocollo informatico di cui al decreto del Presidente della Repubblica 20 ottobre 1998, n. 428.*

[135] Cfr. Carucci, Paola, and Maria Guercio. 2011, 27 and 216. About standard ISO 9000 are available a lot of studies. It represents the technical and international instructions on Quality Management System – in Italian it is well known with the acronym SGQ (*Sistema di Gestione Qualità*) – which European enterprises and bodies should have.

year. At the same time, archivists should do correct and recurring discards, as well as culling dispositions.[136]

Documentation of historical archives of public local authorities, together with State Archives and other public offices, may be freely consulted with some restrictions and exceptions. A historical reference to the principle of *public disclose*, against *secrecy*, on archival documentation dates back to the declaration of the French National Convention in 1794.[137] In Italy, the right of access to administrative documentation was based on the Law no. 241 of 7 August of 1990, (in Italian: *Nuove norme in materia di procedimento amministrativo e di diritto di accesso ai documenti amministrativi*). It is known as the law on administrative transparency given that it introduced the citizens' right to have access to administrative records. Precisely, this right could be exercised only by those who have a direct interest in the matter (art. 22, c. 1, lett. b).[138] Exceptions to the access to archives are then outlined in articles of the Title II of the Chapter III in the current Code of Cultural Heritage. It is also possible to examine current and semi-current archives for historical purposes but each body might rule this case (art. no. 124 of the CH Code).

The topic of access to public documentation has greatly improved since 23 December 2016 when the Freedom of Information (FOI) Act entered into force in Italy after it had become a law in several

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[136] About the potentiality of discard dispositions like the activity to clean spaces but especially to qualified documents see: Carucci, Paola. 1975. "Lo scarto come elemento qualificante delle fonti per la storiografia". *Rassegna Degli Archivi Di Stato.* (1-2-3): 250-264.

[137] For an analysis of the historical evidences of current structures and archival legislations see: Zanni Rosiello, Isabella. 2005. *Gli archivi tra passato e presente*. Bologna: Il Mulino.

[138] The art. 22, c. 1, lett. B of the law no. 241 of 7 August of 1990 quotes: 'un interesse diretto, concreto e attuale, corrispondente ad una situazione giuridicamente tutelata e collegata al documento al quale è chiesto l'accesso'.

other countries of Europe and in the world.[139] Finally, Italy managed to have a national FOIA, which had appeared for the first time in Sweden in 1766, then in Finland in 1951, in the USA from 1966, in France in 1978, in Canada in 1982, in Spain in 1992 and, just to mention one of the most significant, in the UK from 2000. The FOIA considers a new right: everyone (regardless of citizenship) has a generalized and civic right to access to all data and documents preserved by the PA without justifying their request and regardless of the relationships between them and the documents. This important contribution to the relationship between citizens and PA has the aim to guarantee a widespread control on the behaviour of public bodies and to be an instrument focused on the democratization of the country promoting transparency in government.

According to the recent introduction of the FOIA in Italy, the national body for anti-corruption (in Italian: *Autorità Nazionale Anticorruzione ANAC*) has issued some guidelines (rule no. 1309 of 28 December 2016) about limits of access to data defined by the Decree on transparency (D.Lgs. 33/2013, art. no. 5 and 5-bis).

In order to foresee a possible development of this research, it could be interesting to examine the future impact of the Italy Freedom of Information (FOI) Act on records management services in local government, like in the research performed in the UK by archivists Elizabeth Shepherd, Alice Stevenson, and Andrew Flinn in 2011.[140] In particular, a positive way in which FOIA could be accepted by archivists is the recognition of the contribution that a good records management service could mean for public authorities in order to be in compliance with FOIA. In fact, a cultural revolution is necessary, like the French revolution with which the freedom of information started,

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[139] The legal referee of Italian FOIA is the Decree no. 97 of 25 May 2016 which has modified the decree no. 33 of 14 March 2013 about transparency. However, the law 241/1990 remains into force.

[140] Shepherd, Elizabeth, Alice Stevenson, and Andrew Flinn. 2011. "Records management in English local government: the effect of freedom of information". *Records Management Journal.* 21 (2): 122-134.

to be able to convince public employees that the information of the PA belongs to citizens. The right of information could be reached, thanks to the fundamental mediation of archivists when an archive will be more efficiently organized and in which will be possible to conduct quickly researches. 'Accountability and integrity of information is an important foundation of a good local government.'[141]

In public local authorities, the internal organisation of archives is defined together with their strategic objectives and is usually part of the official statute of Municipalities and Provinces. Public local authorities are regulated by Decree no. 267 of 18 August 2000 (in Italian: *Testo unico delle leggi sull'ordinamento degli enti locali)* which has revoked Royal Decree no. 383 of 3 March 1934 (in Italian: *Testo unico della legge comunale provinciale)* and Law no. 142 of 8 June 1999 (in Italian: *Ordinamento delle autonomie locali*). In particular, the art. no. 89 of Law 267/2000 define that municipal and provincial offices are regulated, and so is their archive, with a set of rules issued in compliance with the body's statute.

The legislative framework here introduced contains a contradiction because, after the first laws dedicated to state documentation, a huge group of norms for public administration were then produced. That has generated a focus on current archives and simultaneously a lack of interest in the Central Archive of the State *ACS*, mostly in the recent legislation on digital administration, as if they were two topics completely different. Therefore, *ACS* is not considered as a public digital repository as it should naturally be. By law and according to a 2007 rule that reorganised CH Minister's functions[142], *ACS* should guarantee the acquisition of documents

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[141] Slate, John H., and Kaye Lanning Minchew. 2016, 51.

[142] Rules on Ministry reorganisation were approved by D.P.R. 233/2007. Article no. 6 establishes that Central Archive of the State preserves archives and documents in whichever material produced by central bodies and represents the digital repository for central bodies and civil status documentation for all the country.

created in whichever material by central administrations in order to preserve them. [143] *ACS* should regain a leading role, also at a legislative level, as to the definition and implementation of recordkeeping systems in order to verify the creation and traceability of documents. As a central body, it should represent a reference point giving standards and guidelines for all kind of administration, central as well as local. An example in this sense could be the *Archive Accreditation Service* designed in the UK with The National Archives as a protagonist, as detailed in the following chapter on the pilot study. This topic is linked with the paragraph on Digital Administration, which highlights the laws that require PA, already since 2014, to have a service for the creation and management of digital and hybrid archives, in addition to identifying specific professional figures.

In order to summarise, in the century 1900-2000, government archives were influenced by a legislative apparent stability since Royal Decree 35/1900 to DPR 445/2000. On the contrary, following seventeen years are characterised by sudden innovation and onrush of legislative amendments. In general, the long legislative process on the archival matter is interested in successes and avant-garde procedures but often they are not reflected in the daily PA activity, generally as a consequence of the lack of control and the reference to best practices.

5. A critical point in the history of government archives: The case of Italian Provinces

The case of Provinces' archives in Italy after the legislative decision to abolish these bodies (Law no. 56 of 7 April 2014) is worth considering. In this thorny transitional phase, it is very interesting to study the complex current situation of their documentation during a long and legal debate conducted on the complete or partially clousure

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[143] Guercio, Maria. 2014. *Il futuro digitale degli archivi e il ruolo dell'Archivio centrale dello Stato: una riflessione sui rischi per la tutela dei patrimoni documentari dello Stato e del Paese*, in Attanasio, Agostino. 2014. 1943-1953 : la ricostruzione della storia. Roma Ministero dei Beni e delle Attivita Culturali e del Turismo, Direzione Generale per gli Archivi, Archivio Centrale dello Stato: 303-318.

of these local institutions. The situation has not come to a solution yet and, consequently, the following pages will provide an introduction to some key moments in this tricky phase of legislative change with drastic repercussion on government archives management.

Throughout the Italian history, Provinces bodies had a crucial administrative role. After the 1861 unification, the administrative geography of the State was based on the boundaries of the previous provinces and that model was partially weakened by the following industrial administration structure at the beginning of the Twentieth century.[144] The decision to scatter this bond undermine a widespread arrangement.

Provinces have been subjecting, in these years, to recurrent attention by the legislator in order to design a review of Constitution. In fact, a *counter-reformation* of Fifth Title of Constitution was planned with the aim to resolve the incongruity of 2001 reform. The main will to delete provincial bodies was linked with the aim to avoid overlapping with Regions' rules reaching a better redistribution of administrative responsibilities.

Law no. 56 of 7 April 2014 (known as *Legge Delrio*) has made a deep transformation of Provinces. They changed names in *local authorities of large areas* (in Italian: *enti territoriali di area vasta*) and lost the direct elective authority for their government bodies; therefore, they became *second level* bodies. Furthermore, some bigger provinces became *metropolitan cities* maintaining the same name and the mayor of the municipal capital became also the new mayor of the metropolitan city.[145] New provincial bodies have continued to deal with school

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[144] Melis, Guido. 2007. *Le trasformazioni del reticolo amministrativo nel Novecento: dalle Province alle «reti»*, in Cammelli, Marco. 2007. *Territorialità e delocalizzazione nel governo locale*. Bologna: Il Mulino, 125.

[145] For more detail on metropolitan cities and reform of provinces see: law no. 56 of 7 April 2014 and Gorlani, Mario. 2017. *Quale futuro per le Province dopo l'esito del referendum costituzionale del 4 dicembre 2016*, available at http://www.federalismi.it/ApplOpenFilePDF.cfm?artid=33663&dpath=docume nt&dfile=08032017120900.pdf&content=Quale+futuro+per+le+Province+dopo+l %27esito+del+referendum+-+stato+-+dottrina+-+ (accessed August 7, 2017).

buildings, protection and enhancement of the environment, transportation and local roads. Delrio's law was a first step in the constitutional reform, planned after the referendum of 4 December 2016, which would remove the word *Provinces* in the Constitution. In view of this change, Regions approved laws and began to reshape their territorial bodies in different ways. The rejection of reform with the referendum's results called into question the process, leaving a confusing situation.

Law no. 125 of 6 August 2015, namely the conversion into law of Decree no. 78 of 19 June 2015, reports the adoption (no later than 31 October 2015) of a plan of the reorganisation of archives and other cultural institutions belonging to Provinces in order to guarantee a continuity of the public service enjoyment. This program should be designed by the Ministry of Cultural Heritage with the Ministry of Regional Affairs and the Ministry of Economic Affairs in order to define new bodies to which the competencies on archives will be assigned. Nevertheless, until now there are no useful regulations for the setting up of resources and designing of archives needed for daily activities, which results in a fruitless deadlock.

This situation bears a major risk of losing documents, breaking the natural bond between papers and an unavoidable confusion.

Although the Italian Association of Archivists (hereinafter ANAI) has organised some meetings and workshops on this topic, there are still many unclear points and worrying requests for help.[146] In order to avoid a catastrophic scenario, ANAI has been an advocate of seeking the attention of competent authorities with the aim to set up the needed activities for the correct archival preservation.

Also in this contingency period, Superintendencies office is proving a key role for the coordination of activities between dying Provinces and other public local authorities, Municipalities and

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[146] On the major popular Italian mailing list on archives, *Lista Archivi 23*, there were repeated debated on this topic, see mails dated 13 June 2015, 27 October 2015, 27 April 2016. ANAI has organized a meeting in Rome on 3 December 2015.

Regions, which will acquire new competencies. In fact, archives of both public and local bodies have the same characteristic, that is to be monitored by Archival and Librarian Superintendencies.

Some technicians have suggested transferring documentation from Provinces to local State Archives. If this opportunity were accepted it would guarantee a unified procedure, announced from the central level to the peripheral. In this perspective, the General Direction for Archives worked during 2015 to design a national work plan, thanks to an analysis of data (on archival holdings, conditions, storages, HR, etc.), acquired by the Superintendencies and State Archives in charge.[147] However, this solution was impossible to realise owing to full state repositories enable to receive new documentation.

Furthermore, in this context, the National Institute for Statistics ISTAT set up a project between 2014 and 2016 about a census of archives of Provinces and Metropolitan cities for the creation of a national database. The system DARCAP (*Documentazione degli Archivi delle Amministrazioni Pubbliche*) collects and publishes data of the census which has involved more than 3000 archives.[148] These data are available to plan the future scenario of the arrangement of provincial archives.

In conclusion to the case of Italian provinces, this thesis will reported in the sixth chapter an example of managerial solution elaborated by the Tuscan Region body.

6. The Digital Administration

The introduction and continued exponential growth of digital documents have required dedicated legislation to govern the legal relations among PA and their users. As asserted by Italian professor Maria Guercio, 'To make information and digital documents represent nowadays a *natural* dimension of our activity; while to guarantee the

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[147] On this work plan see communication of Elisabetta Reale – member of Istituto Centrale per gli Archivi - on Lista Archivi 23, 27 October 2015.

[148] Cfr. http://www.istat.it/it/dodicesima-conferenza/programma/035-archivi-amministrativi (accessed January 11, 2017).

availability of these documents in the future is not *natural*.'[149] After the first phase of spontaneous production of *hybrid archives* (this expression means a group of documents part in analogical form and a part in digital one), the development of completely digital archives was introduced at a legislative level and in practice. The creation of paper documents in PA is resigned to decline. However, in the absence of established and best practices, the legislator and administrative officers have the dangerous inclination to refer to the analogical dimension. This approach is not proper because traditional knowledge is not enough. In addition to it, new skills are needed in order to handle the intricacy of contemporary archival systems, most of all in this period of long transition marked on the one hand by a constant evolution of ICT (Information and Communications Technology) and on the other hand by a persist incompetence and acknowledge of available instruments.[150]

The national legislative outline on this issue is inadequate for its complexity and fragmentary nature.[151] Over the years the legislator made various dispositions, often not coherent and placed in a confusing way in different regulations with the common aim to mainly promoting IT in the Public Administration rather than to solve the conservative issue.[152] In fact, the conservative goal for long time of digital records was often deal as simple requirements of protection and security.[153] Considering the multifaceted topic here is introduced the

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[149] Guercio, Maria. 2013. *Conservare il digitale: principi, metodi e procedure per la conservazione a lungo termine di documenti digitali*. Roma: GLF editori Laterza, 3.

[150] Guercio, Maria, Stefano Pigliapoco, Federico Valacchi, and Antonio Romiti. 2010. *Archivi e informatica*. Torre del Lago (LU): Civita editoriale.

[151] An interesting instrument useful source for legislation and relating materials is the website http://www.conservazionedigitale.org, coordinated by professor Guercio and professor Silvio Salza from La Sapienza University.

[152] Guercio, Maria, Stefano Pigliapoco, Federico Valacchi, and Antonio Romiti. 2010, 16.

[153] A reference point for legislative outline is the AgID website: http://www.agid.gov.it/agid/quadro-normativo (accessed October 4, 2017).

main legislative steps useful to understand the effects produced on the management of government archives.

In the first place, the analysis should be contextualised in the Italian legal framework based on a general principle: 'the public archives are protected since their creation to ensure both the quality of their evidential value and their permanent preservation as accessible and authentic resources.'[154]

The prolific activity by the national legislator on the digital preservation issue began with technical rules edited in 1994 by the Authority for the ICT in PA in charge at that time (in Italian: *Autorità per l'informatica nella pubblica amministrazione AIPA*).[155] Those technical rules were related to the procedures and standards in order to use optical devices. In spite of the positive early attention on this topic, the norm had the ambition to work on the production and conservation process of digital documents considering only marginally D.P.R. 1409/1963 and without collaboration with the archival sector. In fact, at that time, the legislator and the archival community had difficulty to have a relationship on the digital issue until the Code of Digital Administration approval.

Our country first brought awareness to digital administration issue with Decree no. 513 of 1997, before the European Community showed attention to it (with the Directive 1999/93/CE). In particular, the Italian law focused on the legal value of the e-document and the technical peculiarities of different types of electronic signatures.[156] As a

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[154] Guercio, Maria. 2012. "The Italian case: legal framework and good practices for digital preservation," in *Fondazione Rinascimento Digitale*.

[155] Cfr. Aipa's rule no. 15 of 28 July 1994. For an explanation of the government bodies in charge on this topic see later on.

[156] For more reflections on CAD see: Debora Stella's article of 7 March 2006 available at http://www.twobirds.com/en/news/articles/2006/digital-administration-code (accessed April 28, 2016); Carlo Notarmuzi's report available at http://unpan1.un.org/intradoc/groups/public/documents/un/unpan035410.pdf (accessed April 28, 2016).

result of subsequent updates on this first regulation, the Digital Administration Code (in Italian: *Codice dell'amministrazione Digitale*, hereinafter CAD) was issued with **Legislative Decree no. 82 of 7 March 2005,** which came into force on 1 January 2006.

In general, the CAD aims to bring public entities closer to citizens by using electronic communication as the first medium to get in contact with the authorities, to quickly access, and directly interact with the public administration. This phenomenon is also called *e-Government*, which is a group of technical-organisational processes, aimed to transform the traditional record management systems of PAs into electronic recordkeeping systems and providing services both inside and outside the government bodies. In particular, ICT should be used to make payment to authorities, exercise the right of access to administrative documents, send certified e-mails and support disabled persons in accessing technologies made available by public administration. In addition to such public purposes, the CAD also provides a revised legislation on e-documents and their legal value, which is also applicable to the private sector.

According to CAD, a document created through electronic devices and with an electronic signature has the same legal effects as any hard copy document signed and sent via traditional mail.[157] This Italian law shows a problematic gap compared with the EU regulations in force by 1999 because it had a pioneering role in the definition and regulation the management of digital objects (for example, digital register, electronic signature, and PEC). Essentially, Italian laws, prior

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[157] On electronic signatures see: Penzo Doria, Gianni. 2006. *Informaticrazia e il Codice dell'Amministrazione Digitale* in *Le carte future: la gestione della sicurezza dei documenti e degli operatori d'archivio : riflessioni e proposte a trent'anni dal terremoto del Friuli*. 2008; cfr. documents delivered during workshop for digital records keepers which has taken place on 6-7, 27-28 October 2010, held in Milan by Maria Guercio and Giovanni Michetti; Finocchiaro, Giusella. *Documento informatico e firme elettroniche, cosa cambia nel nuovo CAD* available at http://www.forumpa.it/pa-digitale/finocchiaro-documento-informatico-e-firme-elettroniche-cosa-cambia-nel-nuovo-cad (accessed August 4, 2017).

to EU regulations, wanted to define the probative value of digital documents and the instruments that guarantee their definite provenance thanks to the tradition of diplomatic science. In this direction, the Italian legislation anticipated the EU regulations and influenced them.

The fundamental tools to manage digital documents are described in CAD and its technical rules (*Regole tecniche attuative del Codice dell'Amministrazione Digitale*). These norms were planned since law 82/2005 – the CAD – but they came into force just by March 2015. These main instruments are: PEC (art. no. 6), electronic signature (art. no. 24), conservation system, digital register, and records management system. In this perspective, EU regulation no. 910/2014 eIDAS (electronic IDentification Authentication and Signature) was issued on 23 July 2014 and became effective on 1 July 2016. Pursuant to this regulation on the digital identity, an electronic signature based on a qualified certificate in a member State will be recognised as a qualified signature in all other member states (art. no. 25 co. no. 3). The eIDAS was a milestone to provide a regulatory environment enabling secure and interoperable electronic interactions between businesses, citizens and public authorities, with the goal of a 'digital single market'.

During the following years, updates to Law 82/2005 (D.lgs. 235/2010) were issued and became fundamental referees for the current daily activity of an Italian PA. A first revolutionary act was the compulsory use of a digital registration system since 1st January 2004.[158] Nevertheless this duty, a lot of Italian PA used the paper registration for several years after. The following step was the adoption of a centralised registration system for all the body structures where, until then, different registers were employed and an estimation showed that only a fifth of the total documentation was catalogued.[159]

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[158] For a clear explanation on the digital registration system see: Pigliapoco, Stefano and Roberto Carriero. 2002. *Il protocollo informatico e l'archiviazione ottica*. In Nuova Rassegna: 1151-1155.

[159] Cfr. Borgioli, Maura, and Francesca Klein. 1999.

A good project on digital registration system was elaborated since 2002 by the Autonomous Province of Trento with the aim to create a proper instrument for the documents management in all the Province. For this reason, the system was spread in 339 public bodies and gradually it was exploited in all its advanced functionalities.[160] The *Sistema Informativo Elettronico Trentino* SINET is based on a collaboration among PAs on ICT.

The current Italian legislation, after decrees of CAD technical rules and guidelines (DPCM 30 March 2009, DPCM of 5 February 2013, DPCM of 22 February 2013, DPCM of 3 December 2013, DPCM 13 November 2014), foresees the compulsory presence of digital documents keeper in every Public Administration and in each company with predominantly public functions. This is also a consequence of the requirement of digital format for several documental typologies: for example, contracts between public administrations, invoices and judicial documents. The keeper figure, as well as the coordinator of a documentary management role, is expected to possess a mix of humanistic, IT and legal skills that are hardly traceable in the local university curricula. In this way – in Italian professor Roberto Guarasci's opinion – there is a paradox of a compulsory professional figure that does not have a perfect correspondence in the educational plan in the same country that has approved its requirement.[161] For these reasons, some Italian universities (for example Pisa and Calabria) are trying to implement faculty programs with a specific degree in digital humanities. However, there is still much work to be done in order to deal with a scientific basis in this complex new archival branch.

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[160] For more information about this project see: http://cantieripadigitale.it/it/2018/01/10/p-tre-sistema-federato-protocollo-gestione-documentale-trentino/?utm_source=newsletter&utm_medium=FORUMPANET&utm_campaign=MAILUP (accessed February 2, 2018).

[161] Roberto Guarasci told about this paradox during a conference set at University of Pisa on March 16, 2016.

In this context, the General Direction of Archives (in Italian: *Direzione Generale per gli Archivi* DGA) on 14 December 2015 issued the norms no. 40 and 41 (respectively for State Archives and Archival Superintendencies) with the aim to revoke previous norm no. 8 of 2004 about the prohibition to Superintendencies (for archives of public local authorities) and Committees of supervision (for government documentation) to destroy the original, which must be preserved permanently, even if they had a substitute reproduction.[162] This new act means that nowadays the DGA believes that the conditions for the long-term preservation of document in digital form are significantly improved.

This consciousness-raising by ITC in PA was even more evident when, since 2013, it was decided legal documentation between public administration should be posted in a digital way and, since 2016, computerization of public administration activities will come to its extreme. In fact, according to Decree of 13 November 2014, starting from 12 August 2016 the PA should have to switch from paper to digital and produce originals only with electronic mediums in order to actualize the *paperless office's myth*.[163] The goal of the dematerialisation should not to be a mere reduction of paper but the achievement of important advantages in term of efficiency, transparency and a better

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[162] Cfr. article "Documenti digitali. Conservazione, tutti i dubbi sull'addio alla carta" by Matteo Savoldi e Maria Guercio issued on Forum PA in 26 April 2016, available at http://www.forumpa.it/pa-digitale/conservazione-tutti-i-dubbi-sulladdio-alla-carta (accessed January 11, 2017).

[163] Cfr. art. no. 17, comma no. 2, of D.P.C.M. 13 November 2014, "*Regole tecniche in materia di formazione, trasmissione, copia, duplicazione, riproduzione e validazione temporale dei documenti informatici nonché di formazione e conservazione dei documenti informatici delle pubbliche amministrazioni ai sensi degli articoli 20, 22, 23-bis, 23-ter, 40, comma 1, 41, e 71, comma 1, del Codice dell'amministrazione digitale di cui al decreto legislativo n. 82 del 2005*", was published on G.U. on 12 January 2015. Pursuit this decree, the PA should adapt their records management systems within eighteen months, namely 12 August 2016.

government of PA.[164] However, the CAD was recently updated with Decree no. 179 of 26 August 2016, which postponed the 2016 summer duty of PA about the compliance of records management systems. The updating CAD has launched some news like the introduction of an ombudsman for digital, but its postponement has increased the general uncertainty among stakeholders.

Following the chronological development of the legislation, since 11 April 2017, conservative systems should be in compliance with D.P.C.M. of 3 December 2013, and therefore with OAIS standard, as explained later on.[165]

After the reform of CAD approved in 2016, current legislative texts became the reference point for administrations and enterprises in order to invest in innovation. However, a new updating of CAD for the umpteenth time is foreseen by the three year plan for ICT in the PA, as introduced by AgID in May 2017 and it foreshadows further bewilderment.[166]

The CAD was finally reviewed again in October 2017 and issued with the D.Lgs no. 217 of 13 December 2017; it became effective on 27 January 2018. Its main introduction is the article no. 20 based on the satisfaction of write form requirement and evidentiary effects by article no. 2702 of Civil Code when there is a digital signature, another type of qualified electronic signature, an advanced electronic signature, or the document is signed after the identification of its author (i.e. with SPID).

As revealed in advance, the legislative process of the last twenty years has underlined consequences in the management of current

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[164] Pontevolpe, Gianfranco. *Gli obiettivi del Governo italiano per la dematerializzazione dei documenti*, in Pigliapoco, Stefano. 2010. *Conservare il digitale*. Macerata: EUM, 15.

[165] D.P.C.M. of 3 December 2013 regulates conservative manual and the person in charge of conservation with his/her activities.

[166] The three year plan 2017-2019 is available at https://pianotriennale-ict.italia.it (accessed August 4, 2017). On this topic see: Guercio's article 'Nuove regole aprono scenari incerti', 2 August 2017 for https://www.agendadigitale.eu/documenti/guercio-nuove-regole-della-conservazione-digitale-aprono-scenari-incerti/(accessed August 4, 2017).

archives of public local authorities but fewer effects are evident in central offices: for example, the correct use of digital register or workflow documents were adopted with different attention. [167] Paradoxically, state administration had the dangerous tendency to postpone the issue considering the long timeline to deposit the historical documentation. For this reason, a direct involvement of the MiBACT is even more urgent, especially for the central PA which deposit their documents in the Central Archive of the State.

The above unstable legal framework that regulates conservation was continuously updated – often with an ambiguous terminology – in order to define the readability of the document and the survival of the document over time.[168] However, legislation should interface with the continuous evolution of technology and consequent instability of it which creates obsolescence of instruments and the impossibility to guarantee the inviolability of documents. Therefore, it is arduous to maintain all the qualities intrinsic and extrinsic of a digital document and the possibility of use it over time. This contradiction should find an equilibrium which can be reached thanks to a challenging work of analysis and interdisciplinary researches.[169] In this context, the results obtained by the international project **InterPARES** (International Research on Permanent Authentic Records in Electronic Systems) on authenticity requirements of digital records are noteworthy.

The research group InterPARES worked since 1998 on the permanent preservation of authentic documents in the electronic systems. The project, currently at the fourth step, was carried out in three phases from 1998 through 2012.[170] It is based at the School of Library, Archival and Information Studies at The University of British Columbia, in Vancouver – Canada, and it is directed by the Italian

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[167] Guercio, Maria. 2014, 310.

[168] About the ambiguity of the terminology see: Guercio, Maria. 2013, chapter 4; Guercio, Maria. 2012. "The Italian case".

[169] This refelction are espressed in Guercio, Maria, Stefano Pigliapoco, Federico Valacchi, and Antonio Romiti. 2010, 25.

[170] Cfr. https://interparestrust.org/ (accessed May 16, 2016).

professor Luciana Duranti. InterPARES's main credit lies in the definition of the conceptual and terminological framework of the digital issue thanks to theoretical principles from diplomatic and archival sciences. A first conclusion was that the inviolability of documents is guaranteed by an unbroken custody of the archive. This can ensure the authenticity of documents respecting the two requirements: unique identification and integrity of documents. Therefore, InterPARES paid close attention to the preserver's duties.

The InterPARES's purpose has used practical experiences by different cases and has contributed to the definition of a conceptual scheme and coherent terminology.[171] The project give a representative model of information useful for other following studies all over the world and influenced, for example, the OAIS model. The **Open Archival Information System OAIS** standard, known also as **ISO 14721:2003**, was born thanks to the initiative of an aerospace research group, the Consultative Committee for Space Data Systems CCSDS, which started the elaboration of the standard draft in the late Nineties.[172] Their goal was to find a reference point to preserve big data and digital information generated from space missions over a long period. The designed standard and its terminology have become compatible for different contexts, have been adopted by several international institutions, and have been accepted by EU. In fact, OIAS not give an architecture with fixed functions but defined the digital object for its structural dimension, regardless the specific aspects of the environment of its production, conservation and enhancement, and for this reason, the standard can be exploited in different ways. This

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[171] Guercio, Maria. 2013.

[172] The Italian translation was made by Michetti, Giovanni. 2007. *Open archival information system (OAIS): sistema informativo aperto per l'archiviazione*. Roma: ICCU. For a clear explanation see: Guercio, Maria. 2013. *Conservare il digitale*, 59-74; Heuscher, Stephan. 2004. "Workflow modelling language evaluation for an archival environment". *Archivi & Computer*. 14: 124-144; Lavoie Brain, *Technology Watch Report. The Open Archival Information System Reference Model: Introductory Guide*, OCLC Online Computer Library Centre, 2004, available as document at www.dpconline.org/docs/lavoie_OAIS.pdf.

approach allowed OAIS model to have an effective role and guarantee its validity and duration over time as a broader standard.[173] For this model, the *independently understandable* is crucial, which implies a set of information owned by a document in order to be preserved and univocally recognised. In this way, OAIS defines the characteristics of a digital archive.

This standard is based on the premise that is impossible to bring forward the future IT transformation. Conversely, it should be possible to support its development with a referent structure, flexible but coherent for the theoretical point of view.[174] In this context, additional standards ISO 14721 and ISO 16363 define the model (OAIS) and the requirements and procedures for audits (ISO 16363) able to certify preserver repositories.[175] The Italian legislative framework of the last twenty years, despite several contradictions, seems to find a balance by applying standard OAIS although especially for the quality requirements for digital repositories.

In order to sum up, a general comment on the digital administration is that the manuals for records management procedures, defined by the Italian legislation since 1998, will acquire even more importance, especially for public local authorities' archives. The culture of management and responsibilities should be exploited in order that manuals for records management procedures are not only suitable and approved by the top level but even more, they should be really applied by all the institutional staff.[176]

In brief, the focus of the digital archival science, linked with the legislative statement, is directed to the systems for documents filing

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[173]   http://www.conservazionedigitale.org/wp/materiale-didattico/il-modello-oais/ (accessed October 5, 2017).

[174] Cfr. Maria Guercio's article 'Nuove regole aprono scenari incerti', edited on 2nd August 2017 at Agenda Digitale website and available at https://www.agendadigitale.eu/documenti/guercio-nuove-regole-della-conservazione-digitale-aprono-scenari-incerti/(accessed August 4, 2017).

[175]   Cfr.   https://public.ccsds.org/pubs/652x0m1.pdf   and https://public.ccsds.org/pubs/650x0m2.pdf (accessed January 11, 2017).

[176] Pigliapoco, Stefano. 2010, 8.

and management, usually known as Electronic Records Management Systems ERMS. In the last twenty years, many standards and guidelines on ERMS are developed at international level and represented an essential source. In brief, they are here listed:[177]

- **ISO 15489-1/2: 2001** – *Information and documentation – Records management*. It has the aim to give guidance about the management of documents, as well as the processes of acquisition and handling of documents.[178] This standard was published in 2001 and recently revised in 2016.[179] Its advantages are the articulation in two parts – general and guidelines – and the reference to public and private as well. However, it adopts mainly a North American and Australian perspective on archival studies.[180] The standard 'focuses on the business principles behind records management and how organisations can establish a framework to enable a comprehensive records management programme. [...] It clearly shows how an organisation can systematically and effectively improve its record keeping.'[181] Furthermore, the standard encourages the

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[177] The summary is based on the schema at http://www.conservazionedigitale.org/wp/approfondimenti/archivi-elettronici/ (accessed Occtober 10, 2017).

[178] Cfr. Bonfiglio-Dosio, Giorgetta. 2009. *Gli archivi comunali in Italia: patrimo-nio culturale e risorsa amministrativa*, in Agostini, Filiberto. 2009. *Le amministrazioni comunali in Italia: problematiche nazionali e caso veneto in età contemporanea*. Milano: Angeli, Vol. 85: 233-245.

[179] The issue data of this standard is 15th April 2016, cfr. http://www.iso.org/ (accessed April 11, 2016).

[180] For more information about the ISO 15489 Standard *Information and documentation – Records management* see the useful explanation designed by professor Giovanni Michetti available at http://www2.cnipa.gov.it/site/_files/Standard%20per%20la%20gestione%20documentale.pdf (accessed April 11, 2016).

[181] Cfr. article 'New ISO standard for managing business records' written by Elizabeth Gasiorowski Denis, member of ISO staff, available at http://www.iso.org/iso/home/news_index/news_archive/news.htm?refid=Ref814 (accessed April 11, 2016).

organisations to give to their staff responsibilities which would be proportionate to the role and activities were done. In this perspective, the Italian legislator has regulated organisational aspects on the digital management of documents with articles no. 50 and 61 of D.P.R. 445/2000. The first article defined the establishment of *Homogeneous Organizational Areas* (in Italian: *Aree Organizzative Omogenee* AOO), namely groups of offices which manage in a uniform way the classification, the filing system and the intern communication. The second one defined a service for the management of digital register, the document workflow management which should be directed by a specific profile.[182]

- **DoD 5015.02-STD:2007** – *Design Criteria Standard for Electronic Records Management Software Applications*. It was developed since 1997 by the Department of Defence DoD of the USA in collaboration with the British Columbia University. In 2007 the USA National Archives and Records Administration NARA approved its compulsory use in all the American administration for records management. In this way, it became an international standard de facto. Its aim is to guarantee a standard in compliance with national regulation.

- **MoReq2:2008** – *Model Requirements for the Management of Electronic Records*. These guidelines represent the European version of the DoD 5015.2: it started by the same premises but with a different scope. These guidelines are developed by the European Union (precisely they are promoted by DLM Forum) and approved in 2008.[183] The research group had the aim to define a model of an electronic document management for the

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[182] Especially the article no. 61 define the director as 'un dirigente, ovvero un funzionario comunque in possesso di idonee requisiti professionali o di professionalità tecnico archivistiche acquisita a seguito di processi di formazione'.

[183] The first standard MoReq1 issued in 2001 was really complex and detailed so that few applicants had success in the certification process.

proper formation and conservation of documents, both in paper and digital form; namely an Electronic Records Management System ERMS.

- **MoReq2010** – *Modular Requirements for Records Systems*. It represents an updating of first guideline MoReq2 and it is focused on the certification of ERMS on the basis of standards requirements. It is mainly directed to private or specific contexts like the e-health. In this document, there is a shift from a *model* approach to a *specification* approach giving elements for developers in order to customize it.[184]
- **ISO 16175-1/2/3:2011** – *Principles and Functional Requirements for Records in Electronic Office Environments*. It represents an updating of an Australian standard (Australasian Digital Recordkeeping Initiative ADRI) and it defines principles on the characteristics and procedures of management systems.

The topic of standards although represents a complex world of multiple dimensions (technical, organisational and political) and out the national boundaries, it should be treated also by the Italian legislator in order to exceed the lack of consistency which has often characterised it.

In this context, especially in PAs where the records management is based on IT and decentralized in organizational areas, is even more crucial to spread information among the staff about the registration, classification and filing of documents.[185]

In order to answer the current issue, an overall view of the entire archive becomes more and more crucial. Furthermore, in light of the foregoing, it is necessary to rethink the legal asset of archival

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[184] Michetti, Giovanni. *Gli standard per la gestione documentale* in Giuva, Linda, and Maria Guercio. 2014. *Archivistica: teorie, metodi, pratiche*. Roma: Carocci: 263-286.

[185] Cfr. Pigliapoco, Stefano. *Gestione informatica del documenti e formazione dell'archivio* in Guercio, Maria, Stefano Pigliapoco, Federico Valacchi, and Antonio Romiti. 2010: 49-92.

institutions. Probably, it could be useful to give archives 'greater autonomy, as done for museums, in order to reduce the gap between Italy and other countries about the shared importance of archives as cultural institutions.'[186] 'In many views, this is the time to rewrite the law on archives in order to reshape institutions' competencies and responsibilities and identify new protagonists; the latter should be able to adequately answer the laborious process of long-term preservation of digital and integrated memory.'[187]

In general, 'after the introduction of the digital environment, the organisation of archives in PA was not modified but the management and conservative system are innovated.'[188] In fact, regardless of an analogical or digital form of produced documents, the structure considers the distinction between current archives operating in offices defined by art no. 50 co. No. 4 of D.P.R. 445/2000 and a sole semi-current archive for the body. A crucial innovation, introduced by art no. 12 co. no. 2 D.P.R. no. 428 of 20 October 1998, was confirmed by art. no. 61 co. no. 2 of D.P.R. 445/2000: assigning the direction of the service of digital management of documents and archives to a director with technical and archival competencies in each administration. Tangible evidence of this milestone will be analysed in the following case study.

'Not only is the cybernation of PA insufficiently extensive, it is still very inconsistent, as surveys of the sector have already proved.'[189] The same institutions of the sector which were established for analysing the development of IT in the PA have been incomplete and inconsistent. Indeed, the reform of PA with laws no. 142 and 241 of 1990 launched the birth of the Authority for Information in the PA (in Italian: *Autorità per l'informatica nella pubblica amministrazione AIPA*) in

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[186] Author's translation from Italian to English by: Casini, Lorenzo. 2015, 4.

[187] Author's translation from Italian to English by: Valacchi, Federico. 2006, 123.

[188] Gustapane, Enrico. 2000-2001, 1321.

[189] Author's translation from Italian to English by: D'Elia Ciampi, Isabella. 2003. "L'informatica e le banche dati" in *Diritto Amministrativo Speciale*, 1640.

1993 with the aim to promote, coordinate, design and monitor the development of IT in the PA. These goals should be implemented with the standardisation and integration of systems towards a more efficient PA.[190] That renovation season spread equally also to other countries including the United States with the *National Program for Reinventing Government* promoted by Bill Clinton e Al Gore in the same year. Ten years later, the Centre for information technology in the public administration (in Italian: *Centro Nazionale per l'Informatica nella Pubblica Amministrazione CNIPA*) was established by art. no 176 of d.lgs 196/2003 (Code for personal data protection) in order to acquire AIPA's duties. In 2009 the centre changed denomination to *DigitPA*, which was then permanently abolished in 2012 in favour of current Agency for digital Italy (in Italian: *Agenzia per l'Italia digitale AgID*) under the Presidency of the Council of ministers. Among other responsibilities, DigitPA had tasks on conservation and management of the rules for certified electronic mail (in Italian: *Posta Elettronica certificata PEC*). Following the same course, the aim of AgID is to reach the best level of IT technology in the development of PA, in accordance with parameters of efficiency, low cost and efficacy. It is noteworthy to recall AgID as the editor of the list of accredited conservators of digital documents created by others, according to rule no. 65 of 10 April 2014.[191] Since 2014 a proper system of audit to storages is planned in order to certificate the conservation processes. Furthermore, AgID has the task to spread digital culture in PA and simultaneously in citizens and enterprises so that the latter can understand and use it. In this sense, the Agency could be the author of a new strategic plan at a national level.

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[190] For a clear overview of AIPA see Manlio Cammarata's article '*Pubblica amministrazione: incomincia il futuro?*' available at http://www.interlex.it/ (accessed August 3, 2017).

[191] See: http://www.agid.gov.it/ (accessed August 3, 2017) and in particular the requirements for quality and safety, professional requirements for conservators, guidelines for digital preservation.

About the status of ICT into Italian PA and related costs, a parliamentary group introduced a report on 26 October 2017.[192] The Commission reported that, according to 2017 European DESI (Digital Economy and Society Index) analysis, there is a paradox: Italian citizens use IT but not in order to communicate with PA. The percentage of users of e-gov is 16% compared to a European average out of 34%. The difficulties observed in the digital relationship between citizens and PAs is influenced by the delay of fulfilment of *Sistema Pubbblico d'Identità Digitale* SPID, the *Anagrafe della Popolazione Residente* ANPR and *PagoPA* for the online payments towards PAs. In fact, these three projects started in 2015 but they are not yet completed due to a low level of involvement of stakeholders in the project phase and an inefficient top-down approach.[193] The commission examined the costs paid by Italy for ITC in PAs which is around 5,7 billion of Euros. The expenditure is not excessive but an inadequate supervision ability is announced. It is noteworthy to underline that the report quoted the importance to measure the ROI *Return On Investment* as a solution, as well as it is affirmed in the following chapters. In addition, a problem which came to light with the parliamentary inquiry is the lack of management skills in projects about digitalisation.[194]

In relation to the quoted Code for personal data protection, D.lgs. 196/2003, the EU has adopted the General Data Protection Regulation GDPR in April 2016 with the aim to be fully applicable across the European Countries in May 2018. It represents the new legal framework in the Europe with the aim to introduce a unique legislation on personal information.[195] This regulation influenced the management and storage of personal data with the introduction of pecuniary

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[192] The report is available at http://www.camera.it/leg17/1299?shadow_organo=109&shadow_organo_parlamentare=2708&natura=M (accessed November 1, 2017).

[193] The causes of the delay of ANPR project are introduced in the report mentioned above, 100.

[194] 2017 parliamentary report, 152.

[195] The text of the law can be found at http://ec.europa.eu/justice/data-protection/reform/files/regulation_oj_en.pdf (accessed September 11, 2017).

implication in case of databranch. Furthermore, it defines the right to be forgotten with the right to ask a disruption of every personal data references owned by a PA or a Company.

As part of the topic of digital administration, the issue of *Open Data* should be introduced. It consists in the process that aims to make the public data managed by PA open and free for reuse and redistribution, with the exception of those with private information. Therefore, nowadays there is an increasing interest in the definition of controlled vocabularies and data models to facilitate the exchange between PAs with codices and shared ontologies. Standards on what and how to transmit data are needed to allow the reuse of information. Thanks to open data citizens will become actors in addition to being just users. However, the Open Data issue is part of the current paradox: the PA should do more services while spending less money.

An unavoidable activity to bypass the obstacle of funding cuts is the renovation of processes through digital innovation. In this way, it will be possible to turn current problematic processes into opportunities. This is possible thanks to a Business Process Reengineering, as explained in the following chapter based on Project Management discipline. To know and exploit the potentiality of digital innovation can reduce the time to search for information, make processes quicker, optimise resources, improve the citizens' lives and create a more efficient PA.

Another solution for fewer costs and for the optimisation of the coordinated management could be the development of archival poles. Such conservative shape was mainly debated during the second national conference on archives held in Bologna in 2009.[196] A best practice of these new form of aggregation in the national territory is the

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[196] Evidences on this topic are introduced in the final document available as document at http://www.conferenzanazionalearchivi.it/documenti/CNA2009_DocumentoGe neraleFinale.pdf (accessed August 7, 2017).

Emilia Romagna pole.[197] It was born in 2009 as a service managed by the *Istituto per i Beni Artistici Culturali e Naturali dell'Emilia-Romagna IBC*. In particular, the digital conservation pole works as an archive for the preservation of digital records created by the Region itself and other public administrations, also beyond regional boundaries.

In this moment, a multiplicity of actors are in charge of preservation and enhancement functions outside the State Archives network.[198] The phenomenon of poles is not temporary and there is a risk – if not well regulated and understood – of a confusing situation with many overlapping and no precise boundaries. Thus, a reshaping of the conservation model and the role of State is necessary. According to the Italian current regulation, the archival science gives a lot of importance to the creators of documentation.[199] For this reason, the Italian conservation map was designed so as to promote retention of documentation in the same place and geographical area where it is produced.[200] So the current multiform situation of spread repositories tied with their territorial context is the result of what was affirmed, already in 1928, by archival theorist Eugenio Casanova that 'every archival fond should be preserved in the place where it is organically implemented.'[201] However, in addition to this archival map, other conservative centres work without a territorial link. In fact, if *polycentrism* has always been a peculiarity of the national archival

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[197] http://parer.ibc.regione.emilia-romagna.it/ (accessed September 4, 2017).

[198] Giuva, Linda. *Gli archivi storici in Italia: la mappa della conservazione*, in Giuva, Linda, and Maria Guercio. 2014.

[199] Concepts on poles issues are expressed by the author in: Torre, Gemma. *The City as a Widespread Archive: a Hidden Treasure*, in ENCATC. 2015. *The ecology of Culture: Community Engagement, Co-creation and Cross Fertilization. Book proceedings 6th Annual Research Session October 21-23, 2015 Lecce, Italy»*, Bruxelles: 447-461.

[200] For more information about origins and development of archives administration network in Italy see: chapters by Giuva and Pescini in Giuva, Linda, and Maria Guercio. 2014; Trani, Silvia. 2014.

[201] Casanova, Eugenio. 1928. *Archivistica*. Siena: Lazzeri, 213-4.

organization since the second half of the twentieth century, it has been transformed into *pluralism*.[202] This was a consequence of the creation of Regions and modification of the fifth title of the Italian Constitution: the historical arrangement has suffered a drastic change and triggered a substitution of the pyramidal structure based on the Napoleonic model with a pluralistic exchange among centre and periphery.[203] Such physiognomy caused a presence of different entities that preserved their documentation in autonomy although their cultural activity is less cognisable and verifiable, compared to the traditional methodological criterion applied by State Archives.

Connected with the conservative issue in poles is the preservation of digital documents through outsourcing or the cloud and the safety requirement for long-term preservation. Some guidelines are available on this topic, for example, disaster recovery is ruled by article no. 50bis of CAD. However, constant attention on conservation must be guaranteed to reach the certainty that a digital document can be visualised also with the passing of time. In fact, a lack is evident in the legislative development of the concept of conservation for long period of time. Nowadays a process can preserve documents while keeping their integrity, authenticity, and contexts is still a work in progress. Furthermore, the legislation does not deal with urgent issues like costs – especially in the case of outsourcing conservation – and selection of digital documents. For these reasons, the next chapter addresses the issue of economics applied to archives. Simultaneously, it will examine the managerial aims and objects of the PA reform: to rationalisation workflow, increase communication, design sustainable projects, and ensure the coordination of an operation plan at a national level.

A final reflection on the historical and legislative overview is that archival legislation seems to run on a different rail respect

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[202] Giuva, Linda, and Maria Guercio. 2014

[203] Giuva, Linda, Guercio, Melis, Vitali, Zanni Rosiello. 2012. *Una città per gli archivi*, in Archivi & Computer, Pisa: Titivillus edizioni, 2: 187-189.

administrative offices. The rules issued with high-speed by the legislator in the last years has difficulty to applied in the archival context which seems to be fixed in the past, a glorious but dusty ancient time that need to be updated. The procedures and the attitude in the archival work should be optimised in order to reach a clear role in the society and more understandable functions in legislative texts.

Chapter II
Cultural Economics and Cultural Management
as applied to archives

This chapter highlights the scarcity of studies in Cultural Economics and Cultural Management expressly applied to archives. To be more precise there are some pioneering and innovative studies dated between the 1960s and 1990s but they are outdated and they are almost completely unexploited in the Italian scenario.

Firstly, the chapter reviews main bibliographical references on the relationship between archives and management. Secondly, an innovative vision of sustainability concepts in the archival sector is introduced. Then, quality analyses are evaluated in order to optimise an archival structure. Finally, the financial topic is put under exam in relation to the economic impact that an archive has on the community.

1. Studies on the management of archives

The link between the concept of management and the traditional archive could be a bit stretched. In fact, thanks to a research between several authors from an international archival background, it could be possible to pinpoint how cultural economics, cultural management as well as project management are used in cultural institutions but only a few authors quoted archives between cultural body. Even though it is a fact confirmed by legislation (Code of Cultural Heritage) and ministerial organisations. Therefore, in this chapter archives are analysed alongside with other cultural institutions thanks to cultural management discipline. This framework delineates the context that is the object of the work, the *archive management*, and comes to imagine its definition with a natural inductive process.

An analysis in cultural economics traditionally starts with the quotation of Baumol's research for the outlining of the economic background in which cultural institutions work. For the first time, this dated study is here examined from an archival point of view.

William J. Baumol and William G. Bowen's trailblazing study in the 1960s deployed theories on the economic overview of the cultural sector.[204] The phenomenon described by Baumol and his colleague, known as the *cost disease*, or the *Baumol effect*, is based on the division of the productive activity in two sectors: one progressive and the other slack. The difference is due to the divergent opportunity that either segment has to grasp technological innovations in their production. Cultural institutions are in the slack entity.[205]

However, Baumol did not precisely quote archives inside the cultural institutions because he referred to performing arts in general. Nonetheless, if archives are recognised as institutions of services and their services are public services, it is possible to make an economic and managerial analysis for the archival sector, as well. In Baumol's economic analysis it is right to underline how a cultural institute has not the capacity to finance itself entirely thanks to ticket fees or potential charitable contributions by the private sector.[206] Public financing is essential: this is Baumol and Bowen's thesis. In an archival context, this affirmation is more realistic because few archives have direct relevant incomes. First of all, a government archive has no entrance ticket, unlike the majority of museums. For example, a balance sheet of an archival institution can include, among its assets, fees for copying or digitalising documents and sometimes it is possible to include the rent of rooms for conferences or evaluate the deaccessioning topic – as it will be explained in the following paragraph. This overview of the general incomes points up how government archives cannot live without external financing, more public than private.

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[204] Baumol, William J., and William G. Bowen. 1966. *Performing arts: the economic dilemma; a study of problems common to theater, opera, music, and dance*. New York: The Twentieth Century Fund.

[205] For a clear explanation of Baumol effect see: Trimarchi, Michele. 1993. *Economia e cultura: organizzazione e finanziamento delle istituzioni culturali*. Milano: Angeli, 33.

[206] Trimarchi, Michele. 1993, 16.

However, this perspective does not means to apply the logic of profit to archives. It is not correct because archives 'represent certainly an unprofitable sector, characterised by a strong and unavoidable variance between the operating expense and users.'[207] Accordingly, for archives and the overall cultural institutions, it is important to go over the definition of economic growth linked with the GNP (Gross National Product) because 'the performance has an essentially different value in the cultural sector than the manufacturing sector'.[208] Also, cultural goods are the protagonist of the economy grew but in a special way: inducing emotions and increasing knowledge in people who enjoy them. This consideration is linked with the statement that culture is a *merit good*. Therefore and in any case, the access to assets considered collectively useful should be guaranteed. That is regardless of the presence of a relevant demand by the market.[209]

In the analysis of the economic efforts of Cultural Heritage, it is not sufficient to only take into consideration the *direct benefits*, like the satisfaction of users' needs. In fact, *indirect benefits* have positive effects because CH produces a cultural offer for society and improve the citizens' life quality.

Direct benefits include direct expenditures for goods and services, such as an institution's spending, income, and employment, all of which affect a local economy. An archives' direct benefit would be the monetary value of archival services. *Indirect benefits* are generated in the local economy. For example, archives could benefit local businesses when users visit a geographic location specifically to reach the archive, eat at a nearby restaurant or stay at a local hotel. Indirect benefits are

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[207] Author's translation from Italian to English by: Carucci, Paola. "Alcune riflessioni sulle prospettive attuali del lavoro dell'archivista." in Brogi, Marina. 1989.

[208] Author's translation from Italian to English by: Trimarchi, Michele. 1993, 37.

[209] Carù, Antonella, and Severino Salvemini. 2012, 3.

generally harder to discern than direct benefits, but an economic impact analysis can measure both indirect and direct benefits.[210]

The mechanism for which the private advantages produce benefits in the social environment is the *public spillover*, namely positive productions.[211] This is the reason behind the consideration that artistic products are merit goods. In fact, through the use of public goods, the human being increase his/her ability to attend to the public life, his/her knowledge and his/her wellness.

Economic terminology and strong managerial words are frequently applied to cultural institutions in order to deal with a still underdeveloped sector. Only a few researchers and archivists adopted the same approach to archives and here some justifications of this disinterest are introduced with the aim to spark reflection on this topic.

In our country, as testified by professors Carù and Salvemini in a recent study on national cultural institutions management, the recognition of the importance of management skills in cultural organisations are becoming increasingly popular.[212] The basis of this statement is that the huge cultural patrimony could be the future for the Italian economic welfare. However, a gradual process towards managerial improvement is necessary for welfare growth and enhancement. Italy could exploit its heritage thanks to more research and innovation. The cultural sector could use the stick of innovation to gain better results in the competition to obtain a higher share in the public financing. Contemporarily, it is indispensable to increase a progressive autonomy, as it happens for other sectors originally managed by the State, like public services, health, and schools.

In fact, three aspects are crucial: more real independence from public finance, a cultural organisation more akin to excellent

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[210] The clear explanion of direct and inderect benefits has been draw down: Yakel, Elizabeth, Wendy Duff, Helen Tibbo, Adam Kriesberg, and Amber Cushing. 2012. "The Economic Impact of Archives: Surveys of Users of Government Archives in Canada and the United States". *The American Archivist.* 75 (2): 297-325, 299.

[211] Carù, Antonella, and Severino Salvemini. 2012, 71.

[212] Carù, Antonella, and Severino Salvemini. 2012, 8.

enterprises, and sponsors with a more modern role.[213] According to this managerial statement, the trump card for a cultural institution is increased autonomy and empowerment, which guarantee more efficiency in the management of resources and more efficacy in the satisfaction of the institutional mission.

However, Carù and Salvemini's work quoted archives but without taking into consideration the possibility to exploit them. In fact, archives and also local government institutions, like the objects of this thesis, are an under-research field in respect of cultural management which is mostly applied in other cultural institutions.

The idea to improve the current cultural organisation of archives thanks to the cultural economics and management approach is based on the crucial responsibility of government to administer, care for and guarantee the community access to contents. A more and more generalised access with respect to number and kind of users, media, and free documents. In these terms, the archival field is still unexplored because one of the core services offered, accessibility, is restricted within bounds of spaces in which the culture service is offered (search room, conference room and exposition area), opening time, disabled access and delivery times of documents.

In relation to the topic of access, cultural consumption is a multidimensional experience: sensorial, emotional, cognitive, and communicative.[214] Access to it could be favored by a correct managerial approach.[215] The possibilities are multiple and also relevant for the archival sector: from the design of a contest useful for physical access to the product (for example, outfit exhibitions) to the arrangement of suitable conditions so that users have a real experience of access to the content, playing on emotional participations.

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[213] Carù, Antonella, and Severino Salvemini. 2012, 9.

[214] Csikszentmihalyi, Mihaly. 1990. *Flow: the psychology of optimal experience*. New York: Harper & Row.

[215] Carù, Antonella, Cirrincione, Armando. "*Il Management dei servizi al servizio dell'arte*." In Carù, Antonella, and Severino Salvemini. 2012, 93.

In order to improve the cultural service, it is necessary to emphasise tangible components of the offer, like the place in which the service happens, the human resources that interact with the users, the instruments to provide the services. Obviously, the main focus is on the importance of communication. On this point, each aspect of the service is relevant: from human resources to venues and also the furniture can communicate the institute's quality and wealth.

In other words, Carù and Cirrincione talked about *service management* and introduced a useful scheme that it is re-elaborated here by the author in order to be applicable in an archival context[216]:
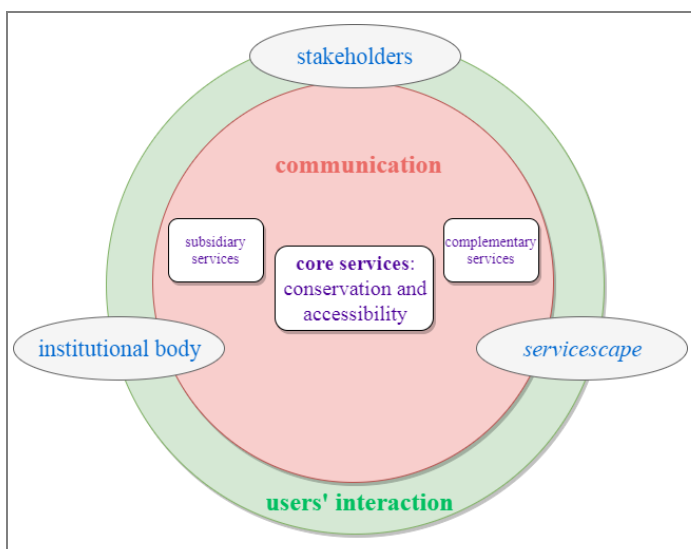
Table 2. The elements for the management of archival services.

Analysing some of the trickiest elements into detail. *Core service* is the concept of the cultural offer and, for an archival context, two are its main services: conservation and accessibility. An archive should

[216] The schema used as model is taken by: Carù, Antonella, Cirrincione, Armando. "*Il Management dei servizi al servizio dell'arte.*" In Carù, Antonella, and Severino Salvemini. 2012, 98.

preserve documentation with the aim to guarantee its accessibility and access is possible only if a conservation plan is in act. Moreover, an archive can have additional services: *subsidiary* – like selling guides – and *complementary* – like renting a conference room. However, a museum or an archive could manage additional services in order to obtain a new income but it should be done with respect to the main core of the institution, namely the main activity that characterises the institution.[217] This set of services could reach a trio of objects. Above all a social element, the *network* of internal and external stakeholders includes all actors that acquire a role in the development of the cultural offer. Secondly, there is a political and institutional element which is represented in this research by government bodies. Finally, the spatial element is defined as *servicescape* and it represents the physical or virtual structures and repositories.[218]

The interaction between services and the triad of elements takes place thanks to *communication*, which includes the activities in order to inform and attract users. Furthermore, in a reciprocal and circular way, the *users' interaction* guarantee the growth of the value of the services. In order to infer the process in this way, three main users are considered: the creator or/and conservator, the researchers, and the citizens that access the archive for different interests.

The description of this schema is useful to read an archive in a managerial way with the aim to explain and exploit its services. This goal could be reached starting from the analysis of different reflections on management disciplines applied to archives and it will drive in the direction of the *archive management* definition.

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[217] Carù, Antonella, and Severino Salvemini. 2012, 30.

[218] The concept of 'servicescape' was developed by Booms and Bitner; it is the environment in which the service is delivered and in which the firm and the customer interact, and any tangible commodities that facilitate performance or communication of the service. For more details see: Booms BH, Bitner MJ, *Marketing strategies and organisation structures for service firms*, 1981, in AMA's Special Conference on Services Marketing, James H. Donnelly, and William R. George. *Marketing of services*. Chicago, Ill: American Marketing Association, 1981.

In the archival theory, the first step towards the acknowledgement of the importance of studies about the internal management of archival offices was launched by the reflections on the organisation of the current phase. In fact, by examining the available literature on archival management, it is evident how 'in the past, the national and international archival discipline was mainly devoted to historical archives, in particular studying the inventory and arrangement problems, whereas recently a growing revival of the organisation issues of current documentation can be observed.'[219] This quite recent focus on the good practice of work in the PA offices in order to shape efficient archives from their origin is all the more evident with the advent of the digital era. In fact, there is nowadays a push towards the rationalisation of administrative systems and work organisation related to new modalities of public communication.[220] IT systems allow for a more efficient administration of documentary production and control of copies proliferation but, in the meantime, they produce new risks of manipulation and lack of metadata. Therefore it is important to apply a continuous study to the planning phase of archival systems and guarantee the correct unbroken audit on law and applied instruments.

In this context, there is a lack of works, particularly published Italian studies, on the administration of an archive in its chronological entirety, independently on the three specific phases. In fact, although books on this or that aspect of records management exist, only a few cover the topic on the entire archival office management. Much less the daily activities of an archive director and the topic of financial optimisation are covered. On the basis of these absences it is possible to

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[219] Author's translation from Italian to English by: Romiti, Antonio. 1998. *Alcune considerazioni sugli archivi di "deposito"* in Ufficio centrale per i beni archivistici, *Per la storiografia italiana del XXI Secolo. Seminario sul progetto di censimento sistematico degli archivi di deposito dei ministeri realizzato dall'Archivio centrale dello Stato*. Roma: Ministero per i Beni Culturali e Ambientali, Vol. Pubblicazioni degli Archivi di Stato, Saggi n. 46, 19. This statement is still relevant today.

[220] Carucci, Paola and Maria Guercio. 2011, 203.

introduce a definition of *archive management* which would be covered with this work. It represents the study of the organisation of an archive in its entirety, regardless its chronological phase, in order to optimise its services and increase accessibility.

A forerunner in archive management studies was American archivist Bruce Dearstyne. In the 1990s he theorised several key elements for archives to serve their governments and citizens well. He talked about the *Government archival program* and listed these essential key elements[221]:

- Roles and responsibilities are clearly defined
- Adequate resources that continue from year to year and increase as the workload increase
- Operation within a planning framework
- Clearly qualified, experienced personnel
- A secure, adequately sized, well-equipped facility
- A systematic approach to the identification of archival records
- Policy for custody of archival records
- Consistent approach to arrangement and description
- Clear policy on access
- Finding aids and access tools
- Aggressive, proactive approach to promoting research use
- Customer-centred research services
- Targeted outreach and educational programs
- Systematic, cost-effective approach to preservation

If Dearstyne's program could be almost considered a utopia, the author's will to bring into focus the advantages of a structured plan as such this is quite remarkable. His points could represent the plot of the following research with the aim to study deeply all aspects mutually linked in the management of an archive. For this reason, the phrase that defines the central idea of this thesis is *archive management*.

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[221] The elements of the 'Government archival program' are listed in: Dearstyne, Bruce W. 1999. *Managing government records and information*. Prairie Village: Arma International., 143-145, in which are reported with a brief explanation for each of them.

The work of Dearstyne is most of all noteworthy because he allowed his readers to reach some managerial skills with a practical self-evaluation system. In fact, like in a manual, he introduced some recommendations and, at the end of each chapter, there is a checklist of elements to be verified in order to self-understand if the archive is moving in the right direction. Furthermore, in the appendix to Dearstyne's book, there are practical forms and guidelines gathered by the most important American government bodies.

About the concept of archive management other American scholars are worth mentioning: James Gregory Bradsher, with his milestone entitled 'Managing archives and archival institutions' edited in 1988, and Richard Cox. Their ideas have been recently conducted by Kate Theimer, known internationally as the author of an archival blog 'ArchivesNext'[222]. Both Bradsher and Theimer created a comprehensive editorial project that examines different sectors of the archive administration and the archivist's skills thanks to several case studies introduced by some colleagues.

Bradsher's focus was to impart the needed toolkit in order to properly manage different typologies of material that could coexist in an archive, from photography to cartography. His contribution was to introduce the discussion on records management and archival appraisal, exceeding previous works on the unique arrangement of paper archives.[223] Bradsher maintained that archivists tasks are

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[222] Bradsher, James Gregory. 1988. *Managing archives and archival institutions*. London: Mansell Pub; Cox, Richard J. 1992. *Managing institutional archives: foundational principles and practices*. New York: Greenwood Press; Theimer, Kate. 2014. *Management: innovative practices for archives and special collections*, Lanham: Rowman & Littlefield.

[223] In Bradsher's introduction Frank Evans quoted two previous works about management of manuscripts: American Association for State and Local History, and Lucile M. Kane. 1966. *A guide to the care and administration of manuscripts*. American Association for State and Local History, Nashville, Tenn; Duckett, Kenneth W. 1975. *Modern manuscripts: a practical manual for their management, care, and use*. Nashville (Tenn.): American Association for State and local history.

characterised 'by managing their archives and archival institutions effectively and efficiently and ensuring that those who create, maintain and use records of archival value do so in a manner that protects their quality and integrity' are becoming more difficult to fulfil given the bulk and complexity of modern records.[224] His teaching is that, in order 'to meet the challenge of modern records and to ensure that archives will serve the present and the future, archivists must acquire and continue to update a thorough knowledge of archives administration'.[225]

In the same years of Bradsher's studies, Richard Cox focused his attention on the management of institutional archives, like the archives of museums, colleges, and hospitals and not government archives but his principles are still widely applicable. For him, a well-run archive means an institution, closely linked with the parent organisation, which is able to persuade the top-level on the necessity to meet acceptable standards, allow reasonable access to records, and ensure the survival of the archival records.[226]

For this reason, the optimisation of an archival structure is reached starting from the teaching and coaching of people in charge of records management but most and foremost directors of PA. It is important that also bosses have an awareness of archival setting, namely the resources owned, and processes and services provided. From the author's point of view, the knowledge of managerial toolkits and the importance of communication by traditional archivists could be used to imparted archival basis to top-level. For this reason, we should start from archivists training with a renovation plan of training at specialised schools. In particular, the schools inside Italian State archives and the school of advanced studies at the Central Archive of the State is endorsed since several years and is advocated by many.[227] A

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[224] Bradsher, James Gregory. 1988, second edition 1991, XIII-XVI.

[225] Bradsher, James Gregory. 1988, second edition 1991, XIII-XVI.

[226] Cox, Richard J. 1992, IIX.

[227] First proposals to reform the Archival Schools' programs are quoted in RAS, XXXV, 1975, 1-3.

reform of their study program that includes cultural management and project management disciplines – apart from the obvious introduction of records management lessons – is increasingly necessary.

Following in Bradsher and Cox's footsteps, Kate Theimer explained that 'the challenges facing managers today are a mixture of the old and the new: managing people, facilities, and money are still the primary concerns, but managing technology as well as taking best advantage of it brings new issues to the fore'.[228]

Among recent considerations of the management theory in the daily digital activity Italian archivist Stefano Pigliapoco conducted a noteworthy fieldwork in the archives of public administration during the 1990s to design an IT system capable of supporting records management activity, mostly during the registration phase.[229] He highlighted that 'PA has started to realise how the efficiency of administrative activity is strictly linked with the rationalisation of the workflow management. However, additionally to the need to improve interest in archival structures by administrators and directors, there is a lack of preparation in archival management and often the archival phases are poorly managed and by personnel without any specific training.'[230] As a result, it is necessary to conduct, and Pigliapoco showed a good example in this perspective, an analysis of the PA procedures that are personalised by each body with the aim of moving toward a standardisation process. This methodology recalls the theory of American archivist Theodore R. Schellenberg that stated already in 1965 the importance of the standardization of archival procedures in order to gain a development of the archival profession.[231] From Schellenberg's point of view, this improvement could be reached thanks to the lessons of librarian professions which were, in that

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[228] Theimer, Kate. 2014, VII.

[229] Pigliapoco, Stefano. 1996.

[230] Author's translation from Italian to English by: Pigliapoco, Stefano. 1996, 29.

[231] Schellenberg, Theodore R. 1965. *The management of archives*. New York: Columbia University Press, chapter IV.

moment, more systematized and standardized. Librarians' knowledge on this topic is more advanced than archivist also nowadays.

The analysis of archival processes and procedures is the key to the success of the application of a management strategy to archives. Also, Angelika Manne-Haritz drew attention to this issue declaring that in an archive there is the need to integrate processes of information and technology with the organisation's core business.[232]

In this analysis, the Italian archivist Roberto Cerri's words are enlightening. He must be credited with having designed in 1999 a complete work on historical archives of Italian Municipalities by covering every managerial aspect, as well as promotion and services for users. He underlined that 'an absence can be noted, a complete and utter one of a discussion on elements inherent in the practical and operating functions of archival services. There is an absolute lack of analyses of archival management and a reflection [...] on promotional aspects applied to archival services.'[233] This is one of the few quotations on the concept of archival management, which is the backbone of this work.

A more recent study in this perspective is made by professor Giovanni Michetti who proposed the shift from a *record system* to a *management system for records*.[234] With this term, he underlined the importance not to manage documents but the body in relation with documents.

The studies quoted until now suggest the serious conditions that public archives in the Italian local authorities are facing. Recent researches as well, go in the same direction: for example the analysis of

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[232] Menne-Haritz, Angelika. 1993. *Information handling in offices and archives*. Munchen, Allemagne: K.G. Saur, 43.

[233] Author's translation from Italian to English by: Cerri, Roberto. 1999. *L'archivio storico dell'ente locale come servizio pubblico*. San Miniato (Pisa): Archilab, 13.

[234] Michetti, Giovanni. 2013. *Un approccio manageriale ai sistemi di gestione documentale: la serie ISO 30300*. In Archivi & Cultura, Archivi informatici aperti alle esperienze attuali e nelle prospettive future: 99-120.

the Italian State Office, *Corte dei Conti*.[235] The report focuses on the rationalisation of spaces for semi-current archives and on discard dispositions to examine the application of D.L. no. 95/2012 (changed with modifications by Law no. 133/2012). This law concerns the 'rationalisation and optimisation in the usage of spaces devoted to storing paper documentation'.[236] The analysis considers two linked goals: on the one hand, the promotion of a major responsibility by State administrations during the activities intended to empty repositories in compliance with Presidential Decree 37/2001; on the other hand, to ask the Government Property Agency to start a unification process of archives in archival poles.[237] Therefore, this study regards only semi-current archives of central and peripheral State offices and for this reason, it could be useful for a limited aspect of this thesis. However, the work is important because it reached the goal of promoting the creation of a monitoring system, nowadays absent in many archives. It is linked with the necessity to optimise archival procedures and manage a vast amount of documents, a major percentage of which are still on paper, which often collides with a scarce availability of spaces and repositories. For this reason, a section of the third chapter is devoted to the problematic aspect of resources and its opportunities for optimisation.

According to Italian professor Giorgetta Bonfiglio-Dosio, the concept of management has recently become a central issue in the theoretical reflection and archival practice.[238] In fact, public archives are essential administrative instruments with most efficacy in reaching

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[235] Author's translation from Corte dei Conti, Sezione centrale di controllo sulla gestione delle amministrazioni dello stato. 2015. *Gli archivi di deposito delle amministrazioni statali e la spending review*, Deliberazione on December 30th, 2015, n. 17/2015/G.

[236] Corte dei Conti, Sezione centrale di controllo sulla gestione delle amministrazioni dello stato. 2015, 21.

[237] About archival poles see: Pescini, Ilaria. *Città degli archivi, archivi territoriali: nuovi modelli di conservazione*, in Giuva, Linda, and Maria Guercio. 2014.

[238] Giorgetta Bonfiglio-Dosio. 2009, 234.

their bureaucratic bodies' objectives. Therefore, nowadays new strategies and policies are under study in order to reap the maximum benefits from each phase of the archival life (current, semi-current and historical), always explaining that the archive is still a unitary and complex entity, which grows properly only if managed and handled continuously.

As Italian archivist Mario Pazzaglia declared since 1982, the issue concerning the management of archive is often underestimated in the municipal and provincial administration. On the contrary, its importance on the management level, with the aim to increase the efficiency of the bureaucratic and administrative structures, is noteworthy and even decisive[239], as demonstrated in this research. Consequently, the entire archive and its good management is a strategic instrument for every level of PA, as it is already endorsed also by law no. 241/1990, detailed in the previous chapter.

In conclusion to the first paragraph about the general literature review on the application of interdisciplinary studies to archives it is possible to underline a lack of studies from Economics and Project Management disciplines. However, some milestones have affirmed the importance to the workflow management from current to historical phase. These premises have drove to the definition of the concept of *archive management*. Although this expression could be consider new and innovative, is based on a theoretical strong background.

The framework just introduced is the context of the following treatise.

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[239] Pazzaglia, Mario A. 1982. *Gestione dell'archivio: proposta per una soluzione pratica*. Rimini: Maggioli, 7.

2. Archival sustainability[240]

The term *sustainability* has been outstandingly developed for the last few years in different contexts recognisable in the *triple bottom line*: environmental, economic and social sustainability. They have the common aim to promote how a process or a condition could be maintained in a determined status for a long period of time.

The application of the term sustainability to the archival context corresponds to reaching a good management of human, logistical and financial resources. But more than that, it aims to emphasise how a stable direction and a judicious planning of the processes could guarantee users better services by taking advantage of project management techniques. In fact, the sustainability topic is part of the application of a managerial approach to archives, both current and historical. It has the aim to optimise the organisational internal process, increase the quality of public services and recognise the crucial importance of communication in each phase. In such way, documents, projects and infrastructures are built in order to be enjoyable by more generations.

In the direction to introduce the analysis of archive in a project perspective, it is fundamental to underline how the activity of archivists is strictly linked with a stakeholder's perception of them. In fact, the confusion resulting from the misunderstanding of archivist's role, to which the complex legislation contributes, or even worse its permanent underestimation, could cause the failure of the project.

Therefore, to understand how an archive is sustainable represents the basic condition to consider it not only a container of documents but also of people, in addition to financial and logistical resources: the analysis should deal with each human resource who interact in the functioning of the institute. In this process, a key role is played by the archivist as the person in charge of the internal management of an archive and its vision perceived by outsiders.

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[240] This paragraph is the re-elaborated and updated version of the report presented at the conference 'Progetto archivio trasformare un'idea in una realizzazione' hold on 8th March 2017 at Fondazione Ansaldo in Genoa.

The following analysis introduces some national and international references from the archival world, which explains the multiple meanings of the term *sustainability* and has the natural goal to introduce the definition of archive sustainability concept.

The first meaning of sustainability is connected to the environment and logistical resources. On this relation, American archivist Mark Wolfe, known as a member of InterPARES project, declared that the necessity to use *green* technologies to design archival repositories as well is not enough to ensure archival sustainability.[241] The process of transforming current warehouses in energy-efficient and environmentally-sustainable institutions cannot be based only on an architectural improvement. Instead, the mere application of traditional archival principles could guarantee positive effects also in the logistical dimension. In fact, the essential statement for an archivist is that the correct management of documentation from their birth, in the current phase, could guarantee a better organisation in the following phases. Therefore, a strategic management of spaces has started by current archives and, always with an efficient management, less legal issues happen in relation to missing documents.

This statement should be taken into account when an institution is facing difficult choices on outsourcing, namely the activity to decentralise the documentary conservation and often other services related to records management, e.g. digitalisation and discard activities. From one point of view this approach could be quoted as a kind of archival sustainability because it contributes to make more flexible the structure of costs and increase the availability of resources to use for different initiatives. However, outsourcing produces at the same time a condition of responsibilities shared with the outsourcer and a slackening of supervision on patrimony. Moreover, it can generate extreme confusion if documents are not deposited with a precise arrangement of the archive, which contemplates agreed terms

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[241] Wolfe, Mark. 2012. "Beyond 'green buildings:' exploring the effects of Jevons' Paradox on the sustainability of archival practices". *Archival Science : International Journal on Recorded Information*. 12 (1): 35-50.

and conditions about the creation of folders and definition of conservation procedures. Furthermore, the efficacy of a massive and general program of digitalisation often publicised should be evaluated with attention. In fact, a *cliché* is that digital is better than paper, more *green*, but we should also recognise the presence of Jevons' paradox as explained by Wolfe. British economist William Stanley Jevons asserted in 1865, that in an industrial development context, when an improvement of technology guarantees the use of coal resources in a more efficient way, the general consumption of that source increased, not decreased, contrary to conventional wisdom. Therefore, going back to archives, the growth of ICT did not bring to the disappearance of paper but rather, its use increased as a consequence of the ease to reproduce documents. Furthermore, additional time was required for the *mise en page* with the printer characteristics. 'With the rise of cheap computer equipment and words processing software it was believed that digital documents would be substituted for paper as a resource'.[242] Contrary to expectations, paper usage increased in an exponential way.

There is no solution to this paradox, it should just be understood. We should be more aware of what we produce since current phase and that the archive is a unique group of the document. It is not relevant to have an excellent historical archive preserved in an optimum research room if the archivist cannot provide procedures to improve records management, which soon will become part of the historical archive.

This study is linked with the critical analysis of the paperless myth made by British scholars Abigail Sellenand Richard Harper which testified 'that the introduction of e-mail into an organization caused, on average, a 40% increase in fiber consumption.'[243] Although the use of e-mail for sending messages has reduced the role of paper for the delivery, it has not done effects on paper altogether because many e-mails messages and their attachments, especially the longer ones, tend to get printed. Curiously, 'it seems that the more information people

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[242] Wolfe, Mark. 2012, 38.

[243] Sellen, Abigail J., and Richard H. R. Harper. 2002. The myth of the paperless office. Cambridge: The MIT Press.

receive and have access to, the more people need to print it.'[244] Consequently, the exponential growth of the number of documents sets internal risks for the sustainability of repositories.

Therefore, the management of logistical resources is strictly linked to the management of documentation, whichever its format. For American archivist Gerald Ham, the epoch of overabundance of information and documents has forced archivists to modify their traditional approach to not planning toward a process of building, maintenance and preservation of collections.[245] In other words, archivists should manage not only the single archival unit but the entire system. The digital era has made the conservation process more complex. Archivists have the skill to transfer files among different operating systems and formats. Archivists should adopt archival theory and practice in order to develop a more coherent and realistic understanding of the processes used to create contemporary documents.

The term *sustainability* is also addressed by professor Guercio in a recent article for the web.[246] From her point of view, it is necessary to guarantee sustainability in interventions on digital documentation. We should use digital innovation as a potentiality, not a complication with continued updating and modification. Guidelines for a better management of digital records are necessary and they should be a starting point which guarantees stability and security. For this reason, guidelines, in turn, should be designed in a sustainable way.

Archival sustainability means also social sustainability reached thanks ability to communicate. In fact, the critical and at the same time crucial aspect is, from multiple points of view, communication.

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[244] Sellen, Abigail J., and Richard H. R. Harper. 2002.

[245] Ham, F. Gerald. 1984. "Archival Choices: Managing the Historical Record in an Age of Abundance". *The American Archivist.* 47 (1): 11-22.

[246] Guercio, Maria. *Depositi digitali, alla ricerca di modelli organizzativi sostenibili* in ForumPA, edited on 20th June2016 and available on http://www.forumpa.it/pa-digitale/depositi-digitali-cercasi-modelli-organizzativi-sostenibili (accessed November 11, 2016).

On the one hand, there is the communication addressed to personnel as covered by Italian journalist Antonio Calabrò in his recent book 'La morale del Tornio'. He explains that often when a business word is quoted through a cultural context, for example, an well-established institution and with widespread recognition, it causes a negative reaction by personnel. In fact, frequently in public offices, there is a paralysis due to public servants' personal inclination to reject any innovation or change. Public administrations 'live the innovation as an attack to bureaucracy which is slow, asphyxiating, and conservative'.[247] In these cases, the way to crumble the barriers could be to include in the institution an innovative and external element like the employment of a project manager. It is a temporary figure with the ability to integrate different skills and with the specific aim to develop a project and optimise organisation. The PM has the responsibility to reach the final service overseeing budget and time boundaries, always with a coordination of project team activities.

The knowledge possessed by the PM should take into account the lesson learned by previous case studies applied by colleague librarians. In an interesting book on librarian management, Italian library director Alessandro Sardelli affirmed that before starting with a Project Management approach it is crucial to deeply evaluate the level of preparation of one's own institution. In this way, it is possible to avoid taking a leap into the unknown in favour of creating the best conditions for the quality of the results.[248]

On the other hand, there is the communication addressed to bosses which could be simplified thanks to the submission of typical documents for a project manager: the project charter (or feasibility study) and the baseline (or project plan). The details on the importance of measurement and quantification of data and figures will be explained later on.

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[247] Author's translation from Italian to English by: Calabrò, Antonio. 2015. *La morale del tornio: cultura d'impresa per lo sviluppo*. Milano: EGEA, 71.

[248] Sardelli, Alessandro. 2001. *Dalla certificazione alla qualità totale*. Milano: Bibliografica, 21.

Finally, another type of communication is through the public and community. In this perspective, the innovation could be originated from the territory and networks, as explained by an Italian professor of Management of Cultural Industries and Institutions at Bocconi University, Paola Dubini.[249] The territory should recognise the potentiality of our patrimony and suggest a more integrative approach. Therefore, thanks to communication, it is important to build stable relationships.

For example, the case of Archive Accreditation Service, which will be introduced in chapter V, has been developed since 2012 in the UK archival sector and it is a standard, designed with a Project Management planning, with the aim to increase the sustainability of archives and it is spread on the entire UK territory between public and private institution. Its biggest asset is to focus on the future vision for archives in order to develop better and more effective services.

The role of Project Manager could coincide with the same archivist, as explained by Italian archivist Roberto Grassi.[250] His work and the manual for planning works of archival arrangement and inventory edited by Province of Trento represent the main reference instruments to plan an archival project.[251] The starting point is that traditional archival works could be easily handling with the methodologies and instruments of project management. Therefore the aim is to address traditional tasks with more sensibility in order to obtain a service of quality. By definition, a project is temporary with a defined beginning and end in time, and therefore defined scope and resources.[252] Another characteristic of a project, in order to be called

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[249] Dubini, Paola in *Il Sole 24 Ore / Nova*, 26th November 2014.

[250] Grassi, Roberto. 2000. *Archivi storici e lavoro per progetti*. San Miniato (Pisa): Archilab.

[251] Provincia autonomia di Trento, Soprintendenza per i beni culturali, Ufficio Beni archivistici, librari e Archivio provinciale. 2014. *Manuale per progettazione di interventi di ordinamento e inventariazione di archivi*.

[252] The definition of project is quoted in Project Management Institution website by its manual: *A Guide to the Project Management Body of Knowledge (PMBOK)*.

such, is the uniqueness: it is not a routine operation, but a specific set of operations designed to accomplish a singular goal. That combines with archival set, in which every fond is unique and its organisational, administrative and cultural context is never-to-be-repeated. Finally, another similarity is that projects, like archives, have a life cycle: they run in five processes: initiating, planning, executing, monitoring, and closing. Each archival project, like a digitalisation, restoration process or an arrangement and inventory activity could be read with the life cycle of Project Management, as well as extemporaneous cultural initiatives that an archive could set up. For example, a conference, a documentary exhibition, the edition of a guide or a visit to repositories.[253]

Roberto Grassi explained how to adopt project manager's instruments in the daily archival activity. For example, the application of Work Breakdown Structure WBS to manage team work has the aim to make a project clearer and verifiable by the archivists in the team and the archive director.

In this perspective, American archivist Michel Kurtz provided a vision, like a poem, of the relationship between archives and project management.[254] He declared that coordination and communication should be the essential talent for an archivist-manager. In the wake of this statement, it could be possible to compare the culture of the Public Administration with the entrepreneurial one, as Italian journalist Antonio Calabrò did in a recent book.[255] If Calabrò talks of *engineers-philosophers* it will be possible – from author's point of view – to stress this bond and talk of another link between archivists and managers. In this way, professionals who have multiple skills can work matching different points of view and applying various methodologies in a process of continued growth.

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[253] An interesting analysis of the life cycle of a cultural eventi s introduced in Carù, Antonella, and Severino Salvemini. 2012, 148-151.

[254] Kurtz, Michael J., and Thomas Wilsted. 2004. *Managing archival & manuscript repositories*. Chicago: Society of American Archivists.

[255] Calabrò, Antonio. 2015, 71.

An example of literature in this field is 'How to manage processing in archives and special collection' by Pam Hackbart-Dean and Elizabeth Slomba addressed to *patrons*, namely the sponsors of an archive.[256] The work is designed in a simple and clear way and proposes the adoption of a *processing program*, namely an instrument to plan every activity for the management of collections accession, arrangement, accessibility, description and preservation, personnel supervision and conduction of resources needed. Scheduling helps the staff to focus on planned goals. Therefore, not only single tasks but also the entire process could be standardised and optimised.

In this context a *more product less process* MPLP type of approach could be applied in order to reach more practical results by streamlining processes. This slogan coincide with the will to simplify the bureaucracy. However, processes should not be confused with procedures; in fact, the optimisation of archival activities concerns the standardisation of procedures. Archival processes, like acquisition, appraisal and arrangement, should not be deleted but rather improved thanks to the uniformity of procedures and the imitation of best practices. According to the MPLP approach the work should do well at the first attempt. In fact, if the task can be made by following standardised procedures, it will be possible to obtain better results. In other words, working for projects and goals means to shift the attention from single processes to the global result: more accessibility to the documentation.

In an archival project, each process should include the assignment of priorities among documentary collections, the definition of the level of description in the inventory and the establishment of the adopted standards. The best way to evaluate a management program is the measurement of the efficacy of policies, the planning of resources and the monitoring of the achievement of expected results by the staff with the common goal to quantify the value reached by the

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[256] Hackbart-Dean, Pam, and Elizabeth Slomba. 2013. *How to manage processing in archives and special collections*. Chicago: American Librarian Association.

stakeholders. As introduced above, the application of measurement strategies and the monitoring of projects and results are crucial and useful to keep a fruitful communication. The control activity is based on multiple dimensions: a report and collection of operating data and a behavioural analysis with the aim to assign responsibility and motivate the staff toward achieving the goals.[257]

First of all, user satisfaction should be implemented and developed in an archival context so as to consider it as a fundamental strategic goal. Secondly, surveys should investigate the staff satisfaction too. An example in this case is the research on voluntary satisfaction elaborated in the UK.[258] The UK is the main actor also in the edition of users' satisfaction surveys. As introduced in detail in the fifth chapter, a group of the national association of archivists has elaborated since 1996 a survey with the aim to investigate users' opinions and their interaction with the archive and the community. Their results are published online with the help of a statistical agency.[259]In 2012 the same model is emulated in the USA and Canada by a group of researchers, as underlined in the following paragraph.

Furthermore, the typical analysis on the quantification of costs and times should be underpinned. Archive directors should estimate the time needed in order to undertake the management of a new documentary collection, its description and arrangement. Additionally, the time required to answer to an access inquiry by colleagues, namely an internal member of the institutions, and external, like an ordinary citizen, should be monitored.

The economic and managerial approach to archives could be exploited thanks to the potentiality of digital infrastructure. In fact, with digital records and their metadata, it is possible to image an easy

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[257] About this topic, the author is obligated to Gisella Torre's master thesis: *Come misurare il valore creato dall'azienda*, Advisor Liana Fadda, Università degli Studi di Genova, Facoltà di Economia, 2007.

[258] Cfr. http://www.nationalarchives.gov.uk/archives-sector/projects-and-programmes/volunteering-research-project/ (accessed August 21, 2017).

[259] Cfr. http://www.archives.org.uk/publications/journal-of-the-ara-sp-1111397493.html (accessed August 22, 2017).

analysis of time processing, personnel in charge of a single procedure and in each phase. In addition, the number of readers of each document or archive group could be noted and quantified, starting with its creation until its transition in the historical archive.

Written policies and plans are essential and they should be revised regularly as argued by Richard Cox. He stressed the importance of written procedures for the administration of every phase of an archival program.[260] In fact, written procedures represent the trump card to deal with the tricky phase of a handover because they define each characteristic and boundaries of the archive. In this way, effective procedures ensure a measure of continuity for the institutional archive and when they are published (for instance, online) they are a form of an orderly showcase for the public. In order to create a self-sustaining archive, the procedures should be standardised.

To develop the concept of sustainability in an archival field, a link with the logistics management concept of the *supply chain* could be appreciated, namely the system of organisations, people, activities, information, and resources involved in moving a product or service from supplier to customer.

The key point is the improvement of the *supply chain*, the processes and then, the optimisation of them. However, first of all, it is crucial to recognise the existence of a *supply chain*, a typical element of a company and industrial environment, in a cultural institution like an archive. Furthermore, the toughest hurdle to overcome is to demonstrate to internal human resources how *supply chain* optimisation could guarantee more efficiency in daily activities. Following this concept, the archive could analysed the path of documents handling from the current phase to the historical archive. Every phase should be organised in an operational way because 'they are connected and interdependent like rings of a chain'.[261] The key concept is the

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[260] Cox, Richard J. 1992, 34.

[261] This concept is expressed with the term of 'chain of preservation' in Mata Caravaca, Maria, and Monte, Matteo. 2015. The role of policy for documentary systems. JLIS.it Vol. 6, n. 2.

improvement of a supply chain, of processes and therefore the optimisation of various transitions. In order to obtain it, the correct discard of documentation should be performed regularly. Another procedure linked with discard is *deaccession*, namely the process with which a museum, a library or an archive decide to remove an object from its patrimony because it is irrelevant for the characteristic of the entire collection.[262] The topic is quoted for the first time in 1984 by American archivist Richard Hans[263] who applied it to a university archive and was recently studied by Paul C. Lasewicz, business archivist at McKinsey company.[264] In fact, a practical example of applying the deaccession method could be in an entrepreneurial archive where copies or irrelevant documents for the main structure of the archive could be transferred. Although the application of this process is very tricky and risky, a reflection on this topic could be encouraged and sparked between archivists in order to exploit new ways of improving incomes and rationalising spaces. Discards and deaccessioning represent parts of the process in the chain of records management and both activities should be examined in the management policy of a collection.

Finally, the sustainability concept includes also economic sustainability, namely the third element in the triple bottom line. Since 1970 studies on management costs have been conducted in the library discipline while the most important contribution to the economic analysis applied to archives come to the fore since 1980s thanks to the studies by an archivist from Illinois, William Maher.

He stated in 1982 that greater control of the successful management of archives 'may be accomplished through the

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[262] About the advantages of deaccessioning see: Doylen, Michael. 2001. "Experiments in Deaccessioning: Archives and On-line Auctions". *The American Archivist.* 64 (2): 350-362.

[263] Haas, Richard L., "Collection Reappraisal: The Experience at the University of Cincinnati," in *The American Archivist* 47:1 (Winter 1984): 52.

[264] Lasewicz, Paul C., "Forget the Past? Or History Matters? Selected Academic Perspectives on the Strategic Value of Organizational Pasts," in *The American Archivist* 78:1 (Spring/Summer 2015): 67.

measurement and analysis of processing cost'.[265] The American archivist introduced in his article the economic issue applied on archives, because for him 'the efficiency of – archival – processing can be quantified, measured, and monitored through the use of cost analysis'.[266] Now, as in the past, there are very few examples on this topic in the archival field compared to, for example, library studies or even more museology. Despite the fact that the cultural topic of these institutions is very akin to archives. For Maher, the reason behind this lacuna was probably the result of archivists' perception on archival processing, which involves unique material, and thereby unlikely it is possible to give a price of them. However, the point of this analysis should be the activities involved in processing which are – as Maher highlighted – actually quite similar to many collections at most institutions, even though each collection is unique.

Although the financial analysis is always rejected by specialist literature, it is essential in order to measure budget, which is the centre of an archival program: the budget usually defines the archivists' salary and the expenses for equipment and conservation.

'An analysis of a representative sample of processing can produce average cost and time measurements which can be used as guidelines for future processing operations'.[267] Furthermore, 'information on the costs of and time spent processing records will help the archivist to establish guidelines to improve both the quality and quantity of processing; justify the budget and staff resources of the archives program; draft realistic grant proposals; and make better decisions about acquiring collections needing extensive processing'.[268] These statements are the background of this thesis and Maher's research will be deeply applied in the following chapter.

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[265] Maher, W. J. 1982. "Measurement and Analysis of Processing Costs in Academic Archives". *College & Research Libraries.* 43 (1): 59-67.

[266] Maher, W. J. 1982, 59.

[267] Maher, W. J. 1982, 59.

[268] Maher, W. J. 1982, 60.

Thanks to Maher's studies, a trend of reflection on the economic consequences of archival management was opened in the USA. In 1985 another study was published in the American archival journal: 'What Is Backlog Is Prologue: A Measurement of Archival Processing' by Terry Abraham, Stephen E. Balzarini, and Anne Frantilla. The group of scholars focused on the analysis of time required for different segments of the processing activity and they proved that such observation was 'useful in planning staff responsibilities, processor assignments, budgets, and other management data'.[269] The main goal of this research performed at Washington State University for eight years 'was to measure the length of time between the arrival of different kinds of archival materials in the repository and the time that they were made available to researchers.'[270] The entire project has emphasised on the managerial approach used to check the time required for each phase of the archival service and the related improvement in the efficiency and effectiveness of the work processes.

In the same years, Thomas Wilsted talked about the importance of archives to have similar statistics on time and costs of processing in order to plan adequately for future development or justify their budgets.[271] Wilsted introduced a formula in order to quantify the cost of processing one cubic foot of archives, namely the unit of measurement for archives in the Anglo-Saxon countries which corresponds to the Italian linear meter. Wilsted's formula is:[272]

$$(cost\ per\ hour\ \times hours\ spent\ processing) + \frac{cost\ of\ shelving\ \&\ supplies}{cubic\ feet\ of\ archives} = cost\ per\ cubic\ foot$$

From Wilsted's point of view, the number of hours spent processing can be easily deduced while he explained all the needed

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[269] Abraham, Terry, Stephen Balzarini, and Anne Frantilla. 1985. "What Is Backlog Is Prologue: A Measurement of Archival Processing". *The American Archivist*. 48 (1): 31-44. The article reported interesting tables with data collection of that research.

[270] Abraham, Terry, Stephen Balzarini, and Anne Frantilla. 1985, 39.

[271] Wilsted, Thomas. 1989. *Computing the total cost of archival processing*. Mid-Atlantic Regional Archives Conference, 1-8.

[272] Wilsted, Thomas. 1989, 3.

steps in order to obtain the other elements. Otherwise, in the author's opinion it is arduous to define the exact number of hours needed to process and arrange an archive because usually the archival work is characterised by a long circular review. Wilsted self-recognised that 'some collections require that a great deal of time have to be spent on the cleaning and repair of dirty or torn records, the imposition of order on records that are either disorganised or whose original order is not useful, or appraisal to determine which records have permanent value and which do not'.[273]

However, the figures resulting from the application of these methods could help to show users and most of all sponsors, the average time in which a collection will usually be processed and ready for research use. In this way, the evidence of processing rates could guarantee a more reputation of the archivist's work.

In conclusion, sustainability should be not misunderstood with the mere existence of the institution. Contrarily, it would tend to reshape the criteria and instruments of public and private financing for the cultural sector.[274] In addition, it has the aim to individuate new strategies of sponsorship in order to increase and ameliorate the activities towards the public.

To sum up, archival sustainability can be defined as the group of activities aimed to guarantee a life for a long period of time to building repositories and institutional structures. The challenge for the archivist is to start the planning of the current phase of documentation in a rational way while having a vision of the archive in its future. An archivist's thought should concern the inheritance of the archive.

Archivists should be considered by the community as a key element which guarantees continuity and stability and provides a sound basis for the application of well-established practices, in the current and ever-changing digital world.

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[273] Wilsted, Thomas. 1989, 6.
[274] Trimarchi, Michele. 1993, 17.

3. Quality analysis in archives

Using a managerial approach it is easy to come across the word *quality*. The search for quality focuses not only on the final product, like inventories or paper restoration, but also and especially on the whole processes and services.

The paths of access to quality can be of three kinds:[275]

- *Internal path,* like self-evaluation and people satisfaction surveys;
- *External path,* like benchmarking and customer (in this case *user*) satisfaction surveys
- *Path based on a standard,* like ISO 9000 and EFQM

The application of the model UNI EN ISO 9000 on archives needs a deep knowledge of rules and an interpretation of these to apply the standard to an archival context.

The European Foundation for Quality Management EFQM model allows to pinpoint improvement goals and verify, as time goes on, the reached result; it constitutes a complete, structured and objective diagnosis instrument. These characteristics are appreciated also by the European Union that applied EFQM model from April 2000 to evaluate the efficiency of Public Administration.[276]

The EFQM should applied as inspired by the fundamental of Total Quality Management (TQM) principles. The most famous eight principles are:
1.   Customer-focused
2.   Total employee involvement
3.   Process-centred
4.   Integrated system
5.   Strategic and systematic approach
6.   Continual improvement
7.   Fact-based decision-making
8.   Communications

The first step is the design of a quality charter, which should be then shared and applied.

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[275] Sardelli, Alessandro. 2001, 35.
[276] Sardelli, Alessandro. 2001, 45.

The TQM strategic approach has 'a strong and unrelenting customer and stakeholder focus and a strong desire or quality service, which means meeting or exceeding customer expectations and needs.'[277]

For the archival perspective, in Italy, a 'Quality charter in the archival services' (in Italian: *Carta della qualità nei servizi archivistici*) was designed in 1997 by a workgroup launched by ANAI (the Italian Archival Association) and the Central Office for archives.[278] As declared in its introduction, the charter has the aim of promoting the improvement of archival services in order to guarantee the control of activities performed, and an uninterrupted contact with users with the respect of declared principles. The work was based on the D.P.C.M. of 27 January 1994 – Principles of the delivery of public services' (in Italian: *Principi sull'erogazione dei servizi pubblici*) which focuses on the definition of a standard of public services at the point of delivery. The quality charter was introduced in Italy with international experiences of renovation as a model. The past interest to improve PA did not have the prearranged outcomes. In fact, nowadays few administrations have edited a quality charter, as demonstrated in the following case study. From an archival point of view, the quality analysis should not exclude the study of internal organisation descriptions or professional aspects. In fact, the main goal of the 1997 project was the development of structures and activities, to provide a continuous improvement of the offered archival services. The 1997 work had the added value to be applied to every activity that characterises the current phase, semi-current and historical archive. The intention of the workgroup was to create an observer team that could evaluate the adoption of the principles and promote life-long learning. This charter should be

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[277] Dearstyne, Bruce W. 1999.

[278] The group was composed by: Caterina Isabella, Maria Guercio, G. Fioravanti, Maria Grazia Pastura, Erilde Terenzoni, Fabio Del Giudice; the paper is published in ANAI Notizie 1997 no. 3 and it is available as document on https://www.regione.veneto.it/static/www/cultura/CartaQualita.pdf (accessed January 17, 2017).

intended as a recommendation point thanks to a reference database form that identifies the relevant elements for the archival service and common indicator to evaluate the quality. It is interesting to underline that the workgroup' charter is addressesed to a wider public (private and public institutions) and mainly to the final users. This choice is probably related to the purpose of promoting the adoption of this project in a widespread way.

On the basis of the same 1994 rule mentioned above, in 2007 the Italian Ministry of Cultural Heritage issued a 'Charter on the quality of services' addressed to State Archives.[279] The customisable charter had the aim to establish the principles and rules in the relationship between the public administration and the citizens that enjoy their services. On the one hand, it represents an explanation of standards for the management of public services and, on the other hand, it gives space to the archive to show itself and its characteristics to users. The measure was generally adopted by the Italian State Archives which periodically publish an updated document on their websites.

Finally, using a metaphor, the archive is not a closed container to preserve documents but an open door to access documents. The focus is on the relation and contact between institution and users. The prestige of an archive is based not only on its patrimony but also on the level of commodities and on the quality of the general organisation.

4. Economic impact of archives

As recently stressed by a group of American Archivists, 'economic impact analyses have not been widely conducted in archives' but they are very important in order to 'understand how archives contribute to their local economies'.[280]

Quite a few studies about experiences featuring attempts to measure the performance of archives are identifiable thanks to a literature review.

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[279] Cfr. ANAI. 1997. Carta della qualità. ANAI Notizie, no. 3.

[280] Yakel, Elizabeth, Wendy Duff, Helen Tibbo, Adam Kriesberg, and Amber Cushing. 2012.

In order to continually build their reputation and support, archives could apply some analysis on user satisfaction. Additionally, the customer's satisfaction as an archival user is particularly important, as American archivist Dearstyne noted, 'because in many instances the government records centre will be in competition with private records storage facilities.'[281]

Access to services could be analysed with Zeithaml, Parasuraman and Berry's SERVQUAL model, to measure quality and performance.[282] The three American scholars proposed in the late 1980s an instrument to understand cruxes, namely gaps, for which the *customer* (*user* in this context) has a perception of low-quality with respect to his/her expectation and therefore a dissatisfaction. The gaps could be explained in detail in this way:

- GAP 1: Gap between management perception and customer expectations/requirement
- GAP 2: Gap between management perception and documented procedures/policies
- GAP 3: Gap between documented and actual executed processes
- GAP 4: Gap between actual service delivered and customer experience/perception
- GAP 5: Gap between Customer expectation and customer perception

The model is based on a subtraction between the level of perception of a product/service and the level of expectations in relation to that product/service typology. In order to quantify those values, a specific data collection is designed through a poll of relevant aspects:

- Tangible elements: aesthetical and functional components of the perceived asset/service, both relating to physical structures and personnel, as well as communication media;

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[281] Dearstyne, Bruce W. 1999, 105.

[282] Zeithaml, Valarie A., A. Parasuraman, and Leonard L. Berry. 1990. *Delivering quality service: balancing customer perceptions and expectations*. New York: Free Press.

- Reliability: ability of the institution to make an activity in a trustworthy and precise way; it is represented by items which analyses the honesty of the institution when the business runs;
- Ability to answer: ability of the institution in building support activities in order to facilitate the relationship and communication between professionals and users;
- Ability to reassure: inclination of personnel to answer users in a proper way in order to grant their necessities;
- Empathy: an ability of the archival institution interface to provide a personalised service that can meet the users' target.

On the basis of these areas, an archival institution could elaborate specific questions to which the user will give an opinion on a numbered scale. Archivists should understand the presence of the defined five gaps in order to try to reduce the difference and satisfy the users' expectations over time.

Good examples of the application of users' satisfaction surveys in order to understand the economic impact of an archive are the surveys performed in the UK and in the United States and Canada.

Since twenty years, in the UK a group of archivists of the national association of archivists - called Society of Archivist SoA until 2010 when it became the Archives and Records Association ARA – have been thinking about the creation of a national survey, as detailed in the fifth chapter about the pilot study.[283] The user survey, regularly performed from 1996 in the UK by the Public Services Quality Group PSQG of ARA, is known because it looks at the services provided from the visitor's point of view so that archive services can be adapted and improved. Furthermore, the bulk of data collected guarantees for each director, proof of how funds have been spent. Showing that to the boss or the government parent organisation, it is possible to manage the future allocation of funding: where the budget can be best used, and where the essential needs are for the institutional archives. This is due

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[283] For links to the entire series, see Archives and Records Association, "Other Useful Publications," http://www.archives.org.uk/publications/journal-of-the-ara-sp-1111397493.html (accessed January 19, 2017).

to the fact, as clearly disclosed since 1984 by British archivist Carl Newton, that there is an 'increased awareness of the need to justify future activities on the basis of a clear set of objectives and a programme designed to achieve them.'[284]

More recently, thanks to the PSQG model, in 2012 a group of American scholars created two parallel surveys on the economic impact of government archives (state, provincial, territorial, county, and municipal) in the United States and Canada using indirect measures.[285] Their outstanding contribution lies in the literature review that they performed on qualitative and quantitative measures applied to archives.

Thanks to these user satisfaction researches it is possible to reflect on the perception and use of the archive. In this way, it is possible to answer the question also on the agenda of the Italian archival school: 'Which inheritance and impact is society given by the archive?' – as archivist Pierluigi Feliciati formulated.[286] It is necessary to focus more on users, first and foremost to recognize their crucial role to keep the archival business running. For this reason, the challenge is to measure the value of an archive in the way in which it reflects human experiences and not just the bottom line of a balance sheet.

As recognised in the UK, archives also support the wider tourist economy and contribute to a locality's economic prosperity.[287] In fact, it is quite common that for a genealogical research, people travel and visit different archives, thus producing an income for the entire collectivity: from the rent of a room to the use of a restaurant or the visit to another cultural place.

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[284] Newton, Carl. 1984. *Strategic planning for records management and archives*. London: Society of Archivists, Records Management Group.

[285] Yakel, Elizabeth, Wendy Duff, Helen Tibbo, Adam Kriesberg, and Amber Cushing. 2012.

[286] Pierluigi Feliciati addressed this question during the *Associazione per l'Informatica Umanistica e la Cultura Digitale AICUD* conference held in Turin on 16th and 17th December 2015. His contribution had the title "La percezione dell'archivio del quadro delle Digital Humanities".

[287] Local Government Association (England and Wales). 2009, 10.

This literature review outlines how the managerial methodology was developed, most of all from the American and British schools, some years ago, although it is possible to observe a lack of interest during the 2000s with some little exceptions. Furthermore, it is striking to notice how underdeveloped research area is in the Italian context, particularly a considerable lacuna in the knowledge of quoted works. The tendency to travel along separate tracks could be explained by a different cultural tradition and development of archival studies, in addition to a linguistic distance between the Anglo-Saxon countries and the Italian peninsula.

PART II
CONTEXT OF THE '*ARCHIVE MANAGEMENT*'

Chapter III
Resources

This chapter and the following one represent the core field of the research. On the one hand, factors which influence the archive management, namely the resources of an archive, will be introduced. On the other hand, the typical activities and processes of an archival operation will be explained in order to optimise them in an *archive management*.

Thus, this chapter pays specific attention to three essential elements of an institution: people, infrastructures and budget, namely the resources available and required in order to ensure archives run smoothly and efficiently.

The crucial importance of resources for cultural institutions is a managerial vision of their existential issues low considered by the public opinion. In fact, commonly, there is a recognition of difficulties but the reason is ascribed to others, to the higher level, and rarely a scrupulous analysis of the causes is made. Indeed, in the Italian cultural sector is spread the frequent references in both written and oral evidence that the Ministry of Cultural Heritage is the *Cinderella* of the Government and the archive branch being 'more Cinderella than others'.[288] This common saying is here reported in order to contextualize the work in the Italian context where the management of the cultural patrimony is often complex due also to the background of lack of information in the general public about the internal organization of our cultural institutes.

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[288] A first quotation of the term *Cinderella* applied to CH Minister is in the text of the minister then in charge to CH: Urbani, Giuliano. 2002. *Il tesoro degli italiani: colloqui sui beni e le attivita` culturali*. Milano: Mondadori, 5. Another minister of CH talked about *Cinderella*: Melandri, Giovanna. 2006. *Cultura, paesaggio, turismo: politiche per un new deal della bellezza italiana*. Roma: Gremese, 21. An interesting article on the effects of reform of the CH Minister to archives and libraries is: Arduini, Franca. 2015. *La riforma Franceschini e le sorellastre di Cenerentola* in Biblioteche oggi.

Documents have unquestionably less appeal than paintings or ancient ruins for the general public. For this reason, archives are often unknown and their structure or their requirement of resources go unheeded. However, this statement joins different international countries, in fact, as stated English professor Elizabeth Shepherd 'archives received attention when they were the focus of political embarrassment or were an essential part of structural reform.'[289]

Exactly an administrative reform is affecting Italian archives for a few years starting in 2014 when the Italian Cultural Ministry has been the subject of a rearrangement of its own structure. On the one hand, was affirmed the autonomy in the archival branch thanks to the abolition of the Regional Secretariats (in Italian: *Segretariati Regionali*)[290] and giving to the General Direction of Archives a guiding role in order to elaborate standards, establish relationships with other administrations, rationalise spaces, and build archival poles.[291] On the other hand, the autonomy was denied with the unification of different bodies: initially, some Archival Superintendencies were joined with their relate State Archives and, secondly, Librarian skills – previously fell into Regions' jurisdiction – were merged into Archival Superintendencies with consequent effects on institutions' resources.[292]

Therefore, not a coherent improvement was made and the public opinion continues to do not understand the current management of archival bodies. The Government should recognise more technical and scientific autonomy to State Archives but, also and moreover, greater resources to Superintendencies should be granted. In fact, these bodies are peculiar for our country respect other international contexts because they have the power to guarantee the supervision on a

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[289] Shepherd, Elizabeth. 2009, 41.

[290] The regional secretariats still exist for balance aspect.

[291] About the reform of the Ministry of Cultural heritage see: Casini, Lorenzo. 2015. *Gli archivi nella riforma*; Casini, Lorenzo. 2015. *L'essenziale è (in)visibile agli occhi": patrimonio culturale e riforme*, in Aedon 3 available at http://www.aedon.mulino.it/archivio/2015/3/editoriale.htm (accessed 25 January, 2017).

[292] For the legislative references see the first chapter.

territory of a multitude of archives (from public local governments to private ones, as introduced in the first chapter) but they are underestimated. Their crucial powers to give guidelines and practical advice on local archive institutions do not have almost completely effect because they do not have a real force on the public opinion.

Starting with the analysis of archival structure and needed resources it will possible to underline how single aspects and general management can be optimised and, in this sense, the guide role of Superintendencies can be re-evaluated.

With regard to the fundamental resources for archives, there is a clear metaphor expressed by journalist Antonio Calabrò talking about *space* and its double faces: there is a needed *space* for storages and a little *space* that politics dedicate to archival Superintendencies.[293] As reiterate by Calabrò, archives are spaces that preserve collective memory and for this reason, have an essential function. The urgent of an improvement is felt by different points of view. Firstly, Calabrò, as a journalist, clearly states that archives are a cost but also a value of the national identity. Secondly, Giovanni De Luna, as a Italian historian, asked to 'do not penalize the management and the preservation of cultural patrimony which need to be protected for reasons that are slightly related to the capacity to generate income, but mostly with the creation of a public space for the citizens'.[294] In this sense, the optimisation of archival resources does not have the aim to generate economic income but better preserve traditions and culture.

Spaces, budget and people are closely linked together and the set of these variables define the value of an institution, in this case, represented by an archive. If the economic value of repositories and financial statement are easily understood on the whole, the aim of this chapter is to go over the simple count of economic loss in order to understand all characteristics of an archive, starting by people. In this

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[293] Calabrò, Antonio. 2015, 224.

[294] Author's translation from Italian to English by: De Luna, Giovanni. 2014. *Memoria usa e getta: le linee guida del ministro penalizzano gli archivi, un grande danno per gli storici*, in La Stampa, 25 July 2014.

direction, American economist Gary Becker – awarded the Nobel Memorial Prize in Economic Sciences in 1992 – give us the toolkit to analyze also the value of human capital.

Furthermore, some good practices easily applicable could be found thanks to the comparison of the management of human resources in the Italian archives with other countries. For instance, the leadership role showed by The National Archives in the UK is unbelievable – at the moment – for the Italian Central Archive of the State but some foreign characteristics explained below could be exported with success.

At the second point, the characteristics of repositories and archival equipment needed are analysed with the main focus on the opportunities or unsuitability of some managerial choices, from outsourcing to software issues.[295]

Finally, fiscal resources are treated in order to give some basic financial toolkit applicable specifically to archives and to propose a vision on archives as a rich collective patrimony.

1. People Management

Management is basically about what people do and the organisations in which they work. From that perspective, an archive is like any other organisation.

On account of that, to adopt a managerial view in handling human resources of a cultural institution means to analyse the organisation thanks to some basic variables: a) the direction of human resources; b) the responsible figure; c) the way to set up the work of human resources; d) the establishment of relationships with other institutions and stakeholders.[296] In addition to these variables, it should

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[295] An interesting guide useful in the choice of outsourcing solution is: Asta, Lara, and Maria Emanuela Marinelli. 2006. *L'outsourcing nei servizi archivistici: linee guida per operare una scelta*. AIDOC.

[296] Cfr. Montanari, Fabrizio, and Paolino Chiara. *Le problematiche organizzative nelle istituzioni culturali*, in Carù, Antonella, and Severino Salvemini. 2012, 115.

take into account the capability of an institution, namely the result of different human activities. The institution can show itself in a way more competitive and modern thanks to the communication of its patrimony to the public for research use as well as for Government requests. Therefore, the communication skill is a requisite of archivists and archival director.

In this standpoint, the European Union has defined the importance of archivists and their specific role in the 21st century 'as guardians of the memory of society and providers of authentic archival information for the public in order to enhance democracy, accountability and good governance, as well as to future training requirements and the possible recognition of archival diplomas throughout Europe, enabling archivists to carry out their role in the current and future scenario'.[297]

It is interesting to note that although there is a formal recognition of archivist' role by the international archival sector, the same European Union has approved in 2015 a regulation about the digital archives produced by the Commission which has lead a weakening of archivist' role de facto. Indeed, the Regulation no. 496 of 2015 defined that digital records would be permanently preserved by their producers instead to be deposited at the EU Historical Archives, located in Italy (precisely in Tuscany, as explained in the last chapter of this thesis). This decision by the supranational body demonstrates a scepticism on the archivist's capacity in the management of digital archives and the presumption to be able to properly preserve autonomously this kind of data. Although 'this political decision has been largely criticized by EU archivists, whose technical objections were not adequately considered'[298], no amendments were issued.

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[297] Commission of the European Communities. 2005, VII.

[298] Cfr. Policies for records management and digital preservation at the European Union, elaborated by Maria Mata Caravaca, ICCROM (May 2015) for the final report of InterPARES iTrust project 'Policies for recordkeeping and digital preservation. Recommendations for analysis and assessment services - Code 04'.

Therefore, the EU Historical Archives makes available to the public the EU historical records (both non-digital and digital) but, in the case of digital records, the Institute does not coordinate and it is not responsible for their preservation.

Italian situation seems to be in the same position of hesitation: there is a tangible urgency of personnel in government archives but minor results are evident on the national public agenda. For instance, the DM of 6 August 2015 has decreed a strong reduction of human resources in Italian government archives. The workforce plan defined twenty years ago, in 1997, was taken as reference point by the General Direction of archives and it counted 69 directors and 950 archivists between the archive branch of Cultural Minister (which includes: Central Archive State, State Archives, Archival and Librarian Superintendencies, Institute for Archives and General Direction of archives itself). From 2015 staff is reduced by 67% of units for directors and 34% for archivists, which count only 23 and 628 people respectively.[299] In the particular case of Superintendencies the situation is more warring: for their detailed activity of audit, education and surveillance on tens of thousands archives in the entire country, they just employ 106 archivists. According to 2015 data, the 66% out of archivist officials was over 60 years old.

This data on archivists could be compared with data on employee in PA in general. In fact, according to 2017 OCSE Report 'Government at a glace', among industrial countries, Italy has higher percentage of state employees over 55 years old, namely 45% out of total compared to an average out of 24%.[300]

In relation to statistical analysis on the presence of archivists in Italian archival institutions, in 2014 the Archival Association ANAI

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[299] The data are extracted by the DM of 6 August 2015 attached workforce plan. About the archival situation see an ANAI's report *Gli organici del Mibact, un'occasione perduta? Modeste proposte per prevenire*, October 2015, available   at http://media.regesta.com/dm_0/ANAI/anaiCMS//ANAI/000/0828/ANAI.000.0828.0001.pdf (accessed August 23, 2017).

[300] The 2017 OCSE report is based on 2015 statistical data.

made a survey on the state of art of national profession.[301] This noteworthy analysis counted 1394 archivists of which around half (46,56%) is between the ages of 20 and 40 years old. Therefore, a huge number of specialised professional are available on the national territory but only a few are employed, especially in central administrations.

However, archivists are just part of the team of personnel needed to run an archival institution. In fact, an archival service requires multiple staff as a keeper of repositories, a supervisor of the search room and clerks of administrative activities in order to complete, for example, a tender notice for purchases or to launch a competitive exam. In 2015 the total of HR counts 2.136 unit in the whole map of Italian State Archives and 290 in Superintendencies.[302] In order to fill half of the current gap of the entire Ministry staff, in spring 2016 was launched an extra public exam for 500 experts of Cultural Heritage with a permanent contract. In this selection are provided 95 places for archivists who finished the selection procedures by April 2017 but they are not yet hired (January 2018) with an astonishing lack of interest by the Government.[303]

The text of the recent public exam was the object of a reflection on the identification of cultural experts and their qualification. On the definition of a CH expert, different peculiarities for each profession are involved and everyone should accept a behavior regulation in order to be considered as part of the professional group. If museum specialists have the ICOM Code of Ethics, librarians and other Information Workers according to the IFLA Code, archivists have their code as well.[304] Archivists should respect an International Code of Ethics issued

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[301] The data are available at http://www.anai.org/anai-cms/cms.view?munu_str=0_1_1&numDoc=524 (accessed October 16, 2017).

[302] Casini, Lorenzo. 2015. *Gli archivi nella riforma*.

[303] On the dalay in the hiring procedures see ANAI's letter dated 27 December 2017 and available at http://www.anai.org/anai-cms/cms.view?numDoc=1221&munu_str= (accessed February 1, 2018).

[304] The ICOM code is available at http://archives.icom.museum/ethics.html; the IFLA code is available at

by ICA during the Annual Assembly held in Beijing on 6 September 1996. The Code is simple but specific, in one word *pragmatic*, with ten principles and their comments which integrate statements. The Code represents a complete analysis of the archivists' work defining the proper conduct in their daily activities. In particular, other codes of professional conducts will be explained in the fourth chapter.

About the description of archivists' activities and peculiarity, the Italian Association ANAI was actively involved in the elaboration of rule UNI 11536 'Qualifying professions focused on processing data and documents. Professional archivist' figure. Knowledge, skills and competencies requirements' (in Italian: *Qualificazione delle professioni per il trattamento dei dati e dei documenti. Figura professionale dell'archivista. Requisiti di conoscenza, abilità e competenza*) approved on 3rd July 2014.[305] The Italian rule explains the profile and the sphere of action of the professional figure of the archivist in the various contexts in which he/she works. The technical norm has the aim to delineate in a measurable, clear and unique way the requirements and characteristics (knowledge, ability, and competence) which a professional should have and keep in order to work protecting him/herself and users. It is interesting to underline that among archivist's tasks, other than 'control and communicate archives', there is the 'direction and management of an archival structure or service'.[306] This means that the indispensable managerial skills should be part of the archivist background as well as

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http://www.ifla.org/publications/node/11092, the ICA code is available at http://www.ica.org/en/ica-code-ethics (accessed January 27, 2017).

[305] At a later time, in April 2015, the norm was reviewed in order to clarify the terminology with the aim to be more understandable by a wider public.

[306] About the structure of the norm see the reflections formulated by ANAI Tuscany and available at: http://mda2012-16.ilmondodegliarchivi.org/index.php/normativa/item/648-lo-studio-dell-anai-toscana-della-norma-uni-11536-2014-figura-professionale-dell-archivista (Accessed January 27, 2017); Michetti, Giovanni. 2015. *Bibliotecario e archivista nelle norme uni 11535: 2014 e uni 11536:2014; la Norma Uni 11536 Sulla Figura Professionale Dell'archivista. AIB Studi*, *55*(1), 125-134.

his/her 'relevant intellectual knowledge'. In other words, archivists should be able to balance – using a project management language – *hard skills* like cataloguing or paleography which could be demonstrated with certifications and *soft skills* like communication and motivation.

The project which led to the establishment of the UNI norm was related to the law no. 4 of 2013 'Provisions on non-organised professions' (in Italian: *Disposizioni in materia di professioni non organizzate in ordini o collegi*) that encourage the self-regulation of activities for professionals without an authoritative group or register[307], like the Cultural experts. These characteristics explain why cultural experts were, theretofore, hardly defined. Furthermore, the definition of the norm was the first step in order to deal with the announced edition of *lists* for CH experts by the same law 4/2013.[308]

With these reason forewords, ANAI is currently working on the delineation of certificates about the quality of provided services (these certificates should be in compliance with the quoted norm UNI) and the registration of the association in the lists of the Minister of Economic Development.[309]

According to the reform of Cultural Heritage Ministry, with the art. no. 1 of Law 110/2014, was introduced in the 2004 Code the article 9bis on the definition of professionals able to act on cultural heritage (In

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[307] In Italian: *Collegio* or *Albo*.

[308] The provision was then regulated by art no. 2 of Law no. 110 of 22 July 2014: 'Modifica al codice dei beni culturali e del paesaggio, di cui al decreto legislativo 22 gennaio 2004, n. 42, in materia di professionisti dei beni culturali, e istituzione di elenchi nazionali dei suddetti professionisti'.

[309] Cfr. http://www.sviluppoeconomico.gov.it/index.php/it/mercato-e-consumatori/professioni-non-organizzate/associazioni-che-rilasciano-attestato-di-qualita (accessed January 27, 2017); the appraisal forms issued by ANAI are explained   at http://media.regesta.com/dm_0/ANAI/anaiCMS//ANAI/000/1081/ANAI.000.1081.0002.pdf (accessed August 29, 2017).

Italian: *Professionisti competenti ad eseguire interventi sui beni culturali*).[310] The article quoted archivists among other professionals with adequate training and professional experience and to which the responsibility of works on cultural objects are assigned.

In other words, the experience should give to an archivist the humility and flexibility in order to help researchers towards their curiosities, also if from a point of view their interest could be considered insignificant. He/she should be able to combine the *forma mentis* of conservator to that of the archive promoter.[311] He/she should not be auto-referential but able to communicate. In fact, the importance of communication in already affirmed among his/her managerial skills and explained in the second chapter. He/she should communicate with the aim to explain own work and potentiality of the archive toward who finance and who use the institution in order to inspire them and generate interest in it. The result is a new archivist, even more multitask and more manager of itself and the institution. He/she should be able to coordinate conservation and enhancement activity not only for his/her institution but in order to have positive consequences in the entire territory.

Part of the people management topic there is the question of volunteers in CH field. The so-called *third sector* started with an intervention in the social assistance and operated then in all fields in which the State barely acts and give an efficient answer, like the cultural area. Until a few years ago this phenomenon was more spread in other cultural sectors but nowadays could be dealt also among

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[310] The article text is: *In conformità a quanto disposto dagli articoli 4 e 7 e fatte salve le competenze degli operatori delle professioni già regolamentate, gli interventi operativi di tutela, protezione e conservazione dei beni culturali nonché quelli relativi alla valorizzazione e alla fruizione dei beni stessi, di cui ai titoli I e II della parte seconda del presente codice, sono affidati alla responsabilità e all'attuazione, secondo le rispettive competenze, di archeologi, archivisti, bibliotecari, demoetnoantropologi, antropologi fisici, restauratori di beni culturali e collaboratori restauratori di beni culturali, esperti di diagnostica e di scienze e tecnologia applicate ai beni culturali e storici dell'arte, in possesso di adeguata formazione ed esperienza professionale.*

[311] Cerri, Roberto. 1999, 45-46.

archival institutions in Italy and moreover in other foreign countries. For example, in England, there is a consistent presence of volunteers in relation to its well-established welfare culture. Volunteers 'provide important services that help further an organization's mission and ensure the survival of and access to our nation's heritage'[312] and, in turn, voluntary experience contributes personal satisfaction in participants.

In Italy, the legal recognition of volunteer role in CH was established by Law no. 352 of 8 October 1997. Then, on 5th October 1999, a protocol agreement is signed by Ministry of Cultural Heritage and main voluntary associations (*Arci*, *Auser*, *Archeoclub* and *Legambiente*) in order to develop their activity in the CH field, among which the 'help for storing archives' (in Italian: *supporto per la sistemazione di materiale di archivio*) is reported. Similarly to other work contexts, CH institutions should do all their duty while free voluntary contribution is additional. However, in absence of a clear and stable hiring policy, volunteering had unexpected evolution in the archival world.[313] The role of volunteering as a promoter of knowledge and protection in a territory should be recognised but it is not considered as a solution for the work issue. Volunteers not permanently replacing paid staff and therefore it is necessary to design a new national volunteer programme which will connect the archive strategy and volunteers' expectations. First of all, the current National Civil Service plan should be reformed because its massive use generates false expectations of job positions, especially in young people.

In this sense, the guidelines for volunteer management recently issued by Society of American Archivists SAA could be a model with

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[312] Society of American Archivists. 2014. *Best Practices for Volunteers in Archives, Prepared and submitted by the SAA Council, June 2014* available at https://www2.archivists.org/sites/all/files/BestPract-Volunteers.pdf (accessed August 24, 2017).

[313] A clear condemnation of the abuse of volunteers in Italy is espressed in a letter by ANAI dated 30 May 2017, available at http://media.regesta.com/dm_0/ANAI/anaiCMS//ANAI/000/1120/ANAI.000.11 20.0001.pdf (accessed August 8, 2017).

an interesting additional resource about the *Best Practices for Internships as a Component of Graduate Education*. It has the aim to disambiguate the roles of internship of graduate students or new archives professionals to volunteers' work.[314] Members of American Archivist Association, as well as the Italian one, have voiced concerns about the possible misuse of volunteers. In fact, volunteers may provide unpaid, charitable assistance to non-profit or public cultural organisation but they are not interns neither can substitute professional workers. Another best practice of hiring volunteers plan with a report of interviews directed to investigate the attitudes of the archive directors was made in Croatia in 2016.[315] It shows as an archival institution could exploit volunteer as

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[314]   https://www2.archivists.org/sites/all/files/BestPract-Volunteers.pdf (accessed August 8, 2017). In the USA the Association and an Academy of Certified Archivists have a crucial role in the identification of professional background. The Academy was born in 1989 and is an independent, non-profit, certifying organization of professional archivists. For many details see: http://www.certifiedarchivists.org/ (accessed October 6, 2017). It is interesting to note that USA National Archives NARA offers volunteer placement online and nationwide.

[315] Pavelin, Goran, and Roko Matanović. 2016. "Research on the Attitudes of the Directors of Croatian State Archives to Planning and Implementing Volunteer Management". In *Communication Management Review*. 1 (2): 94-117. In order to contextualize the Croatian archival environment regulated by Ministry of Culture of the Republic, see the 1997 Archives and Archival Institutions Act. Especially the specific section VI about the professional staff in archival institutions which defined the training background needed to work in different job positions at public and private Croatian archives. The Ministry of Culture is responsible for the legal supervision of state archives, while the work of the other archives is under the supervision of the administrative body of the county or the city of Zagreb. Professional supervision of the regional state archives is exercised by the Croatian State Archive as the parent institution, whereas the Ministry of Culture is responsible for the professional supervision of the Croatian State Archive. Furthermore, there is a Council of Archives with the advisory role on the development and carrying out of the work, as well as on the performance of individual professional activities.

an opportunity designing with the correct caution a plan for their temporary integration in a well-established body. Finally, the UK archival association has developed an annual volunteering award in order to promote archives which invest in people and share best practices.[316] Furthermore, the British association edited some reports in order to monitor the development of volunteering and analyse the motivation of this kind of activity from volunteer's point of view and archive institution as well.

The topic of the typology of staff which operates in an archive is a consequence of the definition of their educational profiles. In a nutshell, in Italy, the education of archivists is mainly under the state authority because it is expressly given by 17 schools of Archival Science, Paleography and Diplomatics at likewise State Archives which grant a diploma after two years of training and a public exam. The educational program of schools is still in force since 1911 according to the rules issued with the Royal Decree no. 1163. A draft of reform of schools is already designed since several years in order to re-qualified the figure of archivists but the Ministry has lacked interest on it.

To be more precise, it should be distinguished among educational requirements of an archivist that need to take part in a public competition of CH Ministry (namely the only access for a permanent role as an archivist in the State archives and Superintendencies) respect to that is required in order to work as a qualified professional. The Ministry required that every public official who interacts in the protection of cultural objects (whatever they are: archaeological, artistic, archival or others) have a master degree and a specialised title.[317] In other words, in cultural sectors professionals studied five years and then acquire a specialisation or a PhD or two

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[316] Cfr. http://www.archives.org.uk/?view=article&id=239:volunteering-award&catid=18&ZItemid=285 (accessed August 8, 2017). For a detailed contextualization of the UK archival environment see the fifth chapter of this thesis.

[317] These requirements following the agreement signed in 2010 between Ministry and trade unions.

years of a 2nd level master course before to take part to a public exam. In parallel, for archivists a master degree additionally to two-years of archival school are compulsory. The paradox which archival association trying to resolve is that the admission to the archival schools is allowed with a high-school diploma and not a master degree.

Instead, in order to work as an archivist not at national level, the scenario is very varied but for an exam in a public local administration would be right and proper the requirement of a master degree in archival science[318] or another master degree in association to a specialised title, as the archival diploma. The illogical fact is that there is not a recognised and shared plan of requirements which PA should be in compliance with a regulation in order to select an archivist. The fall in this tricky outline on the archival requirements is often avoided by the local public administration entrusting freelances or cooperatives which are employed just for a temporary archival project. The situation of the workforce in private archives is even more complex and without any boundaries but this discouraging status is out of topic respects this research.

In conclusion, the paragraph about people management shows the necessity of an HR strategy in order to optimise the *archive management*. First of all, should be found a minimum number of archivists for each archival institution in relation to the number of documentation, the dimension of the government body and opening hours set. Secondly, the staff which works in an archive should be varied and complete of all kind of specialised feature. Thirdly, the education of staff, and archivists *in primis*, ought to encompass different knowledge – from digital administration to managerial skills –

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[318] In brief: 1) master degree LM-5 in archival science; or 2) four-year degree course - old system – in Cultural Heritage archival adress; or 3) other four-year degree corse or master degree with the archival diploma issued by Schools established in 17 State Archives or other equivalent diploma issued after a biennal course (e.g. diploma of Scuola speciale per archivisti e bibliotecari at University of Rome, La Sapienza, or equivalent courses).

always affirming the importance of continuing professional development, as explained in detail below. There are not necessary new professions but archivists with new skills. Finally, the archive director has a key role in the definition of workforce plan, assign tasks, and play on the frontline in the communication of archival activity to the public. The efficiency of an archive could be possible only thanks to a coordination between human resources. In this sense, the director is the person in charge to enhance archival role through a good management of all resources.

1.1 The archive director as an archival manager

This entire chapter and in general the whole thesis is focused on the manager of an archive, his/her skills, and the duties in his/her daily activity.

In order to give a first definition of the director of an Italian government archive, could be useful to refer to the article no. 61 of D.P.R. 445/2000 on the *Service for the management information system of documents and archive workflow* (in Italian: *Servizio per la gestione informatica dei documenti dei flussi documentali e degli archivi*).[319] In this fundamental article, at the second comma, is defined the director of the service for the archive workflow in each PA.[320] He/she should be a public officer, in possession of adequate qualification requirements or technical and archival professionalism developed through the procedures prescribed by the law in force.

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[319] The duties of a qualified archivist were previously defined in the D.P.R. no. 428 of 1998, art. no. 12.

[320] The entire text of article no. 61 of D.P.R. 445/2000 is: *1. Ciascuna amministrazione istituisce un servizio per la tenuta del protocollo informatico, della gestione dei flussi documentali e degli archivi in ciascuna delle grandi aree organizzative omogenee individuate ai sensi dell'articolo 50. Il servizio è posto alle dirette dipendenze della stessa area organizzativa omogenea. 2. Al servizio è preposto un dirigente ovvero un funzionario, comunque in possesso di idonei requisiti professionali o di professionalità tecnico archivistica acquisita a seguito di processi di formazione definiti secondo le procedure prescritte dalla disciplina vigente.*

The topic about the figure of the more suitable director for a cultural institute is a big issue. The debate ignited for many years is about the inclination to choose a figure purely managerial compared to one purely artistic, or with an education mixed in both fields.

Recently, in 2015, in Italy there was an International selection for 20 directors of national museums with a special autonomy which should specifically have a proved qualification in the CH sector and ability in the management of cultural institutions. In this way, was introduced on the Italian public agenda the debatable issue about the presence of director manager for the cultural patrimony.

A case related to this topic was the recent establishment of the new director of the State Archive in Milan.[321] On February 2016 was appointed an administrative manager as director of one of the most important and historical Italian archive. Moreover, he has not the relevant diploma from one of the schools operated by the State Archives. In fact, as explained before, this title is well considered the core of the archival education in Italy and it is a prerequisite in the public exam for archival directors.[322] This fact generated some animosity in the archival community while, in another context, like the British one, would have generated astonishment to be just the first director manager. In fact, in the UK is spread the opinion that the director of a government archive should be firstly a manager and secondly, if it is possible, an archivist. An example could be the current CEO (also the terminology is related to the business world) of The National Archives TNA in London who has an engineer and managerial background but, currently, he is studying archival science.

This crucial matter of the educational skill for the director of a cultural institute is linked to his/her tasks: not only to run the internal

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[321] On this case see the letter from ANAI to the Ministry of Culture dated on 25 February 20016 and available on-line at http://media.regesta.com/dm_0/ANAI/anaiCMS//ANAI/000/0920/ANAI.000.09 20.0001.pdf.

[322] Similarly to the announcement for the latest public exam for archivist launched in June 2016.

organization but also to represent the image of the institute, to have the capability to acquire financing and receive approvals by users, stakeholders and other professionals.[323]

In Italy the terminology used for the archival director is not unique: in the State Archives there is the *executive officer* (in Italian: *funzionario dirigenziale*) and in archives of Public local authorities a *sole coordinator* (in Italian: *responsabile unico*); both of them are defined in this thesis with the simple title of *director*. However, about the leadership aspect, not all State archives have an executive officer; in fact, after the last reform, only six State archives have this role in their workforce plan while the other 95 just by a public officer.

The terminology is just a specification of the directive role because 'managing an archive programme is a complex but a worthwhile task, which requires a more systematic and comprehensive approach.'[324] For this reason, American literature on archives assigns archival directors the role of a manager. However, the same American Bradsher criticizes director managers because they quite often do not have a clear vision of cultural environment and stakeholders' expectations from an archive which are not comparable to goals of a company or a Public Administration institution. Frequently, from Bradsher's point of view, managers become commanders, instead of being leaders, and give orders forgetting that staff do not work for them but with them.[325]

In order to solve possible gaps between the director and other staff is crucial his/her supervision of all activity, from the simple accession and registration of documents to discard operations. The director should design a plan of reports from all the staff in order to take under control each phase of daily activity. She/he should check,

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[323] Montanari, Fabrizio, and Chiara Paolino, *Le problematiche organizzative nelle istituzioni culturali*, in Carù and Salvemini, 116.

[324] Ivanović, Jozo. 2010. *A Handbook on Archival Science*. Zagreb: Croatian State Archives, 12-41.

[325] Bradsher, James Gregory. 1988, second edition 1991, 254.

correct errors, interact with staff if they are doing a good or a bad job, and generally inspire an optimisation of processes.

The key to success is the staff motivation creating a collaborative, confidence and positive social environment. The director ought to have flexibility in matching jobs to staff needs/strengths, meet developing strategic challenges and encourage staff retention in order to avoid a high turnover.

1.2 Continuing professional development

The main goal of the definition of people's skills and characteristics is the recognition of a more investment in education in double direction: on the one hand, requiring archival knowledge to people who manage document in government institutions and, on the other hand, continuing professional development for archivists.

In this direction, a useful analysing is made by Italian professor Linda Giuva who underlined that ongoing training is crucial moreover in a *learning society*, a society where the education is not ended after few years but carry on for whole life. [326]

In 2000 was published on Archivum (XLV 2000) a survey of archival education in Europe. In 2001 archivist Luciana Duranti explained the professional education for records managers in the north USA.[327]

The continuing professional development in archival science should be encouraged inside the PA both for administrative staff, executive members, and archivists as well. Thanks to a coherent and up-date education plan could be also dealt with the staff turn-over issue. About the last topic, all the management of documents – for example, the historical patrimony of a PA – should be not relegated entirely in archivist's hands because when he/she will retire or, more often, when he/she will finish his/her project nobody could be able to

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[326] Giuva, Linda, *Quale percorso formativo per una nuova professione?*, in Klein, Francesca, and Stefano Vitali. 2006: 125-138.

[327] Duranti, Luciana. *Formazione professionale per records managers: la situazione nordamericana*, in Archivi per la storia, XVI (2001), n. 1-2.

interact with the archival organisation. Instead, staff turn-over should be previously identified as a potential issue and a communication plan with a reporting group of documents which represent a training reference point for colleagues should be designed.

In conclusion, it should be elaborated a general professional development plan for all staff of a government body which include managerial and archival skills.

2. Logistical and organisational resources

As the first chapter of this thesis started with a count of archives, in this paragraph the focus is on the space of over 1500 Km of shelves counted in Italy and their management.[328]

Due to the polycentrism model and the availability of historical buildings, in Italy, a lot of archival institutions were established in public building previously created for different purposes. In addition, private structures are rented upon expensive payments. The current situation of scarcity of space should be recognised and some proposals need to be given in order to optimise current buildings with the aim to preserve documentation and pass down the memory to future generations.

The inadequacy of space should be solved because, as in philosophy, also in an archival setting, space is an inalienable *a priori*, without it the service cannot exist.[329] An interesting, but ephemeral, example of the acknowledgement of it, was the declaration in a 2014 Italian parliamentary meeting that a serious policy of planning is needed.[330] First of all, Congresswoman Gianna Malisani proposed a complete overview on the required spaces and a quantification of the current capacity of preservation in existing archival repositories. She

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[328] The data is extracted by 2015 statistics on State Archives elaborated by SISTAN and reported in the following paragraph.

[329] Cerri, Roberto. 1999, 37.

[330] Order of the day no. 9/02426A/029 introduced by Malisani Gianna in 9 July 2014 at Parliament, available as document at http://aic.camera.it/aic/scheda.pdf?core=aic&numero=9/02426A/029&ramo=C&leg=17 (accessed 25 January, 2017).

underlined the importance for archives to create a territorial network with state, public and private subjects in order to define a strategy for archival sites. For this purpose, she suggested the reuse of building owned by Ministry of Defence, like old barracks, due to decrease the public expenses for renting buildings and give a new public function to great real estate complexes. However, the political stance on this archival topic has not caused evident immediate results.

The picture of the situation of logistical resources of government archives could be easily summarised. Firstly, often public local authorities in order to follow the duty to conserve documentation decide to maintain them in repositories but without proper conditions, like basement or attic where frequently animals and mildews ruin them. The safe conservation of documents required healthy spaces, protected against fire, humidity, high sunlight, insects, rodents and thieves. In fact, the buildings allocated for an archival use should respect safety general regulation for the suitability of work environment (e.g. safety law no. 626/1994) and specifically for the preservation of documents (e.g. law on the prevention of fire no. 818/1984).[331] In this sense, the activities are grouped in two area: prevention aim (e.g. control of humidity between 45 and 55%) and restoration aim (e.g. disinfestations). Additionally, government repositories are often overflowing and outsourcing has seen as a solution. For government bodies, the choice between in-house retention and transfer to an external conservator may be determined by legislation.[332] In fact, public local authorities should ask the permission to Superintendencies which should check outsourcer's requirements before to move documentation.

In relation to the ownership of architectural patrimony allocated to Italian government archives, two lists of State Archives and

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[331] For the specific requirements see: Soprintendenza Archivistica per il Piemonte e la Valle D'Aosta. 2002. *Requisiti strutturali essenziali di un archivio di un ente pubblico*.

[332] Elizabeth Shepherd, Geoffrey Yeo, Managing records a handbook of principles and practice, (London: Facet Publishing, 2003), 184

Superintendencies with the indication of their headquarters, addresses and owners' name are available online. The first one is related to the buildings rented with their annual rent, the second one reported the buildings used with another ownership title.[333]

The dimension of rooms required for an archive is different according to the quantity of documentation but also in the relation to its form and typology. For this reason, the delineation of the exact space and facilities needs for a government archive is impossible to define *a priori*, but a description of the functional needs of archives can provide a clear set of goals. 'The quality and quantity of facilities will vary, but the basic functional needs in each of three areas – public service, staff, and storage – will remain the same.'[334] This statement should be the base concept in the building of new repositories and in the property renovation. Paying attention to the selection and cost of furniture and equipment can result that sometimes is inconvenient to built new archives with all specific requirements, while can be more efficient the renovation of a previous building or the sharing of rooms with other institutions. Furthermore, not only repositories with safety characteristics but also rooms for staff and users designed in accordance with functional criterion are essential. Additionally to these three main locations, dispatch room and other areas could be appreciated; an example could be a room where it is possible to work with children and students or spaces where conferences and exhibitions could be set up.[335] In relation to documentary exhibitions, often planned inside an archival institution, it is important that they are

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[333] The lists are available at General Direction of Archive website at http://www.archivi.beniculturali.it/index.php/chi-siamo/amministrazione-trasparente/beni-immobili-e-gestione-del-patrimonio (accessed August 25, 2017).

[334] Maher, William J. 1992. *The management of college and university archives*. Lanham, Md: Scarecrow Press, 148

[335] A case of this organisation of rooms is introduced in Cerri, Roberto. 1999, 44. A useful example of new building for an archive could be the text of Lodolini, Elio. 1968. *Problemi e soluzioni per la creazione di un archivio di Stato, Ancona*. Roma.

designed with specific preventative measures. For example, the UK has elaborated a standard for storages and exhibitions of archival documents called BS 5454/1989.

The adoption of cautions for the preservation of documents is fundamental for the archivist's mission in order to achieve the best possible control of environmental conditions. However, the accomplishment of an optimal arrangement of spaces and equipment is extremely difficult.[336] The crucial aspect is that, except in relatively large or well-established archives, the common archival staff's challenge is to work with the aim to find greatest efficiency, effectiveness, and convenience from spaces and facilities designed for other purposes.

Manuals which help the physical management of repositories in Italian public local authorities is edited by Sara Guiati in 2000 and by Piedmont and Valle D'Aosta Superintendence in 2002.[337] However, their framework is relevant for a traditional archive with paper documentation, while the literature is less copious in comprehensive studies on the management of logistical resources in hybrid public archives.[338] Guaiti reported the fundamental needs for warehouses of semi-current archives but the principles quoted are applicable to all archival phases. Furthermore, she gave an interesting point of view in relation to evaluations needed in order to build a new stockroom.[339] First of all, the chance to locate archives outside the city centre could guarantee a more cheap and large space but efficient links with the centre and headquarter should be assured. In this sense, in the national

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[336] Cfr. Maher, William J. 1992, 152.

[337] Guiati, Sara. 2000. *La gestione di un archivio di deposito di ente locale*. San Miniato (PI): Archilab; Soprintendenza Archivistica per il Piemonte e la Valle D'Aosta. 2002.

[338] A reference point on this topic is: Attanasio, Agostino. 2014; Guercio, Maria. 2007. *Le amministrazioni centrali dello Stato. Studi di casi sulla conservazione dei documenti digitali*, available at http://sna.gov.it/www.sspa.it/wp-content/uploads/2010/04/Allegato5RapportoConservazioneDigitale.pdf (accessed October 6, 2017).

[339] Guiati, Sara. 2000, 13.

context, the reference of 1968 Lodolini's text for the new State Archive of Ancona or, as an international example, the debate related to the construction in the UK of The National Archives in the suburban district of Kew are interesting.[340] Secondly, good management of spaces and a pragmatic view of the future should need the design of a plan for an expansion of spaces. In fact, in every new construction, a sustainable plan for the optimisation of spaces should foresee the possibility of future implements of rooms in order to cope with the growth of documentation. However, 'given budget constraints at most institutions, it may be unrealistic to request more than five to ten years of expansion space but in all cases a basic goal should be to have at least two years of *breathing room* to prevent space limits from precluding accessioning important records.'[341]

For an efficient arrangement of rooms is interesting Guiati's proposal to construct new archival building thinking to circulation phases of documents. In this perspective, on the one hand, there are the accession and arrangement phases which require an entrance – if possible, with a lorry access – and a lobby where upload documents, a storeroom where select and analysing documents, and finally a definitive repository with shelves. On the other hand, there is the stage of documents leaving when discard dispositions are defined. In this case, a room for selection, a space to store documents pending authorization and an exit are required.

Spaces should preserve documents but also equipment able to reproduce, describe and transmit documents. Computers, scanners and machine for reading microfiches or microfilms should be placed in closed offices both for security from thieves and protection from dust.

Finally, it is important to underline how a good quality of services depends on the functionality of spaces. In fact, the possibility to work in an efficient way with advantages for administration and satisfaction of users depends to efficient spaces.[342]

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[340] Cfr. Lodolini, Elio. 1968; for the UK case see the fifth chapter.

[341] Maher, William J. 1992, 151.

[342] Guiati, Sara. 2000, 24.

As advanced before, different guidelines are needed for working in a hybrid archive because, in addition to traditional good practices, the ways to store digital documents should take into account in order to deal with the complexity of an inclusive hybrid system. In fact, the preservation of digital documents should not replicate the procedures tested in a traditional environment. First of all, it is important to realise that for a digital document the preservation of the content is not enough but the context of the information is essential for its understanding. Secondly, it is impossible to preserve the original support. In fact, digital resources are objects to a continuous transformation process in order to be accessible over time, which can generate irremediable same lacks and manipulations.[343] About the topic of the transformation process and the contraposition between 'migration' (in particular the migration in standard formats) and 'emulation' strategies, the archival community agrees to consider them not as an alternative and able to represent a unique better solution.[344] For these reasons, digital repositories should guarantee two goals which are in part contrary: the authenticity and the accessibility for a long period of time of documents and their relation to the original context.

Another binding element in this topic is the aim to keep costs within reasonable bounds and the scalability of solutions. There is a broader tension to consider the outsourcing and the cloud computing systems as a solution for the digital repository. These options have the risk for the owner to lose its responsibility role and should be avoided foremost for the preservation of the public national memory. The alternatives which can be evaluated are grouped on the one hand in the possibility to direct management the repository and, on the other hand, to development the archival poles configuration. For this option, Guercio has proposed the study of a new form of preserver thanks the establishment of a consortium o company owned by government

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[343] Guercio, Maria. 2007.
[344] Guercio, Maria. 2013, 37.

bodies.[345] In this way, the institutions-creators maintain the control on the conservation of their documents and contemporarily a preserver repository can be properly built guarantying authenticity of documents.

At the national level, the design of a comprehensive plan in order to reorganise the logistical resources for digital storages and which is sustainable and coherent with the best international archival research it is increasingly necessary. In the first place, this plan should reshape the coordinator role of the Central Archive of the State as suggested by Guercio in occasion of the sixtieth anniversary of the central institute in 2014.[346] She remembered the article no. 6 of D.P.R 2003/2007 about the CH Ministry reorganisation, which specified how the Central Archive of the State has appointed for the digital repository of documents transferred by central administrations. Reading the legislative text, it is possible to deduce that the other government archives should establish other digital repositories: one in each State Archive as well as in each public local authorities. This future framework is difficult to imagine and probably it is not sustainable. For this reason, in the same 2014 anniversary, Agostino Attanasio, then director of the Central Archive of the State, has proposed to reorganise the current archival structure opting for a unique digital repository for State Archives in the Central Archive of the State.[347]

In brief, digital issue leads relevant reflections on the optimisation of archive management because it illustrates the even more crucial importance to operate precociously in the first archival stage as possible.

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[345] Guercio, Maria. 2007.

[346] Guercio, Maria. *Il futuro digitale degli archivi e il ruolo dell'Archivio centrale dello Stato: una riflessione sui rischi per la tutela dei patrimoni documentari dello Stato e del Paese* in Attanasio, Agostino. 2014, 303-318.

[347] Attanasio, Agostino. *Gli archivi di oggi e quelli di domani* in Attanasio, Agostino. 2014: 7-30.

In conclusion, how a government archive and especially an archive of public local authorities can deal with the logistical issue?

Fundamentally, the options are three: the choice between the renovation of an owned building, the use of an external warehouse with a rental fee or not, or the commitment of documentation to an outsourcer. First of all, none solutions should not preclude and a business plan which takes into consideration a comparative study and a market survey should be designed. In this way, estimation of costs from the three possible arrangements could be collected. Secondly, a SWOT analysis for each alternative should be performed and only at that point, an agreement for the fulfillment could be activated. The SWOT matrix is an acronym for strengths, weaknesses, opportunities, and threats. It is commonly used in a business context in order to help the manager in the evaluation of these four elements of an organisation, (or a kind of repository, in this case) and improve the services.

Every phase in the choice of conservative location could be sustained by experts' advice, like Superintendencies' officers, which can direct in the choice on the basis of prior knowledge. Furthermore, they have the high-handedness of validating the decision because they monitor archives in order that the material is preserved in a suitable way.

3. Financial planning

A first statement, which links the previous paragraph on logistical spaces to the financial issue, is the budget needed for the purpose to rent archival repositories. Italian archives spend about twenty millions of euro per year in rental rates and a big part of these expenses are made by the Central Archive of the State.[348]

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[348] A condemnation of these counts is stated by Casini, Lorenzo, 2015. Evidence of data are available at http://www.archivi.beniculturali.it/index.php/chi-siamo/amministrazione-trasparente/beni-immobili-e-gestione-del-patrimonio (accessed August 25, 2017).

In Italy, economic problems of cultural heritage remain essentially a political issue because the management of cultural institution like archives is not able to be self-financing. State Archives are unable to be economically independent because they have no direct revenue. Consequently, public funding is essential but it is important to go beyond mere survival at a minimum level.[349] To do so, a reshaping of financial stability is crucial by means of an analysis of every expenditure items. Therefore, it is fundamental to acknowledge that the activities of a public archive are free services for the community and so they do not create direct cash. Furthermore, always because it is a public institution, the archive does not have any shareholders and for this reason a business evaluation in this sense is not possible.

The low consideration of this topic by politics is due to, as clearly expressed by archivists Francesca Klein and Stefano Vitali, the fact that cultural objects are not subject to attention if they do not produce instant and monetize income. For that reason, they explained, archives are less usable in that way and since 2003 are damaged from the public financial cuts which also affected the internal ordinary administration.[350] However, the financial problem is not only an Italian because also internationally, as testified by German Manne Haritz, 'the cost of physically processing and storing paper is becoming prohibitive.'[351]

Some studies conducted have shown that the public subsidies in culture are real investments for State because they are able to create multiple financial flows.[352] So, although probably it is impossible to think an archive object of important income, a clear analysis of the financial situation can guarantee more knowledge of its resources and try to find new perspectives to finance them in a sustainable way.

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[349] On the crucial effects of public financing, see: Trimarchi, Michele. 1993.

[350] Klein, Francesca, and Vitali, Stefano. *Introduzione* in Klein, Francesca, and Vitali, Stefano. 2006, 12.

[351] Menne-Haritz, Angelika. 1993.

[352] Cfr. Tosco, Carlo. 2014, 129

Governmental archives, as cultural institutions, frequently have negative economic results for various reasons, like fixed costs excessively high (e.g. numerous workforce but not coherent with needed professional profiles, expensive maintenance costs of buildings), elevate variables (e.g. utility costs not shrewd), and insufficient income (e.g. inability to fundraising).[353]

An important reference for a clear outline of the financial situation in an Italian archive is Roberto Cerri's study, although his study is outdated from some points.[354] He started with the list of initial investment required in the case of a new building: the money to acquire a real estate, to supply equipment for rooms, and to describe documents. The first costs have long value and for this reason, the amortisation time of them is quite long.

In brief, the ordinary management costs are remarkable and they should correspond to operative services in order to be accepted and financed by the administrator. For this reason, 'the archive should not only be a space for conservation but also a space for cultural initiative and should be used by a big number of users.'[355]

In order to sum up, the cost of buildings, equipment and preservation activity could be synthesised in a unique group of costs, the ordinary costs, which together with expenses for HR and processes represent the main three aspects to be evaluated in a financial planning.

The cost of HR in governmental archives is defined according to the classification of workers' levels and relative range of salary. Freelancers instead have not a clear identification of their salary if they do not take into account the outdated price list edited with the coordination of Italian association ANAI.[356]

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[353] Carù, Antonella, and Severino Salvemini. 2012, 161

[354] Cerri, Roberto. 1999. He introduces some tables on costs in order to equip an archive and manage it.

[355] Cerri, Roberto. 1999, 142.

[356] The price list was edited by professor Bonfiglio-Dosio and Concetta Damiani in 1994 on ANAI Notizie no. 4 and is available online at http://media.regesta.com/dm_0/ANAI/anaiCMS/ANAI/000/0126/ANAI.000.012 6.0002.pdf (accessed August 29, 2017). In several occasions its updating was

About the topic of processes costs, namely the analysis of costs of main archival activities, William Maher studied the measurement of processing cost in an academic archive.[357] He explained that is relatively easy to determine the cost of processing records when a project has a defined budget. Instead, most college and university archives of Maher's research – and similarly most archives of public local authorities – 'have no budget *per se*, and processing, records management, reference, and research functions are often performed by the same staff' independently by their job position. 'In these situations, archivists may determine processing costs by using one of two methodologies: retrospective analysis or direct measurement' with the aim to improve their performance and subdivision of tasks. The retrospective study involves the analysis of annual report-type statistics in order to determine the volume of records processed and hours spent processing over a determined period. This approach has been suggested already since the Seventies by American archivist Maynard Brichford and it is used by Maher at the University of Illinois during 1976-77 when he found that the cost of processing a cubic foot of records was about $19.[358]

These examples are here introduced in order to stimulate the elaboration of statistics and annual report in archives as well as a financial statement in order to generate positive results in the management, as explained below. However, a mere entrepreneurial perspective causes a damage in archives with the final result of their destroying because they are goods with insufficient earning. As clarified by Zanni Rosiello, archives are precious goods but their value is not an economic one: it is represented by the essence of a public

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proposed because its precise application is not coherent with the general financial resources available for an archival job.

[357] The study is quoted also in the first chapter and it is: Maher, W. J. 1982.

[358] The result of Maher's research was published on 1978 Midwestern Archivist V.3, no.2:3-24.

patrimony.[359] For this reason, the final paragraph is dedicated to the added value of archives.

3.1 The budget of an archive

The Ministry of Cultural Heritage has the task to write an annual general budget with all the items dedicated to protect, enhance and enjoy national cultural patrimony. The ministerial budget is available online and it is possible to extract the data for the item 'protection and enhancement of archival assets' (in Italian: *tutela e valorizzazione dei beni archivistici*) for 2014 and 2015 and an estimate for the next four years, as it is here reported.

2014	2015	2016	2017	2018	2019
€128.928.597	€137.152.488	€139.731.612	€136.460.066	€126.047.960	€120.840.063

Table 3. 2014/2019 General national budget for the item 'protection and enhancement of archival assets'.[360]

The archival budget is managed by the administrative responsibility centre of the General Direction for Archives. This body defines how the total annual budget must be distributed to State Archives, the Central Archive of the State, and Archival and Librarian Superintendencies thanks to some indicators and prior knowledge of the characteristics, activities and projects of each body.

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[359] Zanni Rosiello, Isabella. *Sguardi e impressioni sugli archivi* in Klein, Francesca, and Stefano Vitali. 2006: 111-124, 114.

[360] 2014 data are extracted by : http://www.beniculturali.it/mibac/multimedia/MiBAC/documents/14277000927 42_MIBACT_bilancio_preventivo_2014.pdf; 2015 data by http://www.beniculturali.it/mibac/multimedia/MiBAC/documents/14695284337 77_2015_-_consuntivo_per_udv.pdf; 2016 data by http://www.beniculturali.it/mibac/multimedia/MiBAC/documents/14544123805 81_Bilancio_di_previsione_2016_TAB_13.pdf; 2017-2018-2019 data by http://www.beniculturali.it/mibac/multimedia/MiBAC/documents/14903519626 00_bilancio_preventivo_2017_Mibact.pdf (accessed August 24, 2017).

In order to understand the figures here reported, it is useful to know that in the financial statement of the Ministry elaborated by chapters[361], the programme budget allocated to General Direction for Archives is structured into different sets of typologies of expenses, called: *operations*, *interventions* and *investments*. Consequently, when the amount of money is allocated to a peripheral cost centre, like a State Archive, it could be used thanks to the release of ordinary credit orders in favour of archive directors.[362]

Additionally to the amount of budget, the statistics office of Ministry of Cultural Heritage (SISTAN) periodically draws up a survey of all the national cultural institutions, including State Archives and Superintendencies, about their general situation in order to coordinate the information of the archival network. Surveys of State Archives embrace data of the patrimony, researchers, and operating costs. A collection of data is here reported thanks to the analysis of different polls with the aim to give a complete overview of some years.

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[361] The more recent financial statement available at the MiBACT website is dated 2015: http://www.beniculturali.it/mibac/multimedia/MiBAC/documents/14695285912 55_2015_-_consuntivo_per_capitoli.pdf (accessed August 24, 2017).

[362] According to the June 23rd 2015 law, which approved the expenditure plan for the financial year 2015.

Years 2009 – 2015: Amount of materials, shelves, presences, researches, etc.									
Year	State Archives	Sections of State Archives	Pieces of paper material	Shelves (ml)	Attendances	Researches	Operating cost (€)	Human resources	Buildings (mq)
2009	101	34	13.197.617	1.599.857	304.007	129.165	32.590.929	2.926	566.635
2010	101	34	13.300.273	1.610.210	308.239	123.234	28.869.210	2.801	556.171
2011*	101	34	13.332.990	1.603.937	292.686	140.684	20.445.651	2.754	562.152
2012	101	34	13.475.877	1.609.499	281.996	121.590	17.639.469	2.724	564.047
2013 **	101	33	13.805.410	1.563.160	284.830	125.586	13.828.527	2.635	564.295
2014	101	33	13.883.559	1.593.234	278.146	105.081	12.710.324	2.653	571.508
2015	101	33	14.249.566	1.560.004	274.509	111.724	10.883.361	2.506	574.382
* As a result of an earthquake in May 2012, the State Archive in Ferrara was closed and it did not fill the data for that year.									
** The section of State Archive in Fabriano has been closed. since July 2012									

Table 4. 2009/2015 Survey about Italian State Archives.[363]

Analyzing the data recorded by the SISTAN, it is worth to note that in the data concerning the last six years 2009/2015 a considerable reduction is evident in many aspects. The operating costs of State Archives have been reduced from 2009 to 2015 by more than half (-66%) but also human resources were cut drastically (- 429 = - 14,3%), mostly in the last year reported (-147 staff respect 2014). Although there is a smaller overhead and their reductions could appear consistent with the public expenditure review, general cuts generate impoverishment for both personnel and users' work. In fact, also the number of attendances has had a decrease (- 9,7 %), which has an effect on the number of researches carried out (- 13,5 %).

In brief, the public sector and, in particular, the local government sector have been significant cuts to such an extent that some strategies

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[363] Published on the website of SISTAN (Statistics office of Ministry of Cultural Heritage) at http://www.statistica.beniculturali.it/Archivi_di_stato.htm (accessed August 24, 2017).

have been put in place. These are the cut of expenses reducing an activity or merge services, giving some services in outsourcing, decreasing work hours, avoiding professional figure, using volunteering, and establishing a partnership. Beyond these negative options, there is the introduction of financial efficacy which is here proposed.

The starting point for the analysis of financial assets of an archive is the evaluation of the balance sheet structure used by the Central Archive of the State[364] that lists the specific institution's assets and liabilities, providing a snapshot of an archive's financial position at a given point in time. The Central Archive of the State is the only archive which should edit a balance sheet, while public local authorities usually take into account archival budget in different segments or sectors of the general balance of the institution, for example in HR, education, postal, or stationary item of expenditures.

Considering that the majority of archive services are placed within local authorities and are currently subject to budget pressures[365], the Central Archive of the State financial statement is used as a model in this research in order to design an ideal structure of balance sheet for a government Archive: a State Archive as well as an archive of public local authorities. The new instrument is coherent and accurate for an archival institution due to the similar activities and organization in each kind of government archive and it could be used by an archive director in order to optimise his/her management.

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[364] http://acs.beniculturali.it/amministrazione_trasparente/ (accessed August 24, 2017)

[365] Great Britain, and John Whittingdale. 2007. *Caring for our collections*. London: The Stationery Office.

ASSETS	LIABILITIES
Government surplus	Net salary for temporary workers
Initial petty cash	Extraordinary net fee for temporary and permanent workers
Contribution income for transfers by UE, State, Ministries and other bodies	Reimbursements for missions
Income for agreements	Social security contributions to be paid by the Institute
Revenue for services in direct and indirect management	Social security contributions to be paid by workers
Revenue for the deaccession of materials out of use	Tax deduction for the expenses of workers
Donations from private	Other deductions
Rent of buildings and rooms	Training courses for personnel
Insurance compensation	Meal tickets
Compensation from controversies	Purchase of paper, stationery, and printers
Other incomes	Purchase of books, journals, and membership dues
Recovers and refunds	Purchase of uniforms
Petty Cash	Purchase of consumer products
Treasury Department	Purchase of fuel
VAT under the arrangements governing 'SPLIT payment'	Air conditioning consumption
TOTAL LONG-TERM ASSETS	Expenses for representation
	Print, binding and design of books
	Expenses for cataloguing, inventory and census activities

	Legal and administrative advice
	Technical advice
	IT advice
	Other advice
	Learning activities
	Cultural activity: conferences, exhibitions etc.
	Expenses for advertisement and promotion
	Publication of calls for tender
	Health check
	Insurance premiums
	Consumption of water, electricity, gas, phone line
	Postal expenses
	Security services
	Ordinary maintenance of buildings, green areas
	Ordinary maintenance of furniture, office instruments, IT systems, vehicles
	Cleaning services and disinfestations
	Transportation, porterage and special waste disposal
	Rent buildings and residents costs
	Rent of machinery and vehicles
	Loss transfers to the State
	Other loss transfers
	Bank taxes
	Other financial duty

Tax of Municipality for garbage
Direct taxes IRAP
Expenses for controversy
Extraordinary expenses
Fond reserve for unexpected expenses
Purchase of buildings
Purchase of furniture, technical and IT instruments, vehicles, books, artworks, software, licences
Ordinary restoration and maintenance of fixed structure and museum installations
Extraordinary maintenance of buildings, green areas
Extraordinary maintenance of furniture, office instruments, IT systems, vehicles
Extraordinary restoration and maintenance of books
Extraordinary restoration and maintenance of archives
Extinction debts
Reimbursement bonds
Deduction taxes
Deduction for social and security
Security deposit
Petty cash
Treasurer's services
VAT under the arrangements governing 'SPLIT payment'

	TOTAL LIABILITIES
	Saving budget
TOTAL ASSETS	TOTAL BALANCED LIABILITIES

Table 5. Model of the balance sheet of an archive.

In order to optimise the archive management, a re-elaboration of the financial documents is necessary. In this case, it should emphasise the own various strategic areas: for example the accessibility of documentation for a quite extended opening hours, the setting of temporary events like exhibitions or guided tours with a ticket payment or sponsor(s), and the rental of spaces like the conference room. In fact, a good financial plan stresses on the development of priority areas in order to consequently manages other aspects of the cycle: cost priorities, identifying alternatives, implement expenditure, monitor expenditure, and determine a budget.

Additionally, archives can diversify their income base with teaching activities and reference services, like accomplished specialised researches, which could be sold as extra services.

Among services with payment, basic incomes are obtained with photocopying, reproductions/licensing fees, Baptism/Marriage copy certificates, and royalty on materials used in exhibitions but all of them are marginal. However, although more income could be reached with studies and local editions, researches and editorial activities need more investments which are the cause of an additional increase of service annual cost.[366]

A potential revenue, which should improve massively, is the possibility to sell paper for macerate. In fact, the past Italian laws required that, after the selection and relative authorisation, documents were collected and destroyed only by *Red Cross* while nowadays this boundary is not in force anymore. At the same time, archivists are often faced with the reality of deaccessioning material from their repositories,

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[366] Cerri, Roberto. 1999, 146.

such as copies.[367] In fact, all archives accumulate duplicates or irrelevant materials. Archivists have several options for removing such materials from their holdings: they may return them to the donor, transfer them to a more appropriate repository, destroy, or sell them. Although selling is the least practice of these options, it has some advantages, as explained by archivist Michael Doylen in his interesting study.[368]

Furthermore, it should be taken into consideration the royalty paid by companies like *Ancestry.com* in order to visualised archival patrimony in their genealogical business.

Another income could be the preservation, with payment, of archives owned by others. So archive become a conservator and an archival pole for other bodies asking a partial cover of maintenance costs. However, a policy in this direction, generate an increment of management costs and required personalised personnel, additionally to suitable equipment. About the conservation topic, it should be taken into account the current situation of several archives deposit without fees by State Archives in order to do not repeat the same mistakes an define the conservation policy immediately at the beginning. That reality was a consequence of non-regulated situation happened between 1800 and 1900 when a huge part of the historical documentation of different municipalities are stored in State Archives like a temporary deposit but then they naturally changed the relationship in a permanent transfer with a definitive leave of responsibilities.[369] It has determined the impossibility to ask creators a contribution in order to manage the custody of the archive and to design its finding aids.

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[367]Purcell, Aaron D. 2012. *Academic archives: managing the next generation of college and university archives, records, and special collections*. Chicago: Neal-Schuman, 164.

[368]Doylen, Michael. 2001, 350: This article discusses the legal and ethical issues raised for archivists by the use of on-line auction venues in deaccessioning unwanted materials

[369] Cerri, Roberto. 1999, 17

Finally, often the opportunity to be a historical building in central position means that the archive could become a location of political representation for official meetings and cultural diplomacy producing not relevant added monetary value but an increased reputation.

If an archive director-manager have the capability to analyse in that new way his/her institution can obtain its sustainability thanks to the highlighting of which services could be implemented and optimized. Moreover, it is possible to perform a benchmarking methodology in order to compare this situation with other cultural bodies and observe their tendency during many years with the aim to apply to them the economic and managerial analysis. In this way, it is possible to propose the introduction of financial documents in small archives also if, as declared, they are not compulsory.

Finally, it is interesting to notice that a result of a deep financial analysis could be the awareness that an explanation of the tendency to become inefficient are correlated with the fact that the resources are not enough and/or efficiently allocated. In order to solve this inadequacy, very common in archives, a more proactive fundraising should be implemented.

3.2 Fundraising

In the direction of fundraising program in archives, some choices are already issued in our country thanks to legislation. For example the tax credit or tax relief introduced by art. no. 1 of D.L. no. 83 of 31 May 2014, known as *Artbonus*, is applicable also for archives[370]. However, *Artbonus* showed a vagueness in the definition of CH: it affects also government archives or only private one?[371] From author's point of

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[370] The Law 83/2014 was turned in law with the Law no. 106 of 29 July 2014. A description of the previous rules on financial grants for investments in CH, mostly by private citizens and body, is explained in Torre, Gemma. 2015. *Archivi d'impresa a Genova: percorsi e materiali per un censimento*. Cargeghe: Documenta, 43-44.

[371] Casini, Lorenzo. 2015, 2-3

view, although patrons are not frequent in public archives, the Law should influence not an only private institution and it should be spread in this sense. The Law 83/2014 is addressed to sponsors guarantying a tax credit of 65% respect to the donated budget to CH. Especially about *Artbonus* financing and other possibilities of intervention in order to sustain cultural institutions, there is an interesting instrument with guidelines and examples: *Biblioraising*, a website typically for libraries but its explanations are applicable also in archives.[372]

Other results of philanthropic activity are the case of '8x1000' or '5x1000' like the assignment of 8 or 5 by 1000 of a tax credit of privates to the financing of preservation, promotion and enhancement activities of CH also owned by the State.[373]

Internationally there is a spread policy to award grants for projects which helped to secure or improve access to heritage collections which were of public benefit, e.g. the *Heritage Lottery Fund* uses money raised by the UK National Lottery with the goal to enjoy and protect their national heritage.[374] Nowadays, knowledge and experience of fundraising are increasingly important for archive professionals and many institutions recognise the need to apply for grants or project funds in order to supplement their core organisational funding.

Several are the example of crowd-funding in the archival sector also if they are still less developed. An example of this fundraising methodology is the project *Adopt a document* (in Italian: *Adotta un documento*) elaborated since 2008 by the State Archive in Genoa. It tries to ask a collaboration to the citizens for the restoration of parchments or ancient documents giving the visibility of donors when documents are shown in exhibitions.[375] Furthermore, annually there is a ceremony

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[372] http://www.biblioraising.it (accessed August 29, 2017).

[373] http://www.beniculturali.it/mibac/export/MiBAC/sito-MiBAC/Contenuti/Ministero/UfficioStampa/News/visualizza_asset.html_390094180.html (accessed August 29, 2017).

[374] Elizabeth Shepherd, "Archives," 2006, 267.

[375] For more detail on this project see: http://www.asgenova.beniculturali.it/index.php?it/151/adotta-un-documento.

of presenting the restorations which are also a form of communication in order to acknowledge the contribution made by the donors to the organisational goals.

In this context it is interesting to talk also about a crowd-sourcing example (namely a collaborative contribution to obtain services or idea) applied in the archival world. *Ancestry.com* and *FamilySearch* organisations, which operate in genealogical studies, started a project of transcription of registers of marital status and ask to the community to personally contribute to catalogue data by a software stand alone. This example represents a new way of participation of community to archival life, is linked with volunteers issue (because people involved in this project are digital volunteers) and with financial incomes (because the organisations give a royalty to the preserver archive for the use of documents). Furthermore, usually, these projects guarantee another positive return: the digitalisation of documents with the high quality format.

3.3 The archival value

The last topic of financial resources and in general of archival resources is the recognition of the existence in an archive, in the broad sense of a group of documents, of a tangible and an intangible value. The financial reading of this aspect is both underestimated.

First of all, archivists underline the added value that is not possible to measure with money but its result is a growth in knowledge and social life, so an economic result. It is the capability of mediation and interpretation that archivists give at the documentation in order to allow the growth of researches and consequently the number of users as well as the setting up of new conferences and exhibitions. For the archive, this intangible value contributed to the acquisition of a key role in the local cultural field and the community has recognized its importance. In this sense, archive could become an aggregative hub of local memory and can generate indirect income in the collectively as testified in North American scholars' study introduced in the second chapter.

Furthermore, cultural institutions contribute to social cohesion, the creation and reinforcement of the known *share capital*, namely the quality of people and of relationships between them.[376] They give a sense of belonging and give the opportunity of relationship and socialisation thanks to the emotional dimension based on experiences which characterized their functioning. This is one of the reasons why cultural institutions receive public financing. Furthermore, cultural institutions can generate critical thinking inside the society and so also dynamics of changing and improving.

But not only the benefits which an archive can create from its intangible value, like intellectual enrichment and aesthetic emotion, are possible to list. In fact, cultural properties additionally to a cultural value, namely the whole of aesthetic, spiritual, historical and symbolic values, have an economic value because they represent a patrimony. In this sense, should be understood the circumstance to appraise a group of document owned by public local authorities in order to consider it between the movable objects; while repositories are counted in real estate as already explained.

The possibility to establish a price of CH as a tangible asset is exploited in the literature in order to deal with the cultural market issue. Archives could have an established price thanks to a list of variable parameters which take into consideration tangible and intangible values: first of all, their ability to transmit knowledge from a historical-artistic and material point of view; secondly the opportunity to be enjoyed by a public, and finally their conservation status.[377]

For the archival and bibliographical heritage, an important parameter used by an archivist to quantify the value of a record object is its quantitative consistency on the shelves. The standard measure for an archive/book shelf is usually one linear meter to which an average

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[376] Cfr. Carù, Antonella, and Severino Salvemini. 2012, 178.

[377] Lorusso, Salvatore, Chiara Matteucci, and Andrea Natali. 2010. *Il mercato dell'arte e le case d'asta: valutazione diagnostico-analitica e economico-finanziaria : l'autentico, il falso, il riprodotto nel settore dei beni culturali*. Bologna: Pitagora, 124.

estimation of about € 5.000 could be attributed, according to Italian professor Salvatore Lorusso's surveys[378]. Then an appraisal of a document is contingent in relationship with the historical period in which it was created, typology of support, historical relevance, rarity, high economic value and conservation status. Furthermore, to define a univocal price for a documentary fond is not easy because it is a *unicum* and that implies that an economic quantification is impossible only by means of a comparison with other objects, even if by the same author or about the same object.

An interesting model of interdisciplinary study on the economic appraisal for artefacts is the Decree of 18 April 2002 called 'New classification of assets and liabilities of State patrimony and their evaluation' (in Italian: *Nuova classificazione degli elementi attivi e passivi del patrimonio dello Stato e loro criteri di valutazione*), issued by Ministries of Defense, Infrastructures and Transports, and Cultural Heritage. Particularly, the text defines criteria for the economic appraisal for archival heritage. According to this document, there is a basic value on which a periodic update takes place with the re-evaluation coefficients provided by ISTAT (National Institute of Statistics).[379] The obtained value increased also following the determination of the scientific value of the object, conservation status, historical period, writing equipment, relevance for historical researchers, rarity and high economic value. Then, it is also possible to take into account the price for similar objects fixed in the auction houses.

In conclusion of this chapter, should be recognised the link among resources and services offered. In fact, the parameters in order to define the financial, human and logistical resources needed are quantifiable in relation to services which an archive would accomplish. Resources are determined in relation to some variables like the documents' preservation conditions, the materials' quantity, the description level, the reading room's opening hours, the available IT

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[378] Lorusso, Salvatore, Chiara Matteucci, and Andrea Natali. 2010, 126.
[379] Lorusso, Salvatore, Chiara Matteucci, and Andrea Natali. 2010, 14.

equipment, and the enhancement policy of an archive. For these reasons, next chapter will deal with services, policies and processes in order to complete the elements needed for a total understanding of the archival reality and the *archive management*.

Chapter IV
Procedures, Processes and Services

After the chapter related to the management of the essential requirements to carry on the business in an archive, as well as a cultural institution in general, this chapter has the purpose to concentrate the dissertation on those specific principles that archival staff and especially an archival director need to master an archive. There will be addressed only those detailed aspects of archival theory and techniques that need clarification to help the daily management. For a more theoretical description of each specific phases of the archival life, it is possible to refer to the related literature.

This chapter describes the archival service perceived by the community like a sum of activities, competencies, and initiatives that the parent body put in place for and with the archive, in order to realise a correct working of the archive office.

As testified by previous chapters where different international realities are compared, the character of the archival document is always the same in every country but the methodologies with which is developed are dissimilar. Some clusters related to the different legal context could be highlighted in this chapter. For example, in the Italian juridical system the administrative document is the core element and is the subject of a specific consideration; indeed, the legal fact shown in a public document is recognised effective until proven of false.[380] For this reason, in Italy, the instruments for the management and the creation of documents are the theoretical basis of national archival methodology. These tools are the registration of incoming and outgoing records and the classification principle, which include the identification of the archival unit: the dossier (in Italian: *fascicolo*).[381] The unique dossier corresponds to the whole of documents which the body needs in order to carry on one transaction or case, also if single documents are created by different offices.

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[380] ANAI. 1997.
[381] ANAI. 1997.

The chapter is structured with an introductive focus on policies and internal instruments which an authority should have in place in order to explain how it manages its records. They should be endorsed by top management and made easily available to staff at all level of the organisation. The list of procedures represents the basis for a good management and they are here introduced paying attention to the various terminology between different international contexts. The approach used in the identification of procedures and policies which regulate the archive management, independently from the documentary phase which they involved, has the aim to represent a key element of the *documentary system*. In fact, according to archive theory, the *documentary system* is characterised by three components: the system for archive management (rules and procedures), resources needed, and the archive in the strict sense of the whole of documents made or received by the body, in the conduct of its functions. These characteristics define the *documentary system* as a concept with a wider scope respect the *archive* meaning because the first concept includes the second one together with the rules and resources needed for the creation, arrangement, retrieval, use, and conservation of documents. The entire system, whose optimisation is the object of the thesis, guarantee the general and systematic control from the creator body on its documentation.[382]

The second paragraph is dedicated to the specific processes of an archive. In particular, the archival characteristics are not explained inside the classical scheme of the three chronological phases according to the common method used to address this topic in the main archival manuals. In this thesis, the focus is on the whole processes performed which an archive director ought to know in order to then optimise them. However, the processes are introduced into three macro areas which can reflect the three subsequent sections of an archive. The main activity, or better the main service, is introduced for last: the whole activities performed in order to guarantee accessibility. Therefore, the

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[382] Guercio, Maria. 2002.

chapter will be examined accessibility as the core business throughout the archival life.

1. Internal policies and procedures

In the management of an archive, the entire staff is guided by laws, procedures and internal policies with the goal to make the most efficient and effective use of resources, ensuring simultaneously that records are correctly preserved.

First of all, a terminological premise is essential. The concept of policies is analysed in general term in relation to the management and handling of an archive. The different meaning between *policies* and *procedures* should be recognised. The first term describes the overall instruments and regulations of an organisation or a specific service/activity, as expressed by top management, while procedures define a specified way to carry out an activity or a process, in order to deliver a specific output or outcome.[383] Both of them are considered crucial in the archive management so that procedures are often included in policies. They give orientation in daily work and quality standards in order to ensure authenticity, reliability, and long-term accessibility of archives, especially when they refer on digital documents.

A policy usually starts with the definition of its sphere of action with words *purpose*, *vision*, and *mission* which are applied variously and often. Collectively, these terms describe *why* a service or body exists; *what/where* it aspires to long-term; and *how* it plans to get there. An archive inside a government body usually does not have a unique document which introduces its goals because the archive is considered a collateral service inside the entire organisation. For this reason, its mission statement may be defined in different layers and in more than one type of document. This highlights the generally passive approach taken by many government bodies to the production of a policy, which

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[383] The National Archives. 2014. *Archive Service Accreditation Standard*.

is often merely an act of compliance rather than a statement of commitment to records management best practice.[384]

There are different type of policy for documentary systems.[385] Commonly there is a general manual for archival procedures, e.g. the manual for records management procedures which is compulsory for Public Administration according Italian and Canadian lagislation.[386] Another kind of policy is more specific, for example anbout the privacy topic or the handling of particular documents like the e-mails.

Within the InterPARES Trust the role of policies is recognized as a crucial issue.[387] Furthermore, the policy question has been at the centre of a number of international projects (specifically APARSEN, 2011-2014) and of the processes dedicated to the recordkeeping and to the digital repositories (such as ISO 16363, ISO RM15489, ISO 30300, ICA-Req). 'In many legislations and recommendations for the preservation of digital resources policy tools are considered a key issue for supporting digital heritage access and preservation.'[388]

For Italian local governments, there is the possibility to add some information about the archival administration in their official internal statute, but just a few of them have implemented this reference.[389] In fact, few PAs have recognised that written policy can play a critical role in the handling of the archives and consequently in the administration

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[384] Shepherd E., Flinn A., and Stevenson A. 2011, 124.

[385] For a detailed overview on policies in archives see: Mata Caravaca, Maria, and Monte, Matteo. 2015. *The role of policy for documentary systems*. JLIS.it Vol. 6, n. 2.

[386] A first elaboration of the concept of *manual for records management procedures* was elaborated in 1991 in occasion of a UNESCO study by Murielle Doyle and André Frénière.

[387] Cfr. 2016. The final report of InterPARES iTrust project 'Policies for recordkeeping and digital preservation. Recommendations for analysis and assessment services - Code 04'.

[388] Cfr. 2016. The final report of InterPARES iTrust project 'Policies for recordkeeping and digital preservation. Recommendations for analysis and assessment services - Code 04'.

[389] Guiati, Sara. 1999. *I regolamenti d'archivio*. San Miniato: Archilab, 7.

of the entire body. On the one hand, they help staff and new hires as a guide to accomplish their daily duties; on the other hand, thanks to a good communication to the outside world, the explanation of archives' actions provides continuity in decision making.

On the basis of the relevant role of these instruments, it is important to promote a cooperation between different archives of the same level in the PA structure in order to define similar policies and procedures. In this way, users can recognize analogous procedures and have the occasion to understand a defined service for users like a government service, independently by the promoter body. In this direction, a lot of policies and procedures currently adopted by different Italian PAs are elaborated by national groups: for example, the classification scheme promoted by *Associazione Nazionale Comuni Italiani ANCI*[390], the classification scheme for archives in Provinces[391], and the noteworthy work for the issue of a kit of documents for archives in Regions (classification scheme, selection list and manual for records management procedures).[392]

A best practice in the design of a group of policies is the case of *Centro internazionale di studi per la conservazione e il restauro dei beni culturali ICCROM* which has represented a case study for InterPARES 3 and has applied the principles and guidelines of InterPARES itself.[393]

It is important to remark that in order to ensure policies' accuracy and usefulness, they should be updated on a regular basis, better a yearly review. For that purpose, documents uploaded online ought to be managed with attention because if they are outdated are a symptom of carelessness and generate confusion on their effectiveness.

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[390] http://www.agid.gov.it/sites/default/files/documenti_indirizzo/titolario_per_i_c omuni.pdf (accessed August 31, 2017).

[391] http://www.archivi.beniculturali.it/index.php/cosa-facciamo/progetti-di-tutela/progetti-conclusi/item/554-archivi-delle-province (accessed August 31, 2017).

[392] *Archivi & computer*. 2013. San Miniato (PI), 1, a. XXIII.

[393] The project is explained by Maria Mata Caravaca in Mata Caravaca, Maria, and Monte, Matteo. 2015.

The first group of policies should be considered the codes of professional conducts in effect at national and international level which ought to be at the bottom of every archival activity:

1) 1996 ICA Code of Ethics, as defined in the third chapter in 1996 Codice

2) 2003 Italian Code of ethics and good conduct for the processing of personal data for historical purposes (in Italian: *Codice di deontologia e di buona condotta per i trattamenti di dati personali per scopi storici*) attached to D.lgs. 196/2003

3) Universal Declaration on archives[394] approved by ICA on 17th September 2010 and adopted by the 36th Session of the General Conference of UNESCO on 10th November 2011

4) 2016 Basic Principles of the Role of Archivists and Record Managers in Support of Human Rights endorsed as an ICA working document

5) 2017 Code of ethics of Italian Association ANAI

Internationally it is possible to underline the role of the Europe Commission as a model in the setting-out and in the content of its policies. In fact, the supranational body is very keen on its archival development and on its portal it is possible to find a page dedicated to own archival and document management policy.[395]

In addition to ethical policies, some of the main important documents are here explained in order to give a framework which takes into consideration all the instruments used to govern an archive, independently from the documental phase which they involve.

a) Manual for records management procedures (in Italian: *manuale di gestione*) already explained in the first chapter. This instrument keeps even now an innovative characteristic (although was

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[394] https://www.ica.org/en/universal-declaration-archives (accessed August 31, 2017).

[395] http://ec.europa.eu/archival-policy/legal_basis_en.htm (accessed September 5, 2016).

introduced in PAs since 1998)[396] because it includes the whole of norms, procedures and internal regulation which establish the concrete ways of creation, use and conservation of documents. Furthermore, it defines the general characteristics of the archive administration specifying responsibilities (reporting the organisation chart and deeds of appointment) and giving guidelines for an efficient management of documentation like procedures for the creation, classification, transfer, disposal and accessibility (according to specific laws).[397]

b) Internal regulation (in Italian *regolamento interno*). Commonly there are two typologies of internal regulation: the first one is a document strictly related to the access conditions and the function of the search room; while the second one has a wider scope with a general statement. In both typologies, the first part is focused on the definition of the purposes, target and goals of the service: the mission. In practice, the second type of internal regulation corresponds with a forerunner document in respect to the manual for records management procedures. Instead, the first type could be found nowadays as part of the quoted manual in relation on the historical archive.

The importance of this document was affirmed by Sara Guiati in a volume expressly dedicated to this topic where she examined some examples of regulations and made some practical notes on them.[398] 'The approval of the internal regulation ratified the way in which the archive should conduct the service and define the essential requirements to carry on it every day, with rules of efficacy which guarantee the protection, safety and preservation of materials.'[399]

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[396] For detailed legislative referee see chapter I.

[397] For more detail see: Guercio, Maria. 2002.

[398] Guiati, Sara. 1999.

[399] Guiati, Sara. 2000, 49.

A best practice could be considered the regulation issued in San Miniato municipality (Pisa, Tuscany) and available online.[400] This document fully explores all aspects related to the archive management. Precisely in San Miniato an innovative research unit on archival science, ARCHILAB, was based. It performed, at the end of the 1990s, a research on the historical archive of municipalities in Tuscany, as explained in detail in the sixth chapter of the case study. The results of the research highlighted that only 6% of those archives had a specific internal regulation.[401] This data testified that the majority of Tuscany municipalities – but the same consideration could be generalised to the entire country – underestimate the potentiality of this instrument and the management of the archive in general. From Guiati's point of view, this situation represents a *cultural deficit*, more than legislative, that should exceed in order to perform a better management of the archive starting to its basis.[402]

Another good example is the law no. 11 of 12 February 1992 issued by the Autonomous Province of Trento about the institution of its archive. This case is significative due to the peculiar organisation of the Autonomous Provinces.

In general, the internal regulation of Italian public local authorities is edited having as the reference point the outdated regulation of State Archives: the Royal Decree 1163/1911, of which the third title is dedicated expressly to the archival service.

c) Acquisition policy. This term could be avoided favouring the expression of *collection development policy* in order to focus more

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[400] The internal regulation for the archive service was approved in San Miniato with D.C.C. no. 54 of 21 May 1997 and is available at http://www.comune.san-miniato.pi.it/modulistica-menu/modulistica-settore-3/cat_view/64-regolamenti-comunali/71-cultura,-biblioteche,-archivi.html (accessed August 30, 2017).

[401] Tani, Maurizio. 1998. *La Svezia degli archivi*, in Archivi & Computer, 1: 25-45.

[402] Guiati, Sara. 1999, 7.

on the long-term effect of selecting material than on the one-time act of acquisition.[403] Because these concepts were developed first in the library world, archivists ought to be aware of some important problems in terminology before adopting these concepts. The term *collection* and *acquisition*, frequently used in Anglo-Saxon archival context, are problematic for archives because documents are not collected or acquired but, if ever, accessed. In fact, the term *accession* corresponds to the transfer of records from current to semi-current or from the second phase tohistorical archive.[404] The meaning of this instrument is linked to a broader term of *documentation policy* which can be used to cover both core institutional records work and materials (e.g. books and manuscripts) donated by external people or bodies which are accessed by the archive.[405]

Sometimes it is possible to find a unique document for the acquisition and retention policy. The existence of a written acquisition and retention policy is commonly in the British culture where the accession process is not automatic and for this reason, it is necessary to refer to a compulsory regulation.

d) Retention policy and conservation plan. A document which defines the retention schedules. In the Italian archival doctrine, different terminology has been adopted for the retention concept. Started to use *selection list* (in Italian: *massimario di scarto* or *massimario di selezione*), while later on the term *conservation plan* or *retention schedule* (in Italian: *piano di conservazione*) testifying the direction of theoretical reflection through an opposite concept. While in the past the stress is on disposal activity, it was passed to consider this operation like a qualified moment thanks to Italian archivst Paola Carucci's trailblazing study.[406]

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[403] Maher, William J. 1992, 54.

[404] Maher, William J. 1992, 54.

[405] For more detail of documentation policy definition see: Maher, William J. 1992, 54.

[406] Carucci, Paola. 1975.

Consequently, the instrument was modified in order to point the attention on the conservation aspect. Following the archival theory, the *selection list* reproduces the list of categories of a *classification scheme* (in Italian: *piano di classificazione* or *titolario*) giving for each subdivision the indication of documents to be preserved permanently (and therefore, documents of State administration should be transferred to State Archives passed 30 years since the end of affairs) distinct by documents which should macerate after some years (5, 10, 20 and so on). In order words, the conservation plan is an instrument which combines the classification scheme (logical structure of every document) and the filing system (indication regarding the existing group of documents) with the aim to define management criteria and time of conservation.

e) Classification scheme (in Italian: *piano di classificazione* or *titolario*). Scheme of entries corresponding to functional needs of the body and not to the organisational charter in continuous evolution. Entries are structured in a hierarchical way with a logic pattern from the general to the particular with classes and subclasses.[407] It should not an abstract document but it should reflect the handling processes of documentation.

In Italy, at the end of 1800 with the known *Circolare Astengo* for the management of documentation in the municipalities[408], was shown the spread aspiration to uniform the document system acquired by the German bureaucracy about the activities conducting from the creation to the handling of files.

The classification is an essential instrument to arrange and manage documents, and consequently for their research and retrieval.[409] In fact, it allows the functional indexing of documents.

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[407] For more information see: Guercio, Maria. 2002.

[408] For more references on the Circolare Astengo see Chapter 1.

[409] Guercio, Maria. 2002, 28.

f)   Filing plan (in Italian: *piano di fascicolazione*). An instrument which guarantees the assignment of a classified document to the relative archival unit. Its importance is obvious because registering the activities performed into classes represents the basic form of inventory and the frame of the whole patrimony of the archive.[410]

g)   Preparatory and strategic plan. Documents that set out the objectives of the organisation and identify the actions needed to achieve those objectives. The strategic plan has a long-term goal and it is usually used in big organisations or companies. An example of its application in an archive is the strategic plan of TNA, as reported in the fifth chapter.

h)   Management plan. Some institutions, like the American National Archives NARA, have a document which supports the Strategic Plan and includes organizational planning, budget, procurement, financial management, human resources management, and program decision. In this sense, an archive could report in a management plan the whole of activities and services performed in order to give a brief overview to its stakeholders.

i)   Disaster plan. A critical component of the preservation program for each archive is the development of a disaster plan which outlines procedures and resources to be used in the case of sudden structural failures or environmental crisis caused primarily by water, fire, and earthquakes.[411]

In conclusion, an archive could have one or more policies which represent how the institution proceeds with its services for the public. On the one hand, they are essential for staff in order to coordinate their work. On the other hand, if they are visualizable by the stakeholder, procedures have the function to testify the institution's work and guarantee the accountability of the archive. 'External accountability is

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[410] De Felice, Raffaele. 1963. *Gli archivi correnti delle amministrazioni centrali*, In Rassegna degli Archivi di Stato, XXIII: 359-390.

[411] Maher, William J. 1992, 125.

especially important to public sector bodies, which are responsible for their actions to government and the wider public.'[412]

2. Processes

This part of the chapter defines the activities performed in an archive retracing the lifecycle of the documentation: current, semi-current and historical phases. For each group of processes, which coincide with the three phase, is underlined the main peculiarity of archival activities and there is a reference to instruments applied.

The director has the duty to harmonize the whole of activities and managed human resources with different profiles for each phase. The aim of the director is to keep the permanent link between the historical archive and the current and semi-current archives. In order to meet this responsibility, the archive manager ought to foster a homogeneity of procedures in order to raise awareness of an archive as a single entity, in spite of the chronological differences between documents.[413]

2.1 Classification, registration and filing

The first step of each document is to be part of the *current archive*, namely the whole of documents created, received and acquired for the carrying out of affairs currently underway.

It is fundamental to govern the documentary system in its constitutive phase because only in this way it will be possible to govern the archive in its consecutive steps. Therefore, the correct handling of incoming and outgoing mails are fundamental for the efficiency of the archive in its following phases.

In brief, during first processes, the archival units, namely dossiers, are created in the offices dedicated to a specific transaction or case. A decentralisation of activities among specialised offices corresponds to a plurality of current archives where first procedures of

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[412] Shepherd, Elizabeth. 2006. "Why are records in the public sector organizational assets?" *Records Management Journal.* 16 (1): 6-12.

[413] Guiati, Sara. 1999, 45.

records management are set. Regularly, each person in charge of handling dossiers ought to weed photocopies or drafts useless to be preserved; but this practice is more theoretical that effective. At a later time, during the process of transfer, documents will be preserved in a unique repository, the semi-current archive, by an archivist.

First moments of documents life in a PA registration office are characterised by a certain routine of steps, so as archivist Ernst Posner grasped in 1943: '1) the receiving and distributing of incoming communication (*apertura del corriere*); 2) the registering and classifying of incoming and outgoing communications (*registrazione*); 3) the preparing of fair copies of outgoing communications (*copiatura*); 4) the dispatching of outgoing communication (*spedizione*); and 5) the arranging and preserving of incoming and copies of outgoing communication for purposes of future reference (*archiviazione*).'[414] These processes, masterfully expressed by German – and American of adoption – archivist, are currently made quite at the same way, except for the introduction of digital form and therefore the few copies are replaced by scansion and dispatching activity corresponds to forwarding. With regard to the digitalisation of processes, a recent Guercio's reflection is shareable. For her, it is 'paradoxical that digitalisation, instead to enrich the quality and potentiality of information available by the administration, has resulted to determine a progressive impoverishment of adopted instruments and, consequently, of obtained results and future perspectives.'[415]

Precisely, the instruments related to this phase could be summarised in:
- Manual for records management procedures
- Guidelines of administrative procedures
- Daily register (in Italian: *protocollo*)
- Classification scheme

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[414] Posner, Ernst. 1943.

[415] Author's translation from Italian to English by: Guercio, Maria. 2017 "La classificazione nell'organizzazione dei sistemi documentari digitali: criticità e nuove prospettive". *JLIS.it* 8, 2: 4-17. doi: 10.4403/jlis.it-12327: 10-11, 11.

- Digital signature kit
- Records management systems
- Data retrieval system
- Conservation plan

A fitting records management system has a strategic role for the transparency and quality of the administrative action.[416] A records management system should include the classification and filing (in Italian: *fascicolazione*) of documents with also the metadata registration. However, in order to reinforce the Guercio's statement, some software are spread on the market with the aim to include all procedures in an inclusive graphics but in reality, they have created a poor theoretical structure unable to guarantee the preservation of documents for a long time causing the loss of classification importance. In this sense, could be appreciated the reflection of the misuse of *Sharepoint* software in Canada, as testified by Canadian archivist Dan Gillean, which has provoked the impossibility to adopt the classification scheme.[417]

2.2 Transfer, appraisal, and disposal

The offices dedicated to a specific transaction or case has the duty to transfer dossiers, when their paperwork is completed, to the semi-current archive waiting for the expiration of the retention schedules. The transfers processes should be done with regularity, better at the beginning of each year, and in a methodical way.

In this phase, the focus is on the analysis of quantity and handling of documents and the processes are helped by:
- Manual for records management procedures
- Conservation plan
- Systems for the physical positions of documents (guides, inventories, diagrams, etc.).
- Rules for the scheduling

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[416] Guercio, Maria. 2017, 11.

[417] Gillean, Dan. 2011. *The consequences of ignoring records management. A personal reflection on my time with the Government of British Columbia*, quoted in Guercio, Maria. 2017, 10-11.

- Written appraisal procedures
- Control system of document management (handling of patrimony in consultation, in conservation, in exhibition, etc.)[418]

The phase of semi-current archive is for the parent organisation as a 'strategic moment for the management of documents.'[419] In fact, it must find an efficient and serviceable arrangement of the documentation with the aim to easily recover the information and answer to public requests in short time.

The archivist or keeper of repositories has the duty to seek the receiving materials from multiple offices in order to identify the set of documents worthy to enter in the semi-current archive, so excluding photocopies and drafts. As an afterthought, following the indications of the conservation plan, dossiers which lack permanent value after determined years are individuated and eliminated. Before accomplishing the disposal process, an authorization from the local Archival and Librarian Superintendencies is obligatory, otherwise, there is a prohibition to destroy files.

The core process of this second group of activities, corresponding with the chronological phase of documents stored in semi-current archives, is the appraisal through which archivists assess the value of documents and decides which should be kept and which should be destroyed. 'Since documentation is a key part of society's ability to preserve and reconstruct the past, it is an appraisal that determines which events, people, and facts can be recalled and verified and which will be forgotten or retrievable only in non-verifiable ways.'[420]

'Formulae, flowcharts, and checklists can help clarify the elements of the decision process, but they cannot change the fact that

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[418] A good example in this sense is the project elaborated by Stefano Pigliapoco in Pigliapoco, Stefano. 1996, 41-107 where he introduced a daily digital register with a form for semi-current archive in which indicate when a group of documents are transferred in repositories or when are outside for consultation.

[419] Author's translation from Italian to English by: Guiati, Sara. 2000, 12.

[420] Maher, William J. 1992, 36.

appraisal is primarily a decision-making process based on the archivist's knowledge, experience, and instinct.'[421]

The problem of documents elimination during the semi-current phase is even more relevant now than in the past. An evidence of this statement is 1998 archivist Antonio Romiti's work. He addressed this issue comparing his previous experiences and that period in which there were an incredible bulk of photocopies: he reported that this kind of copies represented at that time the 60% of the amount of documentation in a public administration.[422] Nowadays the disposal is more complex due to the digital documents on which it is difficult – if not impossible – to find guidelines to select and destroy in a programmatic way the files not more relevant. The tangle is more complex in hybrid archives and in data redundant systems which avoid the loss of data but duplicate information and it make impossible to retrace them. Furthermore, in the digital era, it is important to reflect on the correct procedures of destroying. Which methodologies can ensure the right cancellation of a digital file? In this case, the verbal of happened elimination signed by a paper shredder factory and required by Superintendencies should be reformulated.

2.3 Arrangement, description, and preservation

One of the most distinctive characteristics of archival work, separating it from other information disciplines, is the arrangement of documents. The archival theory of arrangement states that documents should be handle or ordered in a way that reflects exactly how they were held and used by the office or person creating the records.[423] Therefore, the archivist manages records in keeping with the professional principles of provenance and the sanctity of original order, whenever possible.

Passed the years defined by law in the semi-current archive, the documents selected for the permanent preservation and freely

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[421] Maher, William J. 1992, 37.
[422] Romiti, Antonio. 1998, 21.
[423] Maher, William J. 1992, 74-75.

accessible for study and research become part of the historical archive. Then an archivist has the task to preserve the original order and on this occasion, he/she writes finding aids adopting description standards.[424] During these processes, the use of description standards is crucial because they are an instrument of intuitive self-recognition by the community and an instrument of the guaranty of scientific level of research tools.[425]

The instruments required in this group of processes are:

- Manual for records management procedures
- Conservation plan
- Rules for deposit of historical documents
- Rules for the arrangement
- Description standards
- Rules for the writing of finding aids and reference tools
- Rules for the positions and preservation of documents
- Policies for the search room
- Policies for personal data and materials not accessible.

The distinction between arrangement and inventory is not correctly defined in the literature, as highlighted by Paola Carucci, and

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[424] Fundamental reference is: Muller, Samuel, Johan Adriaan Feith, R. Fruin, 1898 (translated by Giuseppe Bonelli, and Giovanni Vittani in 1908). *Ordinamento e inventario degli archivi*. Milano: Unione tipografica editrice torinese.

[425] Main references about standards: Carucci, Paola. *Gli standard internazionali per la descrizione archivistica* (ISAD e ISAAR, EAD e EAC), in Carucci, Paola, and Maria Guercio. 2011: 137 -163; Duranti, Luciana. 1992. *Origin and Development of the Concept of Archival Description*. Archivaria; 35; Vitali, Stefano, and Maurizio Savoja. 2000. *ISAD(G): general international standard archival description : adottata dal Comitato per gli standard descrittivi, Stoccolma, Svezia, 19-22 settembre 1999*. Standards. Firenze: International council on archives; *ISAAR (CPF): standard internazionale per i record d'autoritàarchivistici di enti, persone, famiglie : traduzione italiana di ISAAR (CPF) International standard archival autorithy records for corporate bodies, persons and families : seconda edizione*. 2004. Roma: Ministero per i beni e le attivitàculturali. Direzione generale per gli archivi; Giuva, Linda, and Maria Guercio. 2014: 179-210.

often the two words are used as if one activity entails the other.[426] As Carucci masterfully explained, the arrangement tries to restore the original order, instead, the inventory aims to assure the accessibility of documents. The inventory is the finding aid par excellence and is edited with defined sections:

1. In the first part (general introduction) there is an explanation of the whole structure of the archival fond with a trio of elements: the institutional/biographical history of the producer (should be written in an objective way), the archival history of the documentation and methodology of the recent arrangement (illustrated in a very detailed way). Additionally, the abbreviation adopted and other instructions are introduced in this section.

2. Then, the second part (exposition of units of description) introduces the complexity of archival branching: it is a real list but the description of the single units is preceded by an introduction of the series.

3. Finally, often in the printed inventory, there are some indices for persons, bodies or places.

4. Eventually, in case of a previous arrangement, concordance lists between old and new marks are attached.

5. In conclusion, a traditional bibliography is included.

Inventory as a corresponding name in the Anglo-Saxon tradition as *catalogue* which contains a summary description of each record series and manuscript collection held by the repository.[427] The use of these different terminology although it could be considered a way to familiarise with other institutions like libraries and museums is – from author's point of view – a dangerous element of confusion because a visualisation of a sheet of a catalogue without the whole of links to other documents has the risk to make unaccountable the natural setting. In fact, an archive catalogue is not like a library catalogue. In

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[426] Carucci, Paola. 1978. "Versamenti e ordinamento degli archivi degli organi centrali dello Stato". *Rassegna Degli Archivi Di Stato.* (1-2-3): 52-77.

[427] Maher, William J. 1992, 101.

libraries books are organized by classification of subjects, (e.g. history, biographies, etc.) but archives are arranged by the government department or branch of the administrative institution which created or collected them. The risk of underestimating this difference by users can generate a misunderstanding of the way to conduct a research in an archival institution.

During each phase but most of all during the last one, in the historical archive, it is crucial the activity of preservation which is one of the 'broadest goals of archival theory and practice'.[428] The activities aimed to keep the longevity of paper and digital documents are the basis for a following enjoyment and accessibility of the document. 'It is important that the preservation issues are addressed and integrated into overall program management'.[429] Traditionally preservation identifies the processes activated in order to maintain the original physical status of paper (or more ancient parchment) documents. For a digital file, the conservation process must guarantee a trio of aims: *entirety* (in Italian: *integrità/completezza*), *reliability* (in Italian: *affidabilità*), and *re-readability* (in Italian: *rileggibilità*) of documents. Additionally, it must preserve links with producer subjects, allows researches, and visualisation also of attached archives. Above all, the conservation process ought to assures the selection activity.[430]

In order to summarise, in each macro-areas, the manual for records management procedures and the conservation plan are always quoted because they are the base of every process. As evidence of the fact, the Italian model is based on the principle of integration between management and conservation.

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[428] Maher, William J. 1992, 111.

[429] Maher, William J. 1992, 111.

[430] The topic of conservation plan is defined tanks to the clear explanation by Ilaria Pescini during the workshop *Gestione informatica dei documenti. Principi di base e buone pratiche in vista della scadenza dell'11 agosto 2016* hold on 28th June 2016 in Florence by ANAI Tuscany.

Every archival process should be integrated with the technological instrument, usually digital, and all of them should consider three aspects, already underlined in the treatise: organisational (administrative needs, the structure of the institutional body, its functions); legal (laws and internal regulation); shared languages (standard and policies).

A clear understanding of the archival processes, linked with the background introduced in previous chapters, can guarantee the identification of which elements should be optimised or integrated into a better management, with a vision on the future archive:

- to develop automatic processes for metadata extraction;
- to develop processes of audits of conservation repositories of digital documents, as requested by the Code of Digital Administration;
- to create software open source and sustainable;
- to guarantee the interoperability between software and similarity between procedures;
- to avoid duplication in order to preserve the document in its original context;
- to promote concentration process also during the first phase of document creation by different offices and authors;
- to promote public open data in order to guarantee communication with the community.

In these projects for future, the public local authority could become a coordinator and supplier of services in order to spread the digital knowledge to all of the citizens. For this reason, there will be set a real programme of education and local government can become a conservation pole in the territory. An example of a leadership role in this sense is played by Tuscan Region with its project *DAX* on the conservation of digital data and it will be introduced in the sixth chapter.

It is fundamental to know the steps among these various processes, even more during the digital era, where the perception that a document, also if it is in a digital form, is a cultural object is less evident, with its related risks.

The aim of this analysis is to underline the importance to have control of all processes from manager's point of view and also because usually in smaller bodies, like little municipalities, 'one unit or official may be in charge of all the work connected with the handling of records', as was already figured out by Posner in its overview on Italian archives.[431] Frequently the way of handling documents in municipalities depends on the size of the administration but this should not be an excuse to do not well manage documents and a clear understanding of the processes goes in this direction. Similarly, a director or a member of staff in charge of a process should know an overview of all the archival system and have specific competence in archival science in order to deal with the evident peculiarity of this discipline.

Finally, a comprehensive system will be proposed, like an IT dashboard, with the aim to help archive director in the managing of all processes. It should not a combination of instruments specific for each process but rather a new dashboard through which accesses to traditional instruments and various management software. So a comprehensive system should integrate:

- Work tools, like for example, the daily register and applications for the specific type of documents (e.g. invoices or executive directions) which are created and worked with different format or software.
- Policies and procedures: the organisational chart, and archival instruments like conservation plan, filing system and so on.
- Archive flow management in each of its phases (from the creation/accession of documents to the filing of them, including 'improvement activities' like validations, signatures, and approvals).[432]

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[431] Posner, Ernst. 1943. *The administration of current records in Italian public agencies*, in Posner, Ernst, Ken Munden, and Angelika Menne-Haritz. 2006, 99.

[432] The plan of this IT dashboard is studied by the author with Hyperborea company. Some theoretical evidence of its practical use can be seen in Ilaria Pescini's speech during the workshop *Gestione informatica dei documenti.*

It is an IT instrument which can be designed starting with a new theoretical vision based on the link between procedures and processes. The IT platform should not overlap other instruments but it needs to create a network of hyperlinks in order to visualise and understand the connections between regulation and practices. This instrument could correspond with the director's physical dashboard but the potentiality of IT guarantee a complete overview of resources available and ongoing activities. Furthermore, a system of self-evaluation could be implemented in order to automatically underline (like an alarm clock) situations not coherent with the law or the following process required (like the early warning of disposal activity and requests of authorisations).

This final object represents a total and systemic vision of the archive because it is necessary a perspective on the whole activities in order to well manage the multiple services of an archive. To reach this goal it is not enough a good IT software but it is necessary to spread culture, management and education. In this sense a complete plan can be designed by steps, considering the institutional needs and the internal differences among offices. In fact, the peculiarity of each office and its function should not eliminate but it could be enhanced only if it is part of the entire plan of knowledge.

3. Services towards accessibility

This paragraph is arranged at the end of the central part of the treatise because it represents its conclusion but also the aim of the entire research: a better management guarantee a more accessibility of archives.

Accessibility is considered for someone as an element of archive like other activities but from author's point of view, it represents the core of every process and archival service. Therefore, an archive performs every service with the aim to guarantee accessibility to users. Also, all processes should tend towards conservation and accessibility

of documentation created and stored. In this term, accessibility characterises all historical phases of archive because it represents a request for information by citizens on current and semi-current records and a historical aim or interest by researchers in the historical phase.

As clearly highlighted by Menne-Haritz, quite recently the archival doctrine has shifted the focus of archives from storage to access.[433] If in the past, archivists are essentially keepers, nowadays the same professionals become specialists who provide means of documentation preserved. Accessibility, in this sense, is an element of institution user-oriented, as public administration ought to be. 'The creation of an archival user-oriented service should not go to the detriment of other strategic functions performed by archivists who should not neglect or ignore the issues about conservation, security and privacy'.[434] Instead, accessibility is intrinsic in whichever issues and activities because the goal of an archive is to be retrieved by users, citizens and researchers.

The topic of accessibility, for its extensiveness in each process and phases, is rich from multiple aspects and the main of them are here detailed in order to give an image of the complexity of the accessibility concept and some references for the following development.

A first statement is that only thanks to the management of the public service, so the accessibility to the archive, it could be possible to guarantee the continuity and the value of the investments made during the arrangement, setting of storages and the making inventories. In fact, thanks to the accessibility, investments generate advantages for the current and future generation and are able to encourage other investments.[435]

Secondly, the accessibility to current archives and historical ones requires different competencies from legal knowledge to communication skills. On the one hand changes in lifestyles of

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[433] Menne-Haritz, A. 2001. "Access - the Reformulation of an Archival Paradigm". *Archival Science.* 1: 57-82.

[434] Author's translation from Italian to English by: Cerri, 1999, 79.

[435] Cerri, 1999, 36.

consumers and their expectations mean that citizens currently require more online delivery of information by national and local authorities, and demand greater flexibility of services and products offered.[436] On the other hand, 'as consumers become more sophisticated in their information needs, archives must respond and innovate. Archives should work in partnership with educational agencies to provide inspiration and fuel the thirst for knowledge and learning.'[437]

From author's point of view, the main and first way to access to a government archive is from their website and presence on the web which can be analysed from a different aspect, from open data available to historical patrimony searchable.

In this perspective, a reflection about the visualisation online about the patrimony of Italian government archives could be addressed. The State Archives are accessible by SIAS and SAN but a better configuration, more pursuant with the current visual style of most of the websites, could be proposed. Archives should be more captative from their websites which represent their showcases and an occasion to fight the ancient vision of dusty archives, commonly perceived by the public and often supported by the outdated websites. The first step in this direction could be to improve and make more appealing the old-fashioned window designed by the Italian Ministry of Cultural Heritage and commonly used by the most part of State Archives. Then, it is important to reflect on the websites setting in accordance with the desires of consumers that surfing the net. Comparing, for example, the websites of Italian Central Archive of the State and the UK National Archives, it is possible to underline that in the first one there is a more focus on archivists and professionals of that sector (e.g. some service announcements are put in evidence in front page) rather than an intuitive visual map for nonspecialist like in the English one.

In relation to the archival presence on the web, it could be interesting to elaborate a unique single network able to make accessible

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[436] Local Government Association (England and Wales). 2009, 5.
[437] Local Government Association (England and Wales). 2009, 14.

online the government archives, independently by its status of created/owned by state or local administration. In this way, SIAS and SIUSA[438] could be merged completely in SAN without having three or more than three different websites. In this way, single folders and their cataloguing sheets will refer directly to the website of the conservative institution without the intermediate link to SIAS or SIUSA networks.

Some specific virtuous examples based on the national territory with good appeal and well graphic design are introduced in order to stress the presence of archives on the web not just with the aim to put a sign of being but a goal to built a relationship with the public towards a service more accessible.

First of all, *Archivitaliani* is an interesting web-project that represents a successful combination between a configuration coherent with the national archival organization and a nice graphical interface, recently revised.[439] This portal has given noteworthy positive contributions on the archival situation in Italy: State Archives and some other bodies are clearly located on a map and the website is managed by a rich group of contributors involved in order to increase, share and continue update the archival information.

Secondly, the fecund milieu of Emilia Romagna Region – where an archival pole and a CH Institute are set – is a precondition to the development of the next example.[440] *Una città per gli archivi* in Bologna is a complex project supported by many sponsors, in particular, two bank foundations – *Fondazione del Monte* of Bologna and Ravenna and *Fondazione Cassa di Risparmio* in Bologna – with the collaboration of some institutions and, currently, is managed by municipal Museum. [441]

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[438] SIAS and SIUSA are described in the first chapter.

[439] The project was born on June 2013, and recently restyled, as a self-financed work; for more information see http://www.archivitaliani.it/ *(retrieved 19 September 2015)*.

[440] As highlighted by the author in Torre, Gemma. *The City as a Widespread Archive: a Hidden Treasure*, in ENCATC. 2015.

[441] For more information see: http://www.cittadegliarchivi.it/; Armando Antonelli explained the history of the web portal available as document on

Its mission is to improve the conservation, enhancement and full access to the most important archives linked with the contemporary history of Bologna. The huge project started in 2007 thanks to a committee of scientific consultancy and involved until 2012, two hundred of archives – with 300.000 items of photographic and graphic materials, sound and audiovisual recordings in addition to paper documents – seventy archivists are engaged and 200.000 digital objects were catalogued.[442] The first decision was to standardize the description of archival fonds and documentary typologies, usually varying in contemporary archives, with the aim to be useful in reconstructing the historical events of the city. Consequently, a web portal, called *ArchIVI*, was developed, to enable users to access the described archives and the digital reproductions. Finally, their metadata could be exported towards numerous nets, like the *Sistema Archivistico Nazionale* SAN, *Culturaitalia* and *Europeana*.[443] The portal is designed as a medium able to be used by different users: researchers, historians, experts but also common citizens or simple tourists. For this purpose, several intuitive modalities for consultation and research with a different level of complexity have been planned. Moreover, the website proposes some interesting virtual exhibitions.

Another good international practice of web instrument for an archival institution is the huge catalogue available through The National Archives TNA website. The UK current archive catalogue started with the project called *Access to Archive* – known with the

http://www.cittadegliarchivi.it/una-citta-per-gli-archivi-e-il-suo-portale-archivi *(retrieved 19 September 2015)*.

[442] The scientific commitee was formed by Linda Giuva, Mariella Guercio, Guido Melis, Stefano Vitali e Isabella Zanni Rosiello.

[443] A detailed overview on Bologna project is reported on Archivi & Computer (2012) and in particular there are much interesting for this research the chapters signed by Armando Antonelli (7-35), Giuseppe Chili (68-84) and by the scientific committee (187-196).

acronym A2A – which was developed with good results.[444] It was a database containing details of archival collections held in many different archival repositories in England and Wales. Since 2008, the project has been run around due to lack of funding and the changing financial priorities of TNA as long as the A2A database was transferred to a new platform with a simpler interface to ensure its availability. In fact, in 2012 A2A was integrated into a unique platform called *Discovery* and it is now available on TNA website. Using the *Advanced search facility* it is possible to search across all collections or restrict the search to one archive. The potentiality of *Discovery* is to have incorporated information previously accessible by other databases: the National Register of Archives NRA, *Directory of Archives* of ARCHON now called *Find an archive*, and the Manorial Documents Register MDR which identifies the nature and location of manorial records. *Discovery* now provides a single point of online access to catalogue describing archives held throughout England and their organisational data.[445] It is 'a better way to deliver collections information to users'. Furthermore, *Discovery* has both information sheets and digitised documents.

Archives can influence interest in their patrimony thanks to different media. For example, in recent time, a huge number of people came in contact with archives thanks to TV programs, like BBC's *Who Do You Think You Are?* watched by over six million viewers per episode, demonstrating the public's appetite for family history and the thrill of discovery.[446] Additionally, *Explore your archives* is the UK national campaign which annually allows opening archives and special exhibition during a week and local TV and newspapers cover heavily the event. Similarly, in Italy, there was in 2016 a week totally dedicated to archives, *Ispirati dagli archivi*, or the visits to archives are usually

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[444] The A2A covered ten million catalogue entries from 414 record offices and other repositories; the archives catalogued inside are dating from the 900s to the present day.

[445] http://www.nationalarchives.gov.uk/archives-sector/projects-and-programmes/discovery/ (accessed February 2, 2017).

[446] Local Government Association (England and Wales). 2009, 6.

promoted during other national events like the week of CH, *Sundays of paper* (in Italian: *Domenica di carta*), and so on.

Another way to deal with accessibility in historical archives from a wider public but simultaneously improve the quality and information of the archive could be the user's participation in writing comments or enlarge data, for example through adding tags.[447] However, on this topic, it is useful a recent reflection by Alfier and Feliciati especially about the reliability of traditional descriptions on the web. [448] They explained that 'if guides, inventories and indexes act as mediation tools between what is inside archives and whoever needs to access them, traditional archival finding aids are not ready to be published on the web, where users are basically free from any mediation.' For this reason, it is necessary to think a new way to present archives with appropriate archival precision but immediate perception by the public. About the usability of information on the web, nowadays the archival community has big expectations on ICA intervention thanks to the draft of conceptual model *Records in Contexts RiC*, designed in 2016 by the Experts Group on Archival Description with the aim to bring closer and integrate four descriptive standards currently in effect – ISAD(G), ISAAR(CPF), ISDIAH and ISDF – actually going beyond them.

Finally, in order to summarise, the accessibility to the archival services could be managed with multiple public programs, like meeting, conferences, articles in journals and so on. The list includes also the controversial topic of exhibitions of archival patrimony and didactic experiences in archives. About the important topic on didactic activities some main references are here introduced.

Secondly, the public interaction on a cultural institution in the digital era and in the society of images is obviously mediated by the

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[447] An example, always from the UK, is the activity performer by TNA and available at http://www.nationalarchives.gov.uk/legal/user-participation.htm (accessed September 5, 2017).

[448] Alfier, Alessando, and Feliciati, Pierluigi. 2017. "Gli archivi online per gli utenti: premesse per un modello di gestione della qualità". JLIS.it 8, 1 (January 2017): 22-38. doi: 10.4403/jlis.it-12269

digital camera; for this reason, a paragraph is dedicated to the self-reproduction issue recently happened in Italy.

In conclusion, the chapter will close with the data useful for a future research based on the international example: the necessity to introduce in Italy a survey on user satisfaction as already performed in other countries.

3.1 Didactic experiences in archives

People used to exploit cultural heritage since child age show a greater inclination to enjoy also by adults and they are able to get more pleasure than other people.[449] For this reason, it is important to support activities in archives for children.

The didactical experiences in Italian archives are multiple and varied but not coordinated. The act to open archives to a wide public, starting with the children, is a way to enlarge the user accessibility more than to the experts only.

One of the first examples is introduced by Zanni Rosiello in 1981 about the activities performed in the State Archive of Bologna.[450] For her noteworthy approach, 'an archival Institute should individuate and record each necessity which comes from outside, whatever the cultural context is. The act to individuate and record these necessities should not mean their immediate acceptance. It means to do not ignore their existence and to decide, in base on the Institute resources, if, which and in which way receive them.'[451] During the activities performed in Bologna between 1980 and 1981 were elaborated some questionnaires to students. They completed 538 questionnaires and it could be interesting to see the form used, as the first example of users survey.

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[449] Carù, Antonella, and Severino Salvemini. 2012, 75.

[450] Zanni Rosiello, Isabella. 1981. *Didattica degli archivi, didattica della storia*, in Rivista di Storia Contemporanea, October, 1.

[451] Author's translation from Italian to English by: Zanni Rosiello, Isabella. 1981, 628.

In 2009 Francesca Cavazzana Romanelli and Ernesto Perillo made a research on this topic[452] analysing the different aspects of didactic experiences starting by the multiple articles edited on the educational activity of, in and with archives.

Nowadays archives are subjected by projects of *work-related learning* (in Italian: *alternanza scuola-lavoro*) which has generated some debates similarly to which about the abuse of volunteers and internships in archival works without a guide or mentor. However, if these projects are designed respecting the peculiarity of the archival job, they represent an occasion to create positive relationships with schools and other cultural institutions, additionally to be a conscious opportunity of cultural enhancement.

Consequently to a survey performed by *Centro per i servizi educativi Sed* of Cultural Ministry on January 2016[453] on the managing of education services inside cultural institution, it is resulted that in archives, probably because they are institutions less affected by last ministerial reform, have a manager for education services in almost everybody (just two declared to do not have the service due scarcity of human resources). Generally, for 133 State Archive, over 200 people, between managers and staff, are involved in educative activities. This attention reflects the figures on education provided by the whole Ministry: archives offer 35% of the education provided nationally by cultural institutions, so they are second just after museum education.[454]

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[452] That research was published in 2014: Cavazzana Romanelli, Francesca, and Ernesto Perillo. 2014. *Fra scuola e archivi Storia e prospettive di una lunga complicità*, in "Storia e Futuro. Rivista di storia e storiografia on line", n. 36 available at http://storiaefuturo.eu/fra-scuola-e-archivi-storia-e-prospettive-di-una-lunga-complicita/ (accessed March 3, 2017).

[453] Cfr. MIBACT newsletter of 27th January 2016, available at http://www.beniculturali.it/mibac/export/MiBAC/sito-MiBAC/Contenuti/Avvisi/visualizza_asset.html_1153732602.html (accessed September 4, 2017).

[454] Cfr. MIBACT, 2017, *Il piano nazionale per l'educazione al patrimonio culturale*, available at http://www.sed.beniculturali.it/index.php?it/421/il-piano-

These data are interesting because give to the research a fresh ground work on the level of interest by State Archives while, also in this context, little information are available on the other government archives, the archives of public local authorities.

3.2 Self-reproduction in archive

A contemporary issue part of the accessibility topic is the possibility for a researcher to reproduce a historical document with own camera.

The question is particularly thorny in Italy during last years when the legislation gave some debatable boundaries to the development of accessibility. The Italian restrictions were more felt inappropriate in a digital and social time while the major European libraries and archives were moving through an opposite opinion.

On 1ˢᵗ June 2014, the Italian government's *Art Bonus* decree came into effect, allowing for the free reproduction without any authorization of all the types of heritage objects for scientific purposes, so not for lucrative aims.[455] Unfortunately, just one month later, on 9ᵗʰ of July the Parliament while was approving the decree in law (Law no. 106 of 29 July 2014) issued a more restrictive amendment which modified the original text of the law. The amendment explicitly excluded printed books, manuscripts and archival documents from the liberalisation. Such an exception was officially justified on conservative basis but in reality, it may be put down an economic reason. In fact, there was an attempt to protect price lists for reproductions used by archives as reimbursement justification.[456] This money has become an

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nazionale-per-leducazione-al-patrimonio-culturale-approcci-e-prospettive (accessed September 4, 2017).

[455] This paragraph is written referring to Modolo Mirco. 2017. "Il dibattito sulla liberalizzazione della fotografia digitale in archivi e biblioteche quattro anni dopo l'appello di Reti Medievali". *Reti Medievali Rivista.* 18 (1): 13-38; the website of the movement is https://fotoliberebbcc.wordpress.com/ and the Law is the no. 124/2017.

[456] This happened according to the Ronchey's Law and the regulation in force in the State Archives.

important budgetary item for archives with the undisputed financial problem but it is really moderate. For the case of State Archives, the revenues of copying services are deposited by the State Archive to a Regional Body every fifteen days and reported with a dedicated sheet every three months. Then, the General Direction re-deposits the money to the State Archive, with a definition of the item of *extra rights* (in Italian: *diritti aggiuntivi*), but only partially.[457]

Retracing timetable of events according to the change in the law, during the month of June 2014 few archives adopted the possibility to self-reproduce documents, among which there was the State Archive of Florence. The director of search room in this archive had good practical evidence of the adoption of self-reproduction even in the conservative aspect because documents are less fingered excluding the moving from the search room to photo reproduction laboratory.[458] However, the limitation for archives was in force for quite a long time and provoked a wider debate in Italy. In this context the movement 'Free Photography for Cultural Heritage' (in Italian: *Fotografie libere per i Beni Culturali*) was born with the aim to renew the original spirit of the *Art Bonus* decree.[459] They have shown the non-sense of restriction comparing to the opposite measures adopted contemporaneously in other international libraries and archives, for example, the National Archives of France, United Kingdom, Belgium, Switzerland, Poland,

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[457] In order to quantify this revenue, an example is given by data reported to the author during an interview at the State Archive in Lucca at 18 January 2016. That institution has obtained 5.625 € for copying services during 2014 and 4.256 € during the following year. The revenue could be put in comparison with the 2014 total of expenditure cost: 116713,8 €. This data is extracted from State Archives survey, published on the November 16th 2015 on the website of Statistics office of Ministry of Cultural Heritage (retrieved on 11 January 2015).

[458] See: Francesca Klein's mail on the Italian mailing list on archives, *Lista Archivi 23*, dated 23rd March 2015.

[459] The movement was formed in September 2014 on the initiatives of a group of scholars: Andrea Brugnoli, Stefano Gardini and Mirco Modolo.

Estonia, Lithuania (since 2014), USA, Canada, Australia, Japan e Nuova Zealand.[460]

Finally, the law 124 of 4 August 2017 has modified the art no. 108 of Code of Cultural Heritage and the self-reproduction of archives is equalised to other cultural objects in compliance with privacy and copyright law.[461] Furthermore, the pictures of books and documents can be spread with the cultural aim, so always not lucrative aims but not only *personal* or *for study* purposes.

In conclusion, the achievement of the liberalisation makes the services of an archive more accessible by a wide number of users which can fulfil researchers more easily. Additionally, as explained by researcher Mirco Modolo, it could be read as on occasion to promote Italian legislation as an advanguard in the International scenario considering that in Italy the regulation defined with the Cultural Heritage code is wider respect abroad.[462] In fact, in other countries, the free reproduction is operative according to a judicial discretion of the promoter institute while, in Italy, the change in the Cultural Code affects every archive and every library subject to the Code.

3.3 Cases of users surveys in Italian archives

Although in each public institution costumers or users' satisfaction are often put in place, reasearches are not performed with the same frequency in archives, private as well as government. In Italy, both archives of public local authorities and State Archives have been subjecting of very few examples of surveys and all of them were made without any coordination.

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[460] https://fotoliberebbcc.wordpress.com/category/nel-resto-del-mondo/ (accessed September 1, 2017).

[461] If before August 2017 the article quoted in Italian: 'Sono in ogni caso libere [...] la riproduzione di beni culturali diversi dai beni bibliografici e archivistici attuata [...]' now it is: 'Sono in ogni caso libere [...] la riproduzione di beni culturali diversi dai beni archivistici sottoposti a restrizioni di consultabilità ai sensi del capo III del presente titolo, attuata [...]'. The decree entered in force since 29th August 2017.

[462] Modolo Mirco. 2017.

The first example is dated 2008 when the Department of Public Administration – its functions are now under the Ministry of Education, Universities, and Research MIUR – issued a competition called *Premiamo i risultati* (in English: *To reward the results*). In occasion of this program concerning several different areas, the State Archive of Avellino (a city in the Campania Region) took part to it, especially with a project on their users' satisfaction. The analysis was made thanks to the collaboration with the University La Sapienza in Rome, Faculty of Sociology. The data obtained were not published and this interesting activity was not proposed to other archives.[463]

The second example has not a clear date of issue. On the website of the State Archive of Naples is available a form entitled 'Questionario di valutazione degli utenti sulla qualità del servizio' without any information about the timetable.[464] Curiously, it is a misleading reference to the Home Office, the previous Minister in charge to archives before 1974. The single page has six generic questions. There is no information about the period of application and the results are not reported.

Finally, therefore the examples on the national territory and published are only three, the Minister of Cultural Heritage has designed a customer's satisfaction form for State Archives. It is inefficiently structured: the questions are listed in several pages, there is no reference on the timetable of data analysis and delivery time.

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[463] The news about the participation of State Archive of Avellino is published in an article "L'Archivio di Stato sonda la soddisfazione degli 'utenti culturali'", Irpinia News, 1st April, 2009, available at http://www.irpinianews.it/larchivio-di-stato-sonda-la-soddisfazione-degli-utenti-culturali/ (accessed November 14, 2016). For more information about the national competition 'Premiamo i risultati' see: http://www.qualitapa.gov.it/index.php?id=654&tx_wfqbe_pi1%5Buid%5D=821 (accessed November 14, 2016). In the last website there is not notice about the project of Avellino.

[464] http://www.archiviodistatonapoli.it/wp-content/uploads/2013/02/Qualita-del-servizio.pdf (accessed November 14, 2016).

Therefore, it seems that at any time it is possible to adopt it, but, anyway, we do not know if it was used and what were the results.

In conclusion on this paragraph, the need to intervene on the user-satisfaction survey is considered so relevant to address a dedicate question inside the questionnaire performed during the case study explained in the sixth chapter. Additionally, a part of the research performed in the UK will be focused on the feasibility of a national users' satisfaction survey, as introduced in the following chapter.

PART III
FIELDWORK

Chapter V
Pilot study in the United Kingdom

The United Kingdom is taken as a comparative model in this research because, although clearly set in a different legislative tradition, the current organisation of archives across the Channel could be explored in order to find some good practices in archive management which are already implemented. In fact, studying a different approach to the government archives may bring interesting activities to light. Through a comparative analysis of archival processes and their fulfillment, some elements which were previously unimaginable could be introduced in another context, like the Italian one.

In the methodological perspective, a period abroad of four months (between October 2016 and February 2017), as Erasmus traineeship, at UCL University College London has been an important additional reference point for the research on government archive. In fact, at UCL University, a fecund research activity in the archival field is developed since the 1960s when it started a PhD programme on Archive Studies.[465] Furthermore, in 2005 UCL established an international centre for research and evaluation of key issues in the discipline of archives and records management (ICARUS) at the Department of Information Studies (DIS).[466] Furthermore, it is available a specific Masters-level course 'the record-keeping professional' in which professor Elizabeth Shepherd teaches management skills and techniques as an essential toolkit in order to become an archivist specialized in Project Management. In other words, in the training practices in the UK, there are traces of the exploitation of cultural economics and cultural management in the archival field as well as it is studied thanks to the literature review in the second chapter of the thesis.

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[465] Shepherd, Elizabeth. 2007. "Archives," *British Librarianship and information work 2001-2005*. Aldershot: Ashgate: 248-265, 258.

[466] Shepherd, Elizabeth. 2007, 258.

From this privileged point of view, it has been possible to design a comparative study on management in the UK public archives which are introduced in this chapter.

First of all, it is important to contextualise the UK administrative organisation with the aim to understand the outline of the policy and practice in the archival field and as a territory for the pilot study.

The UK administrative structure is characterised by the union of four Home Nations: England, Scotland, Wales and North Ireland. Each of these is organised further in subdivisions but not with a regular and uniform structure as in Italy where each territorial regions (except for Valle D'Aosta and Trentino Alto Adige) has Municipalities, Metropolitan city (sometimes), Provinces and one Region. In fact, not being subject to the Napoleonic Empire, the UK did not have the process of standardisation in the administration structure like other European countries. Principally, the territory is marked by Counties (metropolitan and non-metropolitan), as it is showed by the map below, which could be compared, for their dimension, to Italian Provinces. An England County may be the only local government body or, within it, could have other minor local bodies defined in levels. These levels are the *city councils* in the urban areas and the *district councils* in the rural areas. Sometimes the district council has underlying levels like the *towns councils* and the *parish councils* that, more or less, are comparable with the Italian *circoscrizioni*. For the city of London, there is the *Greater London* body which includes the City of London and 32 London boroughs. Between these 32 London boroughs, there are some peculiarities in terminology and functions, for example, Westminster has traditionally the title of 'city'.
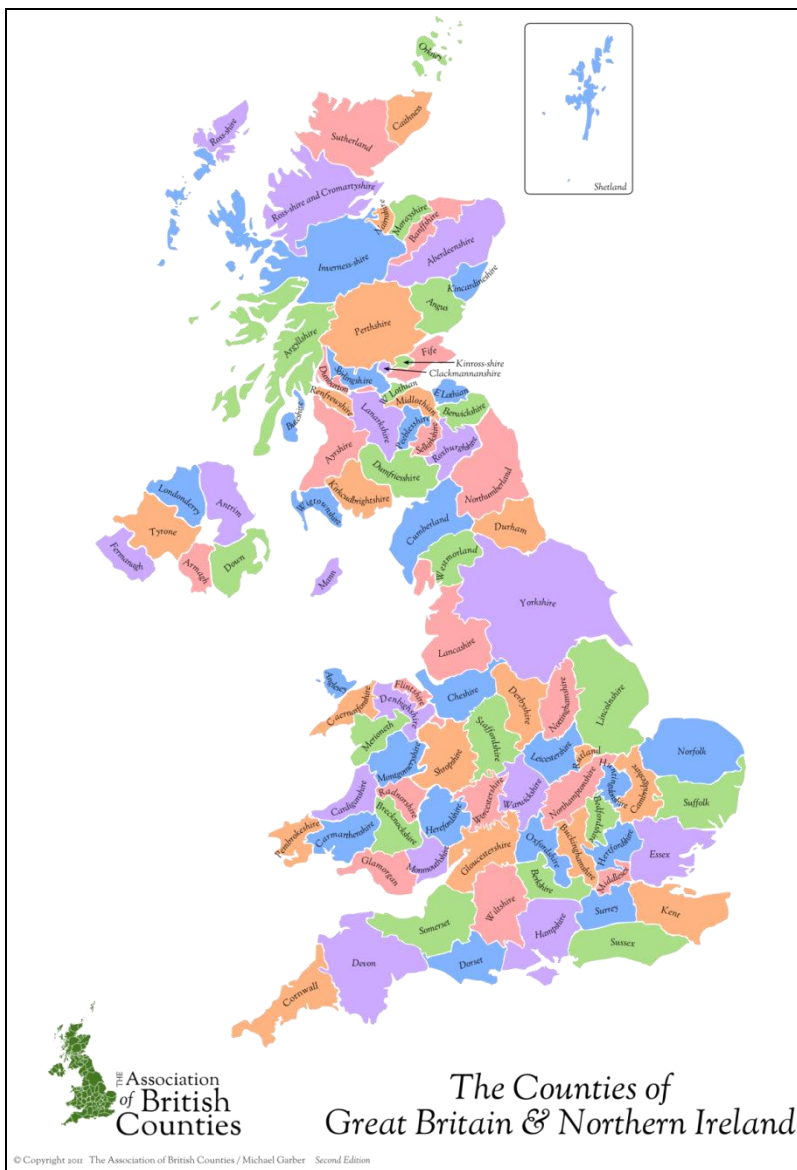
Table 6. Map of the Counties of Great Britain and Northern Ireland.

In brief, the English archival administration, set nowadays into Department for Culture, Media and Sport, includes three institutes for the preservation of documents: *The National Archives* in London, the *National Records of Scotland* for Scotland, the *Public Record Office of Northern Ireland* for Northern Ireland. The other public documentation owned by Counties depend solely on the government local bodies. Finally, private and ecclesiastical archives, when are not deposited in public archives, they do not object of specific regulation.

A specification is requested for the Northern Ireland case in its administrative structure of government archives. In fact, in this part of the UK, where the Public Record Office of Northern Ireland holds local as well as public and national records, there are no local authority archive services.[467]

After this brief foreword on the various administrative structures, some figures about the dissemination of government archives are presented.

In the UK, over 130 local authorities provide archive services, local studies and local history libraries.[468] This number could be compared with the 101 Italian State Archives together with the Central Archive of the State and 33 sections of State Archives without considering the archives of public local authorities, namely Municipalities, Metropolitan Cities, Provinces, and Regions (the sum of the latter count theoretically over 8000 bodies).

In 2009 over one million visitors went to the UK local authority archives[469] with a growth of fifty percent over the course of a decade[470]; in Italy, we do not have a complete count of visitors, except the visitors to State Archives which counted 304.007 in 2009, with a decrease of two percent over the course of a decade.[471]

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[467] Forbes, Heather. 1993. *Local authority archive services: 1992*. London: H.M.S.O., VI.

[468] Local Government Association (England and Wales). 2009, 2.

[469] Local Government Association (England and Wales). 2009, 2.

[470] Local Government Association (England and Wales). 2009, 2-6.

[471] Statistics of State Archives are made every year and the most recently data available is from 2015 when the total amount of visitors was 274.509. Data

The UK government archives object of this research preserve documentation also from parish churches, following the natural relationship between State and Church of England after the division of the England Reign from the Catholic Church in the sixteenth century. Furthermore, public archives preserve often private documents whose property remain of the original owner.

About the online use of archives, the UK data is interesting, for example over 84 million documents from The National Archives' collection were downloaded in 2007-2008.[472] By contrast, this information does not exist in Italy. Archivists know that family history is one of the top ten uses of the UK archival catalogues; in fact, in 2003 over 70% of all archive user in the UK are finding out about their ancestors.[473] Since the end of the 2000s, archives were growing in popularity for the reason that people have become more interested in their family history, and passionate to investigate their forebears traces through documents. This was reflected in evidence from an increasing number of family history societies and associations for local history. Even more, it is testified thanks to the popularity and phenomenal success of television programmes using archives - such as *Who do you think you are?* aired on BBC - had contributed bringing archives to a much broader audience than ever before. These conditions have 'developed a sense of historical curiosity, which can now be satisfied through easier access to archival sources.'[474]

For the finance topic, the UK spent approximately £1.6 billion of public expenditure on museums, libraries and archives during 2004-05. Analysing the breakdown of figures, the distribution between the three cultural sectors is shown:

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are Published on the website of SISTAN (Statistics office of Ministry of Cultural Heritage) at http://www.statistica.beniculturali.it/Archivi_di_stato.htm (accessed August 24, 2017).

[472] Local Government Association (England and Wales). 2009, 2.

[473] National Archives (Great Britain). 2003. *Proposed national records and archives legislation: proposals to change the current legislative provision for records management and archives : consultation paper*. Richmond: National Archives, 3.

[474] National Archives (Great Britain). 2003, 3.

- Museums - £619 million (£469 million DCMS museums and galleries, £150 million local authority museums).
- Libraries - £913 million
- Archives - £75 million (£39 million local authority archives (net), £36 million The National Archives).[475]

The budget of the UK cultural institutions is strongly endowed with charitable financing. For example, between 1995 and 2007, Heritage Lottery Fund HLF has awarded £100 million to archives, which the National Council on Archives described as 'much needed and very welcome', however, adding that it should be compared to the over £2 billion awarded to museums and built heritage over the same period.[476] In brief, the English archival sector has suffered for economic cuts, as well as Italian situation. For this reason, since 2003, almost half of county record offices had lost the senior county archivist position.[477]

These introductive and general information on the UK configuration and its cultural context, bring towards the core of the chapter started with a first paragraph on the history of the archival discipline and the structure of government archives in the UK. The historical and legislative evidence related to government archives are studied in the UK likewise the setting-out of the first chapter of the thesis.

Secondly, the research period passed as a visiting PhD student at UCL University College London has given the opportunity to know directly five government archives which represent a different case of management. For each of one, there is made a brief description of their resources, procedures, processes and services performed as it is highlighted during the visit and the interview with a member of their

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[475] The data are extracted by: House of Commons Culture, Media and Sport Committee, *Caring for our collections Sixth Report of Session 2006–07*, (London, 2007), 65.

[476] Great Britain, and John Whittingdale. 2007, 341.

[477] Shepherd, Elizabeth. 2009, 123

management teams. The analysis recalls all the issues examined in the third and fourth chapter.

The third paragraph will focus on two main experiences as good examples of efficient management, both for the project plan with which they are designed and for the results appreciated at the national level.

Finally, all aspects of the archive management explored during the abroad experience are critically examined (in both senses: negative and positive) in order to give some consideration useful to compare the UK and Italian archival realities and to underline which characteristics of the Italian situation could be better exploited. Additionally, the pilot study has been actualized with the test of the questionnaire designed for the planned Italian case study, introduced in the sixth chapter. During the meetings with a staff member of the five archives, the model of survey for Tuscan public local authorities is piloted. Their suggestions underlined in the last section of this chapter have strongly improved the instrument which will be used in the following step in Tuscany.

1. Policy and practice of English government archives

In order to clearly understand the development of the archival organisation in the UK, a chronologic timetable is set out below. It establishes the framework for UK archives with the main events happened and which is examined in more detail later on. Furthermore, there is a comparison with some important events happened in the same years in Italy in order to contextualise the comparison.

Date	Events in the UK	Events in Italy
1838	Foundation of Public Record Office PRO (repository for both judicial and executive records) and emission of *Public Record Office PRO Act* (the first piece of UK legislation to deal specifically with records)	

1850-1859	Building of the repository in Chancery Lane, in the city centre of London	
1850	*Public libraries act*: establishment of new public libraries in many cities which acquired archives for local history collections, in the absence of alternative institutions to house them	
1861		Unification of Italy
1869	Foundation of <u>Royal Commission on Historical Manuscripts HMC</u> paying attention to the preservation of manuscripts; established the National Register of Archives in 1945; was merged in 2003 in the TNA	
1874		Royal Decree no. 1852: archives under the authority of the Home Office
1875		Foundation of the *Archivio del Regno*
1888	*Local Government Act*: reformed the structure of local government and established county councils	
1937	British Records Association BRA established a Technical Section which promoted regular inspections of local record offices	

1945	Foundation of the <u>National Register of Archives</u> (NRA) by the HMC	
1947	Foundation of Society of Local Archivists, renamed in The Society of Archivists in 1954	
1949		Foundation of the Associazione Nazionale Archivistica Italiana ANAI
1952	<u>Grigg Committee</u> reviewed the arrangements for the preservation of the records of government departments	
1953		Establishment of the Central Archive of the State[478]
1954	Grigg Report concerning the paper selection	
1958	<u>Public Records Act</u>: public records responsibilities are transferred to Lord Chancellor; the original 1838 Act is superseded; the <u>Advisory Council on National Records</u> was established	
1963		DPR no. 1409, first fundamental law for the Italian archival

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[478] For the detail of the particular case of establishement of Central Archive of the Italian State see the first chapter.

		patrimony
1967	The closed period for records of central government is defined for 30 years (before 50 years)	
1968	The first <u>survey on the management</u> of record offices commissioned by the <u>Society of Archivists SoA</u>	
1968-1977	Building of the national repository at Kew, in London Borough of Richmond	
1972	<u>Local Government Act</u>: creation of six new metropolitan counties → loss of administrative unity	
1974		Foundation of the Ministry of Cultural Heritage: archives under the new ministry
1983	HMC moved in the Office of Arts and Libraries under the Minister for the Arts	
1988	Foundation of <u>National Council on Archive</u> (NCA), facilitator for policy and funding developments	
1992	Transformation of the PRO into an Agency	
1998	<u>Data Protection Act</u>, first step before FOIA	
2000-2005	<u>Freedom of Information FOI Act</u> for all public records	
2000	Foundation of <u>Museum, Libraries</u>	D.P.R. 445/2000 on

	and Archive Council MLAC, abolished in 2012	administrative documentation
2003	PRO and HMC come together in an administrative arrangement in order to form The National Archives TNA, within the Lord Chancellor's Department	
2004		Code of Cultural Heritage
2005		D.L. 82/2005 Digital Administration Code
2010	Foundation of Archives and Records Association ARA as a result of a merger of the National Council on Archives, the Association of Chief Archivists in Local Government (ACALG) and the Society of Archivists (SoA)	
2013	Legislative change reduces the closed period for records of central government to 20 years (before 30 years)	
2014		Legislative change reduces the closed period for records of central government to 30 years (before 40 years)
2016		Freedom of Information FOI Act for all public

As clearly observed by professor Elizabeth Shepherd, 'although the UK government recognised the value of records and archives in many enquiries and reports over several centuries, very little legislation directly affecting records, except for the records of central government, has been enacted for England.'[479]

This statement contextualises the development of interest in the English archives by legislators, professionals and the general public until the current structure of the government archival bodies.

The first milestone in the archival history of the UK is dated 1838 when the **Public Record Office PRO** was established by the *Public Record Office Act*: the first piece of the UK legislation to deal specifically with records. That act introduces the concept of a unique centralised physical repository, the PRO itself, for the archives of the UK's central government and associated bodies, and of the royal courts of justice. The first headquarters was built from 1850 in Chancery Lane, in the city centre of London, and opened in 1859. The PRO became soon a well-known organisation, with the mandate of preserving historical documentation of central government.

In 1869 the **Royal Commission on Historical Manuscripts HMC** was established with the aim to monitor the location and state of preservation of private manuscripts and historical documents. One of the most important contributions of this institution was the creation of the National Register of Archives in 1945. The HMC was then incorporated in 2003 in The National Archives where it currently continues its activities relating specifically to historical manuscripts.

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[479] Shepherd, Elizabeth. 2009, 2. The following outline on the UK organisation is designed thanks to the reading of this volume, therefore for more details see this reference and the papers entitled "Archives" edited by the same author in the series *British Librarianship and information work,* in 2007 (for the period 2001-2005), 2012 (for the period 2006-2010), and in 2017 (for the period 2011-2015).

The PRO did not exercise any control over local authority archive services and the first important consideration of these archives was marked by the 1888 *Local Government Act* which established county councils and enabled the provision of local services including record offices. However, it was 1913 before the first county record office was established, in Bedfordshire.[480] The 1888 regulation did not cover all the need of preservation of historical documents which were arising in the peripheries, and there was no regulation for private archives. In that context, public libraries – established in many cities thanks to the 1850 *Public Libraries Act* – acquired a preservation role in the local communities and in several cases housed local history collections. For this reason, it is not surprising if 'in some cities, official archives developed in parallel with library collections.'[481]

The need for a professional guidance and reflection came to the fore soon. The first English archival manuals could be considered Charles Johnson's booklet issued in 1919 (*The care of documents and Management of Archives*), the famous Sir Hilary Jenkinson's *Manual of Archive Administration* in 1922 and G. Herbert Fowler's *the Care of County Muniments* in 1923. In the meantime, at the beginning of the 1900s, the activities and organisation of county archives were spread across the country thanks to independent initiatives of some archivists who showed an interest in transmitting their experience in staff training programs.

In the 1930s, the first professional associations were established and in 1937 the **British Records Association BRA** formed a technical section in order to promote regular inspection of local record offices not for investigative purposes but instead for collaborative one. In fact, the BRA, thanks to these audits, acquired a coordinator role providing support to local archivists. This activity 'door-to-door' seems to intervene in the lack of the effectiveness of local inspections appointed

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[480] Kitching, Christopher John. 1996. *Archives: the very essence of our heritage*. Chichester: Phillimore, 41.

[481] Shepherd, Elizabeth. 2009, 98.

by the Public Record Office which had been recommended in a Report of 1902 but never enacted or implemented.

The situation so far outlined highlights how archives, especially archives of public local authorities, lacked structures, legislation and support managed by a national and central body. Central government 'was relatively neglectful – quoting professor Shepherd – of local and private records.'[482] Although the government took a periodic interest in public and local records thanks to several inquiries and commissions since 1800, unfortunately, few recommendations were translated into legislation and therefore a practical result was missed. In place of a government body with a statutory function, the Association BRA and the Commission HMC continued to undertake important projects for the preservation of archives and the development of archivist profession.

One example of the HMC activity was the birth of the **National Register of Archives NRA** in 1945, as a result of the damages suffered by Cultural Heritage during the Second World War. The NRA was established in London in order to cover the whole of the UK – while a similar institution was situated in Edinburgh for Scotland area – with the goal to discover all records and papers of historical importance and locate their whereabouts, whether public or private. The editing of the register presented not a few economic difficulties but, in the ensuing twenty years, a system for collecting information from private and local archives was developed on standard report forms.

In the same years, ideas to establish a **National Archives Council** emerged but were fulfilled only at the end of the 1980s.

In 1952 a committee was established, chaired by Sir James Grigg, in order to review the arrangements for the preservation of the records of central government Departments. Two years later, Grigg published a report concerning records selection which introduced a modern system of selection and listing based on two stages. The first selection occurs when the records have finished their administrative use, that five years after a record has been created. At that point, records which are

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[482] Shepherd, Elizabeth. 2009, 212.

worthless are destroyed while the others are preserved waiting for another step of selection. The second review takes place when the record is twenty-fifth years old in order to have a lapse of time which gives a better perspective to the judgment on suitable records for permanent preservation. The **Grigg report** made a notable improvement in the stewardship of government archives and the recommendations, as underlined by Shepherd, 'began to establish a system for efficient records management in central government.'[483]

In regard to central public records – and only regard them –, the **1958** *Public Records Act* transferred their responsibilities to Lord Chancellor and refined the selection rules introduced by the Grigg's recommendations. The Office ceased to report to the Master of the Rolls and was directly accountable for the first time by a minister. The 1958 Act established the **Advisory Council on National Records and Archives,** an independent body. It advises, even now, the Secretary of State for Culture, Media and Sport on issues relating to access to public records and represents the public interest in deciding what records should be open or closed; activities that are retained by the Home Office in Italy.

The 1958 Act was crucial in the history of government records because it still governs the current The National Archives administration. As the website of the TNA states, 'until 2000, the Public Records Act 1958 had been substantially amended once (by the Public Records Act 1967) and in detail many times by other statutes and statutory instruments. Most of these minor changes brought bodies within the scope of the Act.'[484] Then, in 2000, the introduction of FOIA (Freedom of Information Act) had notable implications for records management in the public sector and replaced the previous articles related to access to information in public records.

For the local public records was instead issued, in 1962, the *Local Government (Records) Act* which stated that local authorities could

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[483] Shepherd, Elizabeth. 2009, 82.

[484] http://www.nationalarchives.gov.uk/information-management/legislation/public-records-act/ (accessed February 4, 2017).

spend public money to acquire records and provide archival services. This act had not the same significant effect in practice of 1958 Public Records Act. For one hand, the public local archives were already established in almost all the country; on the other hand, the Act had not tangible powers to compel authorities in providing or expanding services.

A **survey of local archive services** in 1968 showed that their main period of development was between 1946 and 1960 when twenty-four new record offices were established while paradoxically only six started after the 1962 Local Government (Records) Act, in the years 1961-1965.[485] This survey was commissioned by the Society of Archivists SoA and was the first survey to focus expressly on the management and administration of record offices, rather than of their contents. This kind of survey based on two questionnaires is very useful for the elaboration of the model to be performed in Italian archives thanks to this research. The research team made two kind of questionnaire: the type 'A' was for principal local repositories in England and Wales - selected following a list in the volume *The Record Repositories in Great Britain* edited by the Commission on Historical Manuscripts in 1964 – while a modified version was sent to smaller archives. The report takes survey results in summary tables with its analysis and explanation of work stages. It is interesting for the accuracy of data reported, also about the financing and the budget of the local archive at that time. Thanks to this analysis of the current organisation of local archives, the SoA tried to give some advice in order to improve the management. For example, the team underlined how mobile shelving could reduce space issues in repositories: if on average fixed shelving occupied 76% of the repository, mobile racking just 24% of it.[486] Furthermore, it is surprising that 'one point that stands out very clearly in the average establishment figures is that professional

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[485] Serjeant, William R. 2009. "The survey of local archives services, 1968". *Journal of the Society of Archivists.* 4 (4): 300-326.

[486] Serjeant, William R. 2009, 303.

staff approximates to half the total staff.'[487] The explanation of this lack could be that the number of staff it was fixed at the origin of the service but it did not reflect that current needs. This situation could be compared with the staff plan of the Italian Ministry of Cultural Heritage issued quite recently, with the DM of 6 August 2015, in which it is presented the number of employees at that time but not the ideal number of archivists needed in order to work efficiently.

Coming back to the UK history, 1968 was a fruitful year in the archival sector when was taken the decision built a new headquarters for the national archives at Kew, an area in a suburban district in the London borough of Richmond. The purpose of this new building, expressly erected with an archival use, was to provide more space than the repository in Chancery Lane to have the possibility to extend the building in the following years. In fact, in those years, there were growing logistical problems and the need for more space. This was due to the vast quantity of records produced during the twentieth century and as a consequence of the 1967 decision about the reduction of the closure period for public access to government records from fifty to thirty years.[488] The building works of the new repository of PRO, correspondent to the current TNA headquarters, were started at Kew in 1973 and were completed in 1977.

In 1972 another *Local Government Act* was issued with which England was divided into local government areas known as counties (metropolitan and non-metropolitan) and these themselves into districts. The result of the act coming into force, in 1974, was the loss of the UK administrative unity and the loss of the link between councils and its archive services.[489]

At that time a lot of local archives were often linked to local libraries, museums and other cultural departments, causing some reflection on their management by the government and professional

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[487] Serjeant, William R. 2009, 304.

[488] The Public Records Act of 1967 has the provision to amend section 5(1) of the 1958 Act to reduce access time period from 50 to 30 years.

[489] Shepherd, Elizabeth. 2007, 262.

associations. From one hand, the government agenda in the 1980s was customer oriented and politicians pushed to improve public services of libraries, as well as historical archives, toward a more accountability and transparency. On the other hand, HMC tried to give some guidelines, mostly about preservation and clarified some common misunderstanding on the archival activities. Therefore, the commission published in 1990 a *Standard for record repositories* and in the same year a Standing Conference on Archives and Museums issued a *Code of practice on archives for museums*. The latter was then revised in 1996 and 2000 and had the aim to promote good practices and archival standards.[490] The first noteworthy opinion expressed in the code is that in museums the documentary material is 'an artificial collection rather than a true archive' and, for this reason, museum curators need some specific guidelines in documentary management.[491]

The situation of country-wide archive services was influenced in negative by the abolition of metropolitan counties in 1986. The archives of six metropolitan areas and the Greater London have arranged thanks to policies with different level of development. Although there were set effective campaigns concerned the risks of management of these archives, no statutory provision was made, and subsequent arrangements were performed upon voluntary co-operation.[492]

The complex situation in the UK archives sector, reflected in ministerial responsibility which was spread across several government departments where no single ministry was in charge for all archives, increased the difficulties faced by the sector in raising its profile, until the beginning of the 21st century. However, the situation of overlapping of responsibilities between different cultural institutions testified that an effective, coordinated and national system concerning

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[490] A version of this code is available on-line at http://www.archivesandmuseums.org.uk/scam/code.pdf (accessed February 9, 2017).

[491] Standing Conference on Archives and Museums. 2002. *A Code of practice on archives: for museums and galleries in the United Kingdom*. London: SACM, 1.

[492] Forbes, Heather. 1993, V.

especially archives – both central and local – was then needed more than ever. Furthermore, the confusing condition is due to the fact that many local record offices were administered in library departments and other in the education departments. This generated a major focus on historical documentation rather than records management and above all made archives associated with leisure and so they become vulnerable to funding cuts. For example, an evidence of that was dated in 1992 when only half UK public local archives offered records management services. Furthermore, archives were vulnerable to criticism that they did not deserve public financing because local archives often preserved more private documents than official records of the council.

The new PRO repository at Kew was opened in 1977 in order to preserve records of modern government departments while records of medieval and early modern government, the Prerogative Court of Canterbury and the Census of England and Wales, with all legal records, were continued to housed at Chancery Lane.[493] All collections were then reunited at Kew in 1997.

Between the 1980s and 1990s the lack of a single government agency, or a unique departmental office, responsible for central and local archives, as well as for documents with public and private ownership, was increasingly urgent. The 'ministerial responsibility for archives and records management services was scattered. The PRO was part of the Lord Chancellor's Department, the HMC had been transferred to the Department of National Heritage, local government archives were within the Department of the Environment, university archives fell within the Department of Education, and so on.'[494] Furthermore, archivists were living in a period with new challenges, for example, the introduction of personal computers in the office processes, but they had no support or guidance from the government. To sum up, archives and archivists need a policy leadership able to

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[493] Foster, Janer, and Julia Sheppard. 2002. *British archives: guide to archive resources in the United Kingdom*. Basingstoke: Palgrave, 606.

[494] Shepherd, Elizabeth. 2006. "Archives," 264.

improve the public opinion on their role and optimise their daily activity. HMC and the other associations gave main effort in order to guarantee archival support and continuing professional development. In fact, HMC's point of view was that a central control was crucial but it was better a transition step-by-step in order to do not imposed it on local record offices. An example in this direction was the standards for archive provision in London boroughs published by the Greater London Archives Network in 1989.[495]

Finally, at the end of the 1980s, in response to this circumstance, professional bodies, archival organisations and user groups came together and created a new national forum. In this way, a no government body called **National Council on Archive NCA** was born in 1988 bringing together archive service providers, users, depositors and policy-makers across the UK in order to develop consensus and provide an authoritative common voice for the archival community. It started to have a coordinator role for policy and funding developments facilitating the political engagement, over the following fifteen years. The NCA ceased to operate as an independent group with the creation of the Archives and Records Association ARA in 2010 when it was merged with other association in order to create a unique louder voice to stakeholders and policymakers.

In 1991 a scrutiny report proposed that the PRO should become an **executive agency** with greater freedom to manage its affairs, headed by a chief executive and keeper.[496] During the following year, the PRO became an executive agency and launched an important restructuring of the body, its activities and its perception by the public. In fact, after this transformation and the appointment of Sarah Tyacke as the first woman keeper, the leadership of the PRO within the English professionals became more marked. Firstly, the PRO took a leading role – the base of the current leadership role of the TNA – for technical developments, such as digital records management and description

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[495] Greater London Archives Network. 1993. *Towards 2000: the future of London's Archives*. London: Greater London Archives Network.

[496] Shepherd, Elizabeth. 2009, 89.

standards training. Secondly, the PRO disseminated good practices and skills across the UK archives. Thirdly, regular readers satisfaction surveys were introduced, after previous attempts made in 1960 and 1970.[497] Quoting the 1960 survey, it is noteworthy to underline that it could be considered a positive step for the TNA following advantage, in fact, as reported by John D. Cantwell, at the PRO 'between December 1960 and August 1961 all readers were invited [...] to complete a questionnaire, indicating such matters as their occupation or profession, their residence, subjects and period of interest, expectation of attendance, etc. Readers were also invited to make suggestions for improving the facilities and amenities for research.'[498]

Going to the 1990s, in 1991 the Department of the Environment proposed a review of local government structures because their archives were developed not in a homogeneous way, were often under-resourced and undervalued with a consequently poor economic management. For this reason, a unitary authority could have been the solution for the coordination aspect and in order to cut costs. During the following year, a new *Local Government Act* was issued but it did not require local authorities to provide archives services.[499] On the basis of this regulation, in 1995 the Department of National Heritage issued a volume entitled *Guidance on the care, preservation and management of records*.[500]

In the 1990s the attention of archives by the UK grew more effectively also thanks to the stabilisation of European Union after the Maastricht Treaty in 1993 and the constitution of a specific group of experts in archival science within the Union. Firstly, in 1994 the Society

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[497] Great Britain. 1993. *The thirty-fourth annual report of the Keeper of Public Records on the work of the Public Record Office and the thirty-fourth report of the Advisory Council on Public Records, 1992-3*. London: H.M.S.O, 17.

[498] Cantwell, John D. 2000. *The Public Record Office, 1959-1969*. Richmond, Surrey: Public Record Office, 38.

[499] Elizabeth Shepherd. 2006. "Archives," 262.

[500] Department of National Heritage, *Guidance on the care, preservation and management of records following changes arising from the Local Government Act 1992*, (London: DNH, 1995).

of Archivists produced an important document, *The outline of a national policy on archives*, with the aim to introduce a framework of the national development on archives. Secondly, the following year, a group of associations characterising the National Archives Policy Liaison Group, designed *A national archives policy for the United Kingdom*. Thirdly, again in 1995, **Heritage lottery fund** was set up in order to administer the heritage share of the proceeds from the national lottery. This event was particularly important for the archival sector because, even now, guarantees sizeable funding for several projects on national documentation.

Furthermore, in 1996 NCA published an advocacy text, *Archives. The very essence of our heritage*, presented at ICA Congress in Beijing (the important international meeting in which was issued the Code of Ethics) in order to represent a 'business card' of archival UK policy in the international world.[501] This volume is characterised by amazing pictures on archival documents, an explanation of archival activities and peculiarities (with an evident standpoint through the UK reality) and a clear definition of the government asset for English archives.

Finally, in 1996 an inter-departmental archives committee was formally established with the aim to coordinate archives policy matters within government and to introduce the UK archive interests to the European Union. The new committee issued a national archives policy, *Government Policy on Archives*, with the ambition to finally define a comprehensive statement and a legislative review for archive services.[502] Although its hard-driving aim, the policy was not translated into an effective law.

Afterward, European Directions and international initiatives encouraged also in the UK the development of data protection and freedom of information legislation. The first piece of information policy

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[501] Kitching, Christopher John. 1996.

[502] Great Britain. 1999. *Government policy on archives*. London: Stationery Office. Cm. 4516, available as document at http://www.nationalarchives.gov.uk/documents/government_policy.pdf (accessed February 10, 2017)

legislation in the UK was the 1998 *Data Protection Act* followed up in 2000 by the *Freedom of Information FOI Act* which came fully into force in January 2005. As noted by Shepherd, 'the FOI Act's wide definition of public authorities provided an opportunity to strengthen archives and records legislation for local authorities and university.'[503] In fact, with the introduction of FOIA, all public institutions – not only central government – are obligated to answer to public's requests for information contained in public records as soon as they have been created. This duty is due to the fact that the act gives people two new rights of access: the right to be told whether the information is held by the public authority and the right to be provided with the information. To sum up, the FOIA – whose aims were described in the *Code of Practice* presented in 2004 by the Secretary of State for Constitutional Affairs – has the vision to contribute to making the public sector more openness and to give widely to the community the opportunities to better understand the decisions of public authorities.[504] The FOIA provided a reference point in the regulation for records management because the 1958 Public Record Act was considered inadequate for the selection and preservation of digital records. Thanks to an analysis on the perception of FOIA, was launched a study in 2006 which saw that between 2004-2005, 'most UK public sector bodies prepared to meet the requirements of the Freedom of Information Act, by activities such as assigning responsibility for freedom of information obligations, reviewing the records management function and supporting it with adequate resources'.[505] In many cases, the institutions managed inefficiently the resources of time and people causing some deficits in the organisations at the moment of the FOI launch. However, the 2006 study suggested that most organisations were adequately ready, and

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[503] Shepherd, Elizabeth. 2009, 61.

[504] Secretary of State for Constitutional Affairs' Code of Practice on the discharge of public authorities' functions under Part I of the Freedom of Information Act 2000 Issued under section 45 of the Act, November 2004 Presented to Parliament by the Secretary of State for Constitutional Affairs pursuant to section 45(5) of the Freedom of Information Act 2000.

[505] Shepherd, Elizabeth. 2006. "Why are records in the public sector [...]

had made significant efforts to get their staff trained in time.[506] Another study on the impact of FOIA on records management services in local government was performed by Elizabeth Shepherd, Alice Stevenson, and Andrew Flinn between 2008-2009.[507] This research 'showed that not all organisations had a designated member of staff for records management responsibility', neither was there a clear reference to his/her role in the organisational charts and job descriptions in several councils.[508] However, in general, the interviews held testified that the introduction of FOIA made a positive impact on the handling of RM offices.

At the beginning of the twenty-first century legal and accountability aspects of records management took place in the public agenda, mostly in response to the FOIA, and historical archives were properly recognised for their 'significant contribution to community identity and social inclusion'.[509]

In 2000 the **Museums, Libraries and Archives Council MLAC** was established with an initial financing of £19.5 million assigned by the Department for Culture, Media and Sport DCMS. The MLAC, previously named *Re:source - The Council for Museums, Archives and Libraries*, was a strategic non-departmental public body in charge of promoting improvement and innovation in the area of the cultural heritage. Although its perspectives are primarily cultural, Re:source's report entitled *Developing the 21st Century Archive – an Action Plan for United Kingdom Archives*, published in 2001, has noted that 'The value and importance of archives extend far beyond the parameters of cultural heritage. The interests of good governance and accountability, as well as legal requirements and obligations, underpin the need to invest in, and support, archives services.'[510] Moreover, in 2001 was

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[506] Shepherd, Elizabeth. 2006. "Why are records in the public sector [...],9.

[507] Shepherd, Elizabeth, and Andrew Flinn, and Stevenson A. 2011.

[508] Shepherd, Elizabeth, and Andrew Flinn, and Stevenson A. 2011, 125.

[509] Shepherd, Elizabeth. 2009, 212.

[510] Resource: The Council for Museums, Archives and Libraries. 2001. *Developing the 21st century archive: an action plan for United Kingdom archives*. London: Resource.

published a regional strategy for archives (not only for archivists) by the London Archives Regional Council with the aim to identify the objectives of all kind of archives in London in order to be able to support relevant initiatives and fulfill the aspiration of all stakeholders.[511] That project was based on the elaboration of a survey and the consequent creation of database about 366 repositories and archives in the city of London.

The MLAC actively developed the recommendations in the *Report of the Archives Task Force* since 2004. Furthermore, in 2005 the Council extended the *Designation Scheme[512]* remit in order to include documents with historical significance stored in archives, museums and libraries, but outside the National Archives, and in particular to celebrate collections of outstanding resonance. Although it could be recognised the merit of this inclusive project, in 2013-15 the Scheme was reviewed in order to update the information of Cultural Heritage registered and was evident that some archival holdings were changed or even lost during the set of years. This tricky situation about the importance to keep the list of archives updated could be comparable with the number of private Italian archives recognised with particular historical importance by Superintendences. In fact, it is difficult to claim for certain that all archives declared Cultural Heritage in the past years are always preserved with update knowledge of holding and location.

The MLA council was subject to 2010 government reform. In fact, following the UK general election, the government announced a spending review through the abolition of a large number of quasi-autonomous non-governmental organisations (known with the acronym *quangos*). MLAC's functions relating to museums, libraries and archives were transferred on 1st October 2011 to the Arts Council

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[511] Pickford, Chris, and Carolyn Starren. 2001. *Out of the past, into the future: priorities for archive development in London : a regional archive strategy*. London: London Archives Regional Council.

[512] The establishment of the Designation Scheme was a commitment set out in the government review of museum policy, *Treasures in Trust* (1996).

England and the National Archives to be then definitely abolished in 2012.

Finally, a fundamental change in the UK archival history happened in April 2003 when the Public Record Office and the Commission on Historical Manuscripts came together in a trailblazing administrative arrangement to form a new organisation: **The National Archives TNA**. The first problem of the new foundation was the decision of which ministry should be responsible for it. Given that there were differences between the two forefathers: the PRO had been within the Lord Chancellor's Department since 1959 and the HMC had been in the Office of Arts and Libraries under the Minister for the Arts since 1983. The TNA was finally positioned with Lord Chancellor. It should be underlined that the creation of the TNA was an administrative choice, not a legislative change, and, in fact, in the 1958 Act there is still the reference to it as 'Public Record Office'. However, 2003 marked a crucial shift in the administration of UK government archives because, after a long absence of a unique legislation, it offered the possibility of a coherent national archival system – even if it is not a law or a central power – 'based on agreed framework of standards for professional work', as highlighted by Shepherd.[513]

'As a first step, the National Archives brought together the two archives inspection services which had been operated in parallel by the PRO and HMC as well as the PRO's records management department advisory section, allowing for a single common inspection regime.'[514] TNA was immediately into force in order to solve the lack of an up-to-date national legislation and in 2003 proposed to change the current legislative provision for records management and archives; however, that consultation did not bring any results. Another important improvement for TNA in acquiring the current leadership role was its union in 2006 with the Stationery Office (which managed the Crown copyright) and the Office of Public Sector Information OPSI. Furthermore, TNA became a protagonist to provide a guide for

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[513] Shepherd, Elizabeth. 2009, 214.
[514] Shepherd, Elizabeth. 2009, 90.

standards and this is the basis for the design of the Accreditation Service, as introduced below. Especially from 2012, when TNA acquired responsibility previously owned by MLA, the new organisation boosted the sustainability of archives across the UK.

In 2010 the British Records Association carried out a survey of three hundred archives in London and a further ninety in the East of England in order to point out the archival potentiality of the region and at the same time the risks and gaps.[515] It is reported that many of those archives, both within the national and local administration, were directed by a single archivist with very limited resources and no professional archival background with negative consequence in the general management of the offices.[516]

After some reflection inside the archival community during the first years of the new century, in 2010 was established the **Archives and Records Association ARA** by the union of the most important professional bodies like NCA, SoA and ACALG but, however, some other little entities continued to operate in the country, like the renowned British Records Association BRA and the Information and Records Management Society IRMS currently in favour internationally.

The last points to be underlined in the history of the UK government archives is quite recently. From the 1st January 2013, there was an important legislative change which reduces the closed period for public records from thirty to twenty years. This improvement was accepted with a ten year transition plan: a gradual transferring of records each year to TNA (e.g. records from 1983 and 1984 were transferred in 2013, and records from 1985 and 1986 in 2014) with the aim to reach the end of this process in 2022 and guaranteeing that records before 1983 remain subject to a thirty-year transfer rule. The fulfilment of this improvement needs time but the introduction of this

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[515] British Records Association, *Records at Risk: a report on the BRA survey of risks to historical records in the East of England and London regions, Autumn 2010*, British Records Association, 2012.

[516] Shepherd, Elizabeth. 2017. "Archives," in Bowman, J. H. 2017. British librarianship and information work, 2011-2015. London: Bowman: 322-337.

new rule is important for the public that has the right to know the recent history and the design plan about the application of the law could be taken as a model.

Finally, the government confirmed in 2016 that the UK will implement the European *General Data Protection Regulation* GDPR.[517] Citizens could take advantages from the use of digital service but contemporarily it is guaranteed to them privacy rights and strong protections too. So, the implementation of the GDPR allowed people greater control over their data.

To sum up, since the 1800's a series of 'government commissions and reports investigated and made recommendations on various aspects of archival activity and influenced its development'.[518] However, the absence of a central administration and a unique legislation was constantly repeated. The birth of the TNA did not change substantially the organisation of power and control on archives of public local authorities but its advisory role on all kind of archives, also private, provide the possibility of an overall vision on the UK archives. Therefore a supervision role to the public local archives by the central state is missed, while it is present in Italy thanks to the Superintendences' authority. In fact, the UK local bodies should make 'proper arrangements with respect to any documents that belong to or are in the custody of the council of any of their officers'[519] but there is no statutory requirement for them to manage a proper archives service like is developed in Italy thanks a long tradition of laws and practices.

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[517] Elizabeth Denham, *How the ICO will be supporting the implementation of the GDPR* (31st October 2016) issued online at https://iconewsblog.wordpress.com/2016/10/31/how-the-ico-will-be-supporting-the-implementation-of-the-gdpr/ (accessed November 11, 2016).

[518] Shepherd, Elizabeth. 2009, 21.

[519] Local Government Act 1972 (s.224).

2. Pilot analysis

Following an extensive literature review on the Anglo-Saxon archival practice showed in the previous chapters and mostly in the section before, the United Kingdom is chosen as the stage setting where a qualitative research method was used in order to investigate the government archives structure and the next phase of the case study in Italy is piloted. The circumstances in which a lot of activities on accessibility and innovative solutions to recent challenges are already performed have created a fecund background in which the analysis designed for the optimisation of archive management in the Italian context could be been tested.

In this positive environment, five archives were selected and their characteristics are here presented. They cover the central point of view of The National Archives and the public local authorities' standpoint of these bodies: the London Metropolitan Archives, the City of Westminster Archives Centre, the Kent County Council archives, and the Lincolnshire County Council archives. They represent some examples of both small and large organisations, with a various administration setting in order to analyse different managerial backgrounds: e.g. some are without dedicated records management professionals; in others, the historical archive is managed together with the public library. In this small study pool was conducted in advance the planned project for Italy, specifically to test aspects of the research design and to allow necessary adjustment before final commitment to the design. In particular, a questionnaire on the internal management is tested. Indeed, as expressed in the traditional description of a pilot study, this is commonly used in large quantitative studies, as the planned project in Tuscany, since adjustment after the beginning of fieldwork is less easy than in qualitative work.[520]

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[520] The definition of pilot study is available at: https://www.aqr.org.uk/glossary/pilot-study (accessed February 13, 2017).

During the analysis, two good examples of activities came to light and they are introduced in detailed: the Archive Accreditation Service and the survey of visitors of the UK archives.

Finally, some tracks of semi-structured interviews performed with ten people during November 2016 and January 2017 are introduced as part of the description of the archives analysed. The interviews are conducted following the code of conduct for research[521] and code of ethics set up by UCL, paying attention to perform an integrity research.[522] In this perspective, is prepared an Informed Consent Form, available in Appendix 1, which is signed by each interviewee. In this way, all participants agreed to take part in this research study and only their job positions are here reported.

2.1 The National Archives – TNA

The National Archives – known with the acronym TNA – is the official government archive and publisher of the United Kingdom housing historical records created by the UK central government and agencies, and the legal system of England and Wales. The stored documents span records of many typologies from the more ancient asset preserved, the *Domesday Book* of 1086.[523] All these records are accessible and can be searched through *Discovery*, The National Archives online catalogue already introduced in the paragraph about accessibility in the c chapter.

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[521] UCL Code of conduct for research, issued in July 2013, available as document at http://www.ucl.ac.uk/srs/governance-and-committees/resgov/code-of-conduct-research (November 14, 2016).

[522] UCL Research ethics, available as document at https://ethics.grad.ucl.ac.uk/forms/ucl-research-ethics.pdf (November 14, 2016); UCL Statement on Research Integrity issued in May 2015, available as document at https://www.ucl.ac.uk/research/integrity/pdfs/UCL-Statement-On-Research-Integrity.pdf (November 14, 2016).

[523] In order to give a element of comparison with the Italian organisation, the more ancient document owned by a State Archive is a parchment dated 721 preserved in Milan.

It is a non-ministerial government department and on 17th September 2015, according to a machinery of government change, its parent department changed from the *Department of Constitutional Affairs* of the Ministry of Justice to the *Department for Culture, Media and Sport*.

Separate national record offices exist for Scotland and Northern Ireland. The *National Records of Scotland* (NRS)[524] holds records of departments which are wholly or mainly concerned with Scottish affairs, the Scottish courts and of private individuals and organisations. The *Public Record Office of Northern Ireland* PRONI was established in 1923 as the archive for the province and contains records of the Northern Ireland courts and departments, local government records, and some private and business records.

As disclosed before, TNA was formerly four separate organisations: the *Public Record Office* PRO, the *Historical Manuscripts Commission* HMC, the *Office of Public Sector Information* OPSI and *Her Majesty's Stationery Office* HMSO (established in 1786). It was born in 2003 as the result of a combination of PRO and HMC; then, on 31 October 2006, TNA was merged with the OPSI, which itself also contained HMSO (which was previously a part of the Cabinet Office). Therefore, since 2006, TNA is charged with publishing all UK legislation and manages Crown and Parliamentary copyright. In order to execute this activity, a legislation editorial team was established able to maintain and update the website *Legislation.gov.uk*, an online resource where it is possible to have free access to all UK legislation. TNA is also responsible for *The Gazette*, the UK's official public record, which is comprised of three publications: *The London*, *Edinburgh* and *Belfast Gazette*.[525]

Over the years a lot of internal survey and data are elaborated on the internal management of TNA and the archive was considered an

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[524] On 1 April 2011, the National Archives of Scotland (NAS) merged with the General Register Office for Scotland to become the National Records of Scotland.

[525] For more detail see: http://www.legislation.gov.uk/aboutus (accessed February 13, 2017).

interesting case study also in the past. For example, Cantwell reported that between 1960 and 1966 archivists and others from over fifty countries visited the PRO to study its work and organisation.[526] Nowadays, all departments produce periodically tools, surveys, and charts that are used to illustrate the activities to the minister and to the general public in order to provide evidence for stakeholders.

The Chief Executive – the Keeper - reports annually to the Secretary of State for Culture, Media and Sport on the work of The National Archives. The report is laid in both Houses of Parliament in accordance with the first section of the Public Records Act 1958. Furthermore, the TNA staff sets an independent *Information Management Assessment IMA* programme in order to evaluate the record keeping procedures of the government departments. Its aim is to provide that departments understand the value of information and the records management from the beginning of the documentation life with a view to the future part of the permanent public record office. In 2015, an IMA was undertaken at both Houses of Parliament for the first time. In the wake of this educational activity, TNA has recently delivered an e-learning course called 'Responsible for Information' that has equipped almost 200,000 civil servants with the tools and knowledge required to manage information securely online.

In 2015 a four-year strategy document, *Archives Inspire 2015–19*, was issued for the first time in which the goals and priorities of the organisation were set out with a stress on their big current challenge on the preservation of born-digital records. About this last aspect, in 2015, the first pilot transfer of born-digital records from the Welsh Government to the National Archives was completed. As part of the Digital Transfer Project, TNA shared information on this thorny activity to other international institutions, like the National Archives and Records Administration of Washington D.C., the University of Melbourne and the Swiss Federal Archives. Furthermore, TNA is internationally recognised as the promoter of good practices for digital records management. First of all, it spread the PRONOM service for the

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[526] Cantwell, John D. 2000, 78.

registration of file formats and edited a free software called DROID able to automatically identify file formats. Secondly, it developed a project for the conservation of database named NDAD. Finally, Archives around the world use and contribute to its Digital Records Infrastructure (DRI) to share best practices.

During the last years, TNA is even more aware of the increasing role of leadership and to provide a positive impact, support, and guidance to the broader archive sector in the UK. This awareness is evident especially on the strong challenge of the digital documentation in which TNA is working on the frontline. As explained by Jeff James (CEO and Keeper since 2014), 'they are working closely with Cabinet Office on a solution for the future of managing and preserving digital records, to ensure continued transparency and accountability, especially in anticipation of further born-digital information being transferred to The National Archives.'[527] The TNA's archivist talked about the challenge on born-digital records in this way:

> Previous thinking has been that any digital produce quite a mirror of the paper process. [...] What we have realised now is that it isn't much more sustainable and actually we need much earlier intervention to digital. [...] I think we will see a change and we will be more involved with current and semi-current for digital in the future than we're now (Interview 5, Archivist of TNA).

Although TNA is currently piloting the management of records since their creation in order to deal with the 'digital issue', it has formal responsibility only for the historical documentation of the nation. All government archives selected for permanent preservation are transferred to TNA for the use of the public 20 years after their creation unless retained for a longer period by the department concerned under statute or on application to Lord Chancellor.[528]

TNA is an archival repository but not just that. At Kew, there is a shop where books, gadgets and merchandising relating to historical documents are sold. Furthermore, TNA stresses its role in setting up

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[527] Jeff James, *Overview*, in The National Archives, Annual Report and Accounts 2015-2016, Norwich: The Stationery Office, 2016.

[528] Foster, Janer, and Julia Sheppard. 2002, 606.

exhibitions. Recently a particular exhibition, entitled 'By me William Shakespeare', is organised in partnership with King's College London outside Kew, at the Inigo Rooms, in Somerset House, in the central London. At the Kew building, they continue to develop and improve infrastructure in order to collect digital records and accommodate more users at the headquarters. In fact, a renovation of the building is currently ongoing. The archive at Kew was born expressly with the purpose to be used as an archive but the needs have changed, mostly in the last period. A transformation of the Kew site was begun in order to develop a new programme of events and exhibitions and in the long view, to encourage people to experience the collection in new ways. In this perspective, a team of archivists, architects and designers are working to reshape the search room and the common rooms, as explained by TNA's archivist:

> [In the last years] the number of people who comes here is becoming smaller largely because they are online. So, people used to come here to see original records but if records have been digitised, are available online. Until a few years ago, people still had to come here to see it, now they can do it at home or wherever. [...] The shift is to tell what this means to traditional archives and how to actually make them a cultural destination. So we're moving very much into the area of museums and galleries. So, we are having a much broader engagement program, calling exhibitions, workshops, and talks to bring in the general public, so people who are not interested in the subject but honestly interested to come in and look at the document, or interested in history or in politics. And next to that, there are very many engagements with learning. [...] One result of this is that more people physically came in, because otherwise at some point someone could ask a question like 'Why have you got so wonderful building in an expensive part of London and no one is coming in?' (Interview 5, Archivist of TNA).

TNA provides a set of evaluation forms to its stakeholders. In addition to the users' survey performed by ARA as introduced, later on, there is a module for complaints and comments, negative and positive as well, through 'Contact us' form. Furthermore, the volunteers which are working onsite or at home for the cataloguing activity are analysed. It is interesting that the first survey on their

engagement was made on occasion on the first Accreditation in order to manage their satisfaction and have more figures to report in the accession form of the Accreditation standard, as explained afterwards. Finally, TNA staff are in contact with suppliers and partners in order to receive some periodical feedbacks.

In brief, the TNA has around 600 members of staff and is structured in four sectors: 'Archive Development', 'Academic research', 'Government' and 'General Public'. In the organisational chart, there is a *National Archives' Board* which consists of the Chief Executive, the five Executive Directors, a Lead Non-executive Board member and three Non-executive Board members. The Board meets at least ten times a year and is the main governance board for The National Archives. In addition, there is an *Executive Team* which is the executive decision-making body of the organisation. It consists of the Chief Executive and five directors. The Head of the Chief Executive's Office also attends Executive Team meetings which are normally held weekly.

The old fashion title of 'Keeper of the Records' which is again currently the only title quoted in the 1958 law has been added to the term 'CEO' in order to be coherent with the current times and with the aim to underline the managerial role of the archive director. The current CEO, Jeff James, advanced his career in the National Archives with a managerial and background in the engineering field. He knows well the archival reality and he is confident with RM, even if he is not an archivist. However, he is currently doing a PhD course in order to come directly in contact with the academic world.

From financing point of view, TNA published annually its business plan. The National Archives is financed by amounts drawn from the UK Consolidated Fund, approved annually by Parliament to meet the department's Net Cash Requirement for the year.[529] In 2015-16, The National Archives' net resource outturn was £33.8 million compared to a budget allocation of £34.2 million. The 2015 net cash

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[529] The National Archives, *Annual Report and Accounts 2013-2014*, Norwich: The Stationery Office, 2014, HC 24, 26.

outturn was in line with TNA net cash allocation of £29.6 million. Furthermore, TNA had no significant liabilities to report for 2015.

To sum up, TNA lacks an enforcement power but has only the possibility to provide support and advice. In order to compensate for the absence of a clear power, they try to have influence in different ways. First of all, TNA elaborated a strategic choice to have a leadership role as support in the archival sector from the public local authorities to the private archives. For example, in order to reach this commitment, they teach good practices and are partners in the accreditation system – explained in detail later on. In this last case, TNA role as a member of the assessment committee is often misunderstood and they are seen as the main and unique promoter of the initiative, which as a matter of fact increments the visibility of the archive. An aspect that strengthens this oversight is the availability of the documentation for Accreditation uploaded on the TNA website and each document has the logo of the archive and not of the entire committee.

About the topic of Archive Service Accreditation scheme, TNA itself is accredited together with other – at the moment – 61 diverse educational, public and independent archive services.[530]

2.2 London Metropolitan Archives – LMA

The London Metropolitan Archives – known with the acronym LMA - is the largest local government archive repository in the United Kingdom. It holds 100 km of local government and other records – books, maps, photographs, films and documents – for the Greater London area and the City of London dating back to 1067 (the date of a charter to the citizens of London by William I consequently to the Norman Conquest) and includes more recent messages of condolence

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[530] The quoted data is dated on November 2016 when was published a file .xls with the list of accredited archives at http://www.nationalarchives.gov.uk/archives-sector/archive-service-accreditation/accredited-archive-services/ (accessed February 14, 2017).

collected in the aftermath of the terrorist attacks of 7th July 2005.[531] Therefore, it is a historical archive separated by the records management office of the Greater London.

It was established in 1997 as a successor to the Greater London Record Office, formed from the London and the Middlesex County Record Offices in 1965, which became a Corporation service in 1986. The Greater London Record Office and the Members Library moved from County Hall to Clerkenwell in 1982, where the archives are currently based. according to the abolition of the Greater London Council in 1986, the Modern Records Section likewise moved to Clerkenwell in 1994 with the official archives of the Greater London Council, *Inner London Education Authority* ILEA and London Residuary Body. LMA is the Diocesan Record Office in London, Southwark and Guildford and is recognised as a place of deposit for public records. It is hosted by the Department of Culture, Heritage and Libraries, and administered by the City of London Corporation.

Its collections comprise the archives of the large charities of London, of ecclesiastical bodies and of local government agencies. Some of their most popular archives are from the parish churches in London and they also have archives for Non-Conformist and Jewish communities in London. They are also home to the archives of a number of organisations concerned with health and wellbeing, school and education collections, business archives, and archives donated by private individuals. In order to complement the archive collections, the reference library boasts over 80.000 books which cover all aspects of London's history.

Over 2,5 million of the documents in their collections are described in the online catalogue allowing the user to conduct in-depth researches before a visit directly the archive. Thanks to a *History Card* –

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[531] The following information of the history and holding of the London Metropolitan Archives are referring to: Guide; https://www.cityoflondon.gov.uk/things-to-do/london-metropolitan-archives/Pages/default.aspx (accessed February 14, 2017); Foster, Janer, and Julia Sheppard. 2002, 391.

the identification system used by the archive – it is also possible to reserve documents in advance by the digital catalogue.

They are a leading actor for researchers on ancestors in London. In particular, the archive has a special partnership with the international network on pedigree *Ancestry* in order to digitise and index their key resources for family historians and make them available online for free.

The archive arranges exhibitions at the Guildhall Art Gallery, in the City of London, where a specific space is built with the aim to show a rotating selection of rare documents from their collections. Another little exposition space is near the search rooms, precisely at their entrance, where three exhibitions every year are held (if an exhibition becomes popular and well appreciated, sometimes they extend the duration). Documents and especially pictures owned by the archive are displayed in an attractive way thanks to the help of different LMA teams, from the reprographic to the conservation staff. The curatorial activity is an intensive work which needs a considerable amount of money and, for this reason, they decided to apply for grants not only for restoration projects but also for acquiring new exhibition materials.

The archive manages one of the finest collections of images (photographs, watercolours, maps, and films) of London in the world. For this kind of documents, they have a mediatheque, located within the research rooms, which provides access to digitised images. A group of these images is available to view on social networks like YouTube, Flickr and HistoryPin. They are also a partner of 'London's Screen Archives', the archive film network for London, and provide films for screenings around the London area and beyond.

Furthermore, they have an online image database called '*COLLAGE*' with over 250,000 images of London from the collections at London Metropolitan Archives which are searchable from Guildhall Art Gallery and are grouped by subjects.

They realised several projects with schools with the aim to increase awareness of archives and their potential for education, in an environment of collaboration, learning and fun. Additionally, they run a specific education programme of instructive workshops for children

and adults of the community, including visits and tours at the archive and the conservation laboratory.

They are regularly used as a case study for arts policy and management by students from City University and as a venue for courses run by Birkbeck College, University of London.

The organisation of the building allows having a reception and locker room near the entrance where clear plastic bags are provided for carrying notebooks, stationery and any small valuable items in the search rooms.[532] The information area and the search room are on the first floor where multiple computers are available in order to access to the catalogue.[533] At the same level, there is a conference room which can host a hundred people and it is rent for external users. Near, there is part of the library with books in open-shelf useful for researchers but which are not available for an external loan.

The architectural solutions married the needs of security on archival patrimony in the design of the search room, as highlighted during the author's visit:

> The area behind the glass is where you can look at the original documents. That has got a secure door. So you can get in by yourself but you only can get out if a person, if a staff behind the desk, makes sure that documents are back and everything is fine. (Interview 2, Archivist of LMA).

To look at originals it is necessary to get a 'history card' which works also as a printer credit card thanks to the possibility to top up an amount of pounds for this use:

> [The history card] is a unique reference to use all the material online which you can do at home as well as here. That kind of access is a security means as well. [...] We want to know who the people are. [...] I

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[532] More information are available at the visitor regulations on https://www.cityoflondon.gov.uk/things-to-do/london-metropolitan-archives/visitor-information/Pages/visitor-regulations.aspx (accessed February 18, 2017).

[533] https://www.cityoflondon.gov.uk/things-to-do/london-metropolitan-archives/visitor-information/Pages/plan-your-visit.aspx (accessed February 18, 2017).

think it is useful when you go to pick up your documents inside the archive study area, you show your card. I think people like to do that (Interview 2, Archivist of LMA).

One characteristic of this archive is the extraordinary large conservation laboratory with specialised equipment in which a team of skilled and experienced conservators is working but unfortunately the staffing has been reduced recently by about 50%. The conservators work together with digital service team which have at their disposal several innovative scanners.

Furthermore, LMA is in the forefront for its services specialised in the creation of tailored boxes, thanks to a software and a specific machine, in order to ensure that the records are packaged in the most appropriate way with quality checked materials. Moreover, this facility is shared with other archives thanks to the possibility to share and sell boxes with specific dimension and following preservation standards.

The building where LMA is located was built in the 1930s as a printing press and reflects the necessity of archives for its strong floors suitable for the weight of the paper. However, the ceilings are very tall and there are some problems in the moving of documentation between high shelves. In the renovation of spaces for the current archival use, there was attention creating different rooms specific air conditioning environment in accordance with the special requirements needed for documentation. In order to improve the management of documentation among shelves, they started a project with the setting of barcodes on the shelves with the aim to know immediately their contents but the plan was not completed.

Between the facilities of the physical management of archive, they boast a direct access by the street in order to simplify the new acquisition movement and they have a dispatch room where a new collection is managed by conservators before entering into the archive. Additionally, the building is equipped with industrial lifts which were built for the printing press. Thanks to a walkway the building is linked to a new separate block with four floors where the repositories are located. The main building is leased for LMA use until 2045 and they

have already started to reflect about the future collocation of the archives.

LMA is funded by the City of London which directly pays the renting rate of the building and give around £3 million every year as a contribution to the operating costs. This amount of money covers just the salaries of the core staff and the other around £300.000 is reached with other resources: for example the fees for collections in deposit, fees for digitalisation, fees for researches via email, and, in particular, thanks to the fundraising income which represent the 10% circa of the total budget.

An example of fundraising is the preservation project of Great Parchment Book of the Honourable The Irish Society. It is an important survey, compiled in 1639, of all those estates in Derry managed by the City of London through the Irish Society and the City of London livery companies. It represents one of the main sources for the City of London's role in the Protestant colonisation and administration of Ulster. Damaged as the result of a fire at Guildhall in 1786, it has been unavailable to researchers for over 200 years. From 2010 and 2013 LMA has engaged in an extensive crowd-funding project in order to restore, digitalise and allow the reading of the text online. The virtual reconstruction of the book was also subject of an exhibition in 2013. The crowdfunding project involved different bodies: UCL University started the project budget, the National Manuscripts Conservation Trust helped to realise the conservative actions, and the Rothschild Foundation gives money useful for the transcription. Then, once the project was undertaken, LMA received other remarkable contributions.

LMA's projects are performed thanks to a good fundraising policy but good results are also reached with the fundamental help of a considerable number of volunteers.

LMA is accredited by the *Archive Service Accreditation* since 28th May 2014. They elaborate a strong business plan in order to reach this result. Achieving the accredited status demonstrates that LMA has met national standards relating to management and resourcing; has the care of its unique collections and offers good services to its entire range of users.

LMA has a suite of over a dozen policies including for example policies for appraisal, Collections Access and interpretation, Collections Acquisition and Management, Conservation and preservation, Development, Digital preservation, Exhibition and display loans, Security, Volunteers.[534] All these policies are underpinned by a range of guidelines. Furthermore, the archive has available a lot of collected data which allow evaluating its quality and performance. In fact, it is possible to analyse:

- User satisfaction thanks to surveys and comments/feedback forms;
- Estimation of the time need to complete a distance enquiries (within ten days);
- Estimation of the time need to bring a document from repository to search room (within twenty minutes);
- Estimation of the time need to fulfil a reprographic order (within ten days);
- Estimation of the time need to acquire a collection;
- Estimation of the time need to catalogue a collection;
- Amount of space needs to the appraisal/deaccessioning processes;
- Pest monitoring for preservation;
- Numbers of volunteers and time spent.

In conclusion, LMA policies and processes, confirmed by the Accreditation, have the additional aim to answer to City of London's digital strategy which can be summarised in 'Providing the widest possible access to the archive collections in its care'.

2.3 City of Westminster Archives Centre

It is the archive of a borough of London with special status: the city of Westminster. Westminster became a city with the foundation of the Episcopal in 1540. From the 16th century, its local government was

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[534] All policies are available at https://www.cityoflondon.gov.uk/things-to-do/london-metropolitan-archives/about/Pages/policies.aspx (accesed February 14, 2017).

managed by parishes and by the Court of Burgesses. Then, the court gradually losing most of its powers in favour to the parishes and was finally abolished in 1900. In that year, the ten Westminster parishes were united to form the City of Westminster.[535] In 1965 the boroughs of St. Marylebone and Paddington, which had each been a single civil parish before 1900, were added to the City of Westminster, to form the present city. Currently, its boundaries extend from Pimlico and Victoria in the south through the West End, Marylebone and Bayswater to Paddington and Queen's Park in the north-west.

The archives centre also works as the Diocesan Record Office for London (South Westminster parish records) and is recognised as a place of deposit for public records. The two separate collections formerly held at Victoria and Marylebone libraries have been amalgamated and are now held in the purpose-built Archives Centre, which opened in 1995 at St Ann's Street.

The City of Westminster Archives run a number of cross-curricular history projects and workshops managed by an education team with a professional teacher.

The website of the archive proposes to browse through the preserved resources thanks to a guide with fifteen macro areas. Additionally, there is a catalogue online, called 'Westcat', which runs with the software *CalmView* by Axiell Company, broadly used among other UK archives, libraries and museums. The local version of the software is multitasking and allows, in addition to search in the catalogue, to write finding aids, count the current total amount of holdings, manage the accession requests and also set up the events in the archive.

In situ, the research is facilitated thanks to some information sheets about the patrimony, the main collection and the frequent topics which are available in the research room.

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[535] Some information about the history of the institution are extracted by: Foster, Janer, and Julia Sheppard. 2002. *British archives: guide to archive resources in the United Kingdom*. Basingstoke: Palgrave, 489.

At the reception, there is a little part of the library with the books frequently used and the possibility to borrow them with an easier request. At the same ground floor, there is a 'local history shop' where are sold books, postcards and other objects realised with the reproduction of the archival material. This is an interesting opportunity to obtain new incomes and build loyalty.

The building preserves all the archival holdings. The material can be moved easily by the different floors thanks to an industrial lift. In the same building, there are the research room, the library, the administrative offices but also a conservative room and a reproduction room. Furthermore, there is a didactical room and a conference room. The headquarters was built thinking to the development of the collections for twenty five years. Currently, at 2016, twenty-one years are passed from the inauguration of the building so it is important to be careful in the management of the archive and in the process of acquiring new collections.

At the entrance of each storage rooms, there is a disaster plan, namely a map of the shelves and documentation which are coloured differently on the base of the material which needs more care in case of an accident. In a situation of emergency, an external provider will come in the repositories and selected the documentation more important following the colour code.

The archive preserves several collections given on deposit and some of these are managed by specific archivists. In these cases, therefore, the archive operates as a well-recognised repository for the local community. About the deposit topic, the archive encourages the donation of archives in order to obtain the entire management right on documentation. However, as it is reported in the *Collections Acquisition, Management & Development Policy* there is the possibility to set a relationship for an 'indefinite loan'. This means the case in which the ownership is not given to the archive but the collection remains in their repositories permanently in order to avoid the possibility to start a project of restoration or cataloguing and, then, the owner could reclaim its object. This is a waste of the resources that should be discouraged. Commercial depositors who deposit more than 100 linear metres of

records will be subject to an annual charge per linear metre for storage which is fixed and updated every three years in order to set up the amount money request with its current financial value.

Loans of the archives can be made to other institutions for exhibition or cultural projects. In these cases, there is not a fee fixed while, usually, it is requesting an improvement, like a restoration, of the archive object of the loan. Every year they have few requests for exhibitions, around three or four.

The accessibility of the archive collections is open for people who is a member of Westminster libraries and, as explained in the interview reported, has a card.

> *Interviewer:* The necessity to be a member of Westminster libraries in order to visit the archives, implies that the user should be a local citizen? It is an obstacle in the accessibility process, for example for foreign researchers?
>
> *X:* We give people the option. If they live, work or study in Westminster and they can prove their ID they get the full library card which entitles them to borrow [...] all of books and references [here] but they can borrow also from another Westminster libraries and some of the online resources are through the library card. So it gives more access. But we don't stop anyone actually, like a temporary academic or everyone else[...] So, there is no obstacle to anyone to come in, anyone could come in any time and we don't charge anyone for instance. Instead, the other people that we do charge actually are for commercial depositories of their business which pay an annual fee (Interview 4, Archivist of City of Westminster Archives Centre).

Since September 2016 the archive is accredited by the Archive Accreditation Service but just for the historical archive which they actually preserved. In fact, the Westminster record management service is managed by another office of the council. About the accreditation, the interviewed has argued:

> *Interviewer:* Being part of the Accreditation System has increased your organisation reputation between stakeholders?
>
> *X:* [The accreditation] is quite recent, so hasn't really had any immediate impact put in that way but in terms of the Council it made a very positive message, in terms of their annual review [...] they are

focusing on that. [...] So, there has been a positive message (Interview 4, Archivist of City of Westminster Archives Centre).

Finally, LMA team manager tries constantly to optimised the subdivision of tasks among the archive staff, especially increasing responsibilities of everyone in such a way that all of them could be more flexible and cross-working.

2.4 Kent County Council Archives

The Kent Archive Service was set up in 1933 to look after the records of Kent County Council KCC and its predecessor bodies, then it also collected other records related to the county's history. From the foundation, Kent council appointed Miss Dermott Harding, formerly Bristol City archivist, with a dual mandate to manage the county's archives and the non-current files. She was succeeded by Richard and Dorothy Holworthy.[536] Then Felix Hull succeeded Holworthy. Hull developed remarkably the services over the thirty years he was in charge holding exhibitions, organising school visits, publishing guides (the first was issued in 1958), creating a Grigg-based records management system, and establishing regional offices within the county.[537]

Continuing with the archive events, in 1990 the local history collections at the County Central Library at Springfield amalgamated with the Kent Archive Office in Maidstone to form the Centre for Kentish Studies. The town centre libraries at Folkestone and Ramsgate, and also Hythe and Lydd town councils, held significant collections of archives and in 2000 these were brought together with relevant collections from the Centre for Kentish Studies to form the East Kent Archives Centre at Whitfield near Dover. The *Kent History and Library Centre* KHLC, as explained later on, contains all the archive collections formerly held at the Centre for Kentish Studies and the East Kent Archives Centre and some formerly held at Canterbury Cathedral Archives. The archive collections cover the whole of Kent except

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[536] Shepherd, Elizabeth. 2009, 108.

[537] Shepherd, Elizabeth. 2009, 110.

Medway, the Canterbury City Council area and Metropolitan Kent (e.g. Bexley, Bromley, Greenwich, Lewisham and Woolwich).

Since 1986 a Records Management service was set up and it is one of the longest-running local authority RM in all the country. Initially, it was part of the legal registry but a connection was maintained with the archive and during the following change in the organisational chart of the archive, also RM moved together.

From about 2007-2008 it started to become clear that the archive and library service rule outcomes should be direct to customers and users and the County's idea was to facilitate and spread access but this inclination was against RM practices which in general act in order to protect access. For that reason, from 2009 the RM service was taken out of the archive service and become part of the library business support unit. Specifically, the RM Team which work on FOIA and data protection information is currently part of the library IT security support. Currently, the archive service is managed by thirty-six people but not all of them are professional. The interview here reported is significant in order to understand the peculiarity of professionals employed.

> *X:* We don't have 'modern records archivist' role at the moment which means that getting record appraisal can be quite a challenge because we need to have necessary skills to do it. I try to explain to who is currently managing the records management service [...] that there are necessary as much skill in appraisal records as there is in reading a medieval chart [...]. It doesn't necessarily mean that all archivists have all the skills that you need to do. That is not always understood in this environment (Interview 3, Records Manager at Kent).

> *Y:* People are expected to be able to be flexible and be able to do everything. I think that in that three-year period and more, the value that the authority plan for some professional qualifications has decreased. [...] It is not just a management question [...] both for modern and medieval documents you need special skills (Interview 3, Archivist at Kent).

Therefore RM service and historical archive are managed separately. The current and semi-current archive counts 64.000 boxes, labelled with a barcode system, in a big in-house warehouse at the city

of West Malling, in the north-west area of Kent County. The RM team, with three full-time staff, operate storage and retrieval disposal on behalf of the Kent council. They are currently taking into consideration of a new storage contract because it is estimated that in 2020 the storage will be moved.

Instead, the historical archive is currently preserved in the *Kent History and Library Centre* KHLC located a Maidstone, the county town of Kent. The Centre was opened on 23 April 2012 and contains the library and more than 14 km of documentary collections which are divided into two groups of complementary material: local history and archive collections. The collections dating back to 699 AD includes manuscripts, volumes, charters, maps, prints and photographs and many other types of material. The information and details of the collections they hold are searchable also thanks to the catalogue online which is realised with software *CalmView* by Axiell Company, namely with the same format of Westminster catalogue. However, the online catalogue does not contain all the material they physically hold which are searchable with the traditional paper catalogue. Furthermore, some areas - Medway, Bromley, Greenwich, Bexley and Lewisham - which were historically part of Kent, have their own archive services, collections and catalogues.

Regarding the decision to named the archive without the term 'archive' a specific question is made during the interview:

Interviewer: How the choice of the name "Kent History and Library Centre" was made? Why is the word 'archive' missed?

Y: It is a sort of a compromise to a disagreement. We had a big disagreement meeting about how should be called this place: a Library and History Centre because it incorporates the two biggest services which are involved together at that time. [...] We came up with the name 'Kent History and Library Centre' which satisfied people and pleased anybody. [...] Tomorrow I think it will be more memorable and maybe easy to say (Interview 3, Archivist at Kent).

X: It does call confusion because elsewhere across the country people and researchers they aspect to go to the county archive service and there are a lot of unpicking to be done in terms of explaining to

people that actually this is the County archive service (Interview 3, Records Manager at Kent).

The birth of a unique centre in which the historical archive is hosted, which significantly is known with the title of 'archival and local history collections' and not 'archive', put into practice the idea to contribute to the Council cohesion agenda. In fact, since some years ago, the Council started to think what was important to do for the community, what are the request and the necessity of local area and in that perspective archive represented a service for the community identity. This approach is reflected in the organisational chart where the archivist role is inside the communication sector and in close contact with the reprographic team which has an important role in the entire management of the archive. In fact, a lot of public financing were addressed to the acquisition of a specialised scanner in order to digitalise the patrimony, spread the information with the catalogue online but also obtain external request of copying upon payment. Indeed, reprographic studio reaches a key role to obtain income generation.

The building was designed expressly for the library and archive and it is owned by the Maidstone district LRA, not by the Kent County Council. In the last floor, there is an open-plan office which takes control to the hall where is located the library and search room. In order to enumerate the facilities of the centre, KHLC building hosts a community history area, an archive search room, a digital studio, a large space for displays and events; all 'archive area' is a whole together with the library without boundaries and, since 2014, a registration service office for the registration of marriages, deaths and births.

The search room of the archive is divided by a glass, like the system applied in LMA, and it is possible to go inside after the identification phase at the information desk. To have a modern building built specifically to be an archive give some advantages, for example, the ceiling over the desks for researchers has a glass and the room is bright by the natural light.

As already seen in other archival reality in the UK, in order to enter the search room and require historical material, it is necessary to have the library card.

Until now, they are not accredited by the Archive Service Accreditation and the interview covered this specific topic:

Interviewer: In the future is it possible that the Kent Council will be accredited?

X: Basically the TNA[538] accredits archives, there is no accreditation for Records Management. I suppose we could look to (Interview 3, Records Manager at Kent).

Y: We are inspired to get it but we need to go through resources built. We need to write policies and this is the main things. And to write policy, you need time and to think about it and doing research (Interview 3, Archivist at Kent).

The public engagement on archival services, which could be developed in the future with the Accreditation, is now promoted thanks to some activities performed in order to spread information about the patrimony preserved and the archival skills. For example, during the week *I've inspired* Kent archives proposed a project called 'Put a story in a box' for which an archivist came to some local retirement houses in order to tell stories about archival documents and his activity.[539] Furthermore, a specific educative activity on archival science was made in some local charity communities that preserve archive independently. Finally, some documents of the archive are used in occasion of a beer festival. All these events were an occasion for the archive to go out the traditional scheme and find a new audience. The Kent team considered these opportunities a different way to promote archives.

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[538] In this case TNA is used as a reference point for the committee which assess the accreditation to UK archives. It is an evidence of the common misunderstanding of TNA as the unique promoter of Accreditation Service.

[539] The characteristics of national week 'I've Inspired' are defined in the fourth chapter. For more information see: http://www.nationalarchives.gov.uk/about/our-role/plans-policies-performance-and-projects/our-plans/archives-inspire/ (accessed February 18, 2017).

Three years ago started to arrange documentation in the storage room with a system of barcode that identifies the single archival units and required that each volume should be covered in advanced. At the moment a team of volunteers covered around 40.000 volumes with tailored covers. The second step of this reorganisation project is to reshelve all the documentation considering their size in order to avoid waste of space but this causes a changing in the original order of the material of the same collection. When the barcode system will be carried out, probably it will be necessary other ten years, will be completed a fully automatic system thanks to the user will make a request for a document by the online catalogue which is linked to the barcode system. Hence, the piece will be taken by the storage and its barcode will come to be associated with the user (with the number of his/her library card) and to the staff member which physically moved the document. In this way, it will guarantee the security and if at the end of the day that piece was missed it will be possible traced the people that moved it. Furthermore, that system will be useful to make statistics analysis with the data of the total amount of enquiries.

In fact, it is remarkable in conclusion that the archive pays attention to statistics and some documents like the *Statistics for libraries, registrations and archives* which are made by a business support team are available online for stakeholders.[540]

2.5 Lincolnshire County Council Archives[541]

In Lincolnshire territory, a Diocesan Record Office was established in 1936 but, only in 1948, the Lincolnshire Archives Office was formally established as a county service.[542] It brought together the

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[540] Cfr. http://www.kent.gov.uk/births-ceremonies-and-deaths/statistics-for-libraries-registrations-and-archives (accessed Febraury 14, 2017).

[541] The interview with the Records Manager at Lincolnshire County Council Archives was recorded in Italian and for this reason there are not direct quotations.

[542] The information of the structure of the Linconshire archive service are extracted by: https://www.lincolnshire.gov.uk/libraries-and-

records collected by the Lindsey, Kesteven and Holland County councils. It also acts as the Diocesan Record Office for Lincoln and is recognised as a place of deposit for public records.

One of the most important historical records held by the archive is represented by the corpus of Bishops Rolls and Registers dating from 1214/15. The information of the majority of the patrimony of the archive is accessible online thanks to an interactive portal called *Lincs to the Past*.[543] This interactive hub – with an attractive name which plays on the similarity of sounds between 'Lincolnshire' and 'links' – covers items from different cultural institutions of the County: the Lincolnshire's Archives, Libraries, Museums and Tennyson Research Centre. It is a search engine that provides a single place from which to search through a wide range of cultural collections from across the territory.

For the Lincolnshire Archives, the portal includes, in particular, a catalogue of over 300,000 images of documents relating mainly to Lincolnshire and dating from the 11th Century to the present day; Parish Registers; a database of Lincolnshire convicts; images of nearly 2000 Ordnance Survey maps; images of approximately 75,000 probate inventories; and around 75,000 index entries for other probate records. Furthermore, there is a catalogue of nearly 25,000 books, periodicals, and over 23,000 newspaper articles. This rich portal on Lincolnshire cultural heritage was launched in 2009 by County body in response to an inspection by the Audit Commission in 2008, highlighted the need to improve online access to cultural collections.

In order to request a document, also to book it directly online, it is necessary to have a *County Archive Research Network (CARN) reader ticket*, similar to the card requested in other English archives.

RM office and the historical archive are managed separately in two different departments: the RM is located inside the Information and commissioning department while the Lincolnshire Archive is in

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archives/lincolnshire-archives/ (accessed February 14, 2017); Foster, Janet, and Julia Shepperd. 2002. 293.

[543] http://www.lincstothepast.com/ (accessed February 14, 2017).

the Resources and Economy department. However, the two offices are in close contact and the archivist periodically requests to the Records Manager to receive documentation which has completed the disposition defined by the retention policy. Both offices are placed in Lincoln, the County town of Lincolnshire.

The semi-current archives are managed partially in basements owned by the county and partially to an external provider which is paid by the County for this service and its storages are located 70/80 km far from Lincoln, specifically in another County.[544]

Since 2014, 28 May, the archive has obtained the Archive Service Accreditation.

A noteworthy project performed by Lincolnshire Archive is the opportunity to re-use information that is published by the service (eg catalogues, indexes, policies, and procedures) free of charge, provided this information is not subject to Data Protection or a third party agreement. This includes catalogue entries on portal *Lincs to the Past*, a number of digitised archives and publications held at Lincolnshire Archives.[545]

3. Good practice cases

During the research period in the UK, two archival projects were stand out as a natural consequence of the work-study program performed for the elaboration of the previous chapters about the optimisation of the archive management in order to increase accessibility in Italian Archives. A quality standard for archives and a national survey able to evaluate the satisfaction of users represent two way to analyse the current situation of the archival framework. The detailed explanation of these projects and their positive results

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[544] These information are traced in the interview 7, Records Manager at Lincolnshire County Council Archives.

[545] For more information see: https://www.lincolnshire.gov.uk/libraries-and-archives/lincolnshire-archives/public-task-statement-archives/128060.article (accessed September 9, 2017).

guarantees the possibility to emulate the two cases in a sustainable way.

3.1 The case of Archive Service Accreditation

Accreditation is a fresh UK quality standard which recognises good performance in all areas of archive service delivery. It was developed as the cause-and-effect of TNA leadership and guidance role reached in the archival environment trying to cover the evident lack of policy guidance at the national level.

The elaboration of this model starting in the wake of the setting out of an *Accreditation Scheme for Museums and Galleries in the United Kingdom* which was issued by the Museums, Libraries and Archives MLA Council in October 2011. From 2008, the Council sponsored the idea to extend accreditation process to archive services in collaboration with TNA in order to design a standard with double goals: to recognise and celebrate achievements of efficient archives and also to support those services wishful to raise a good level of standards. The draft of Archive Service Accreditation standard was developed by a coalition of partners: MLA, TNA, ARA, Arts Council England, Scottish Council on Archives SCA and the national archives in the home countries (the Welsh Government, the National Records of Scotland NRS, and the Public Record Office of Northern Ireland PRONI).[546] This project is a good example in which the UK-wide archival sector has worked together effectively to co-create and achieve an outcome useful for the entire community, whatever the territorial or competencies boundaries.

The accreditation scheme is definable as a project elaborated by a Project Management strategy with a project team involved in all the phases of three years of research before to reach the writing of the final document. The team worked initially with some consultants in order to look other accreditation models in different contexts (e.g. tourism and art market) and around the world (e.g. some standards issued in New

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[546] The National Archives, *Archive Service Accreditation Standard*, 2014. The National Archives, *Annual Report and Accounts 2013-2014*, Norwich: The Stationery Office, 2014, HC 24.

Zeeland and Australia)[547] and improve the model. They agreed to align the project with other relevant quality assurance schemes issued in the UK, first of all with the Museums Accreditation Scheme. Both UK accreditation schemes encourage and recognise excellence by certificating the achievement of best professional practices. When the archival scheme was completed thanks to the model of the plan for museums, it was interesting that a UK institution which holds a museum and an archive could be accredited by both standards, as underlined during the interview.

> This is essential for the big national museums because they have archives that are public records. (Interview 1, Archive Service Accreditation team member).

The recall of the first phase of the process is very interesting in order to understand how the community of archivists co-create together a standard with the aim to be not just an improvement guideline but a shared structured standard which include the requirement of incessant improvement.

In around three months was designed a draft, as explained by the interviewed:

> The really intensive program was in 2012. So, in early 2012 we published what we call 'construction document' which was a mix of all existing UK standards in archives and without references to where they come from. So we cannot say 'this comes from the Public sector, this comes from the National Archives Standard of Records and Repositories' [...] and also contains catalogue aspects [...] and the intention of that was to be a first draft of the accreditation. It was intending to get people thinking and talking. And it did. Most people really hated it, which is good, that is what we wanted because it is much easier than say 'What should be in a standard: this look right to me.' Instead 'No, this should be more...should be less..., it needs to be different' (Interview 1, Archive Service Accreditation team member).

This first stage of discussion, reflection and continuous improvement lasted nearly six months in which the team made a hard

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[547] These information are traced in the interview 1, Archive Service Accreditation team member.

work to communicate and circulate the draft between professionals in workshops, as specified by the team member:

> And, in particular, a lot of online discussions that we call 'co-creation' because we could together comment on every bit of the document [...] and on little tiny parts of the requirement where there was a problem. And it really drove what the standard looks like in the end. That was so useful. Partly because [...] it was the first piece of communication and involved everyone. All the archival sectors together were involved. So, after that, people knew that accreditation was coming (Interview 1, Archive Service Accreditation team member).

The co-creators of the scheme were over 500 individuals and made over 1000 contributions for the improvement of the draft. In particular, two main topics came up from the consultation process and actually changed the draft. On the one hand, there was the desire to do not deal the digital preservation separately because the majority of archives has a unique policy for traditional and digital documents. On the other hand, was highlighted the challenge to be more inclusive in the section on stakeholders. Considering that the standard covers multiple types of archives – as explained later on about the concept of 'scalability' –, some archives set up different activities with their stakeholders, for example, a different level of educational workshops and this part of the draft needed an improvement. Therefore, the section on stakeholders was structured as a document in which an archive could talk freely about its activities.

The standard was finally published in 2012 and simultaneously a pilot study with twenty highly varied archive services was run. The study pool was selected between around thirty-five different volunteers archives, as it was detailed:

> We had a film archive which we hadn't been expected, two business archives, we had some very small archives [...] it's a very small London borough which was in a very bad condition [...] and we needed someone to test it and to make sure we would fail. Because if we don't fail, then it's not strong enough. So that was so helpful. [...] Also The National Archives and The Public Records Office in North Ireland, so we knew how it works at the top level (Interview 1, Archive Service Accreditation team member).

Then, the scheme was launched in November 2013 when the first archive, the Cumbria Archive Service of the Cumbria County Council - in the North West of England, achieves the national recognition. Immediately after, other nine services, including TNA itself, were accredited. Therefore also TNA is accredited and a specific question on this circumstance is made during the interview:

> *Interviewer:* Could it be a contradiction the accreditation of TNA itself?

> *X:* We get around that because we have partners and because there are five different bodies that do assessments. So, in Wales it's the Welsh Government, in Scotland it's the National Records of Scotland and the Scottish Council on Archives, in North Ireland it's the Public Record Office of Northern Ireland, in England, it's The National Archives. So, when comes up for assessment a body that is part of one of those assessment bodies, we get two of the other assessment bodies to provide the assessment. So, they do the assessment. So, it couldn't be a contradiction if there are so many assessment bodies. In the end, we can be 'ok' about it, I think (Interview 1, Archive Service Accreditation team member).

Summarising, the assessment process is done by a team of seven people, from all home nations assessor bodies in order to evaluate more objectively as possible. In TNA, the staff in charge of this project is constituted mainly by two people part of the Division Department of Archive Sector Development, supported by other colleagues regarding single aspects.

A minimum of 25% of applicants is certified after a site visit and during the interview is stressed the importance of audit in situ, as it is here reported.

> *Interviewer:* It will be possible in the future to provide a periodic audit in the accredited archives?

> *X:* Yes, I mean we have [in TNA] what we call 'engaged managers'. They are related to the responsibility to have a long-term relationship for all archives in England and similarly in the other home nations. So yes. We visit as part of the assessment process, which goes back to a possible review process but it's a relation that takes time (Interview 1, Archive Service Accreditation team member).

Among the contribution of the Accreditation for the management of English government archives, it is interesting underlined that the scheme replaces The National Archives' *Standard for Record Repositories* and its self-assessment programme for local authority archives in England and Wales, which were previously used as performance indicators.

Additionally, the standard is structured with three modules, each of which divided into sub-sections with a series of explicit requirements and outcomes. Here below a chart about the three sections is reported in order to highlight the setting-out clearly similar to the Work Breakdown Structure WBS used in Project Management discipline:

1. Organisational Health	2. Collections	3. Stakeholders and their experiences
• 1.1 Mission Statement • 1.2 Governance and Management Structure • 1.3 Forward planning • 1.4 Resources: buildings • 1.5 Resources: finance • 1.6 Resources: workforce	• 2.1 Collections management • 2.2 Collections Development • 2.3 Collections Information • 2.4 Collections Care and Conservation	• 3.1 Access policies • 3.2. Access Plans and Planning • 3.3. Access Information, Procedures and Activities

Table 7. Sections of the UK Archive Service Accreditation.[548]

These fundamental requirements are the core of the archive evaluation by the scheme. Furthermore, the Accreditation is reached if the archive brings a minimum number of benefits for users across seven main areas which are identified on the basis of their capital letter, as 'The 7Ps': Performance, Profile, People, Partnerships, Planning, Patronage, and Professionalism.

In order to sum up, Archive Service Accreditation helps archives to demonstrate their value by externally validating and accrediting achievement and supporting improvement. The term of 'archive

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[548] The data are extracted from the document of Archive Service Accreditation Standard issued in June 2014.

services' means the aim to address the standard to the entire archive, independently of its phase, and, in fact, it takes into account the acquisition and retention policy which is related to the records management activities. However, the standard reflects mainly the historical archive, as declared during the interview in Kent County Council Archive.

An archive could be accredited, or not, after a long process of analysis which testified to ensure the long-term collection, preservation and accessibility of its patrimony that belong, in general term, to the nation and the entire community. In other words, archive services should be sustainable, effectively managed and proved that the collections are safe. The good management of the archive should not only for the internal organisation but also should be well recognised by the public and meet its communities' needs.

As explained in the file 'Archive Service Accreditation – Standard' issued in June 2014, the scheme is articulated in a set of documents:

1. *The standard*: list of requirements that an archive must meet in order to obtain the accreditation
2. *Guidance*: guideline and previous case study useful as examples
3. *Scalability table*: schema of typology of archives with different level of possible assessment
4. *Eligibility criteria*: criteria to allow services to assess their eligibility for accreditation
5. *Glossary*
6. *Application form*: to be completed by the archive
7. *Assessment form*: to be completed by the assessors
8. *Cross-reference tables*: explanation of the sections of the standard which corresponds to other standards

The standard talks about *Eligibility* with the intention to be more flexible and considering the different types of applicants. For this reason, a scalability table was drawn up. *Scalability* means that there are scaled requirements for different types of service with the aim to include more typologies of format (e.g. paper and digital) and ownership (e.g. public and business) as well. This aspect is different

from Museums Accreditation in which charity institutions are included but not private ones. Therefore, an indicator for scalability is represented by the kind of service performed and it is individuated thanks to these tags: *Local authority, Other public sector (e.g. National), Private and third sector*. Furthermore, for the definition of the 'scale', the mission and the scope of the archive, especially in terms of audiences reached, is analysed.

In particular, eligibility criteria defines that a service can be entitled to accreditation if it:

- holds archives
- is of a reasonably significant size
- gives some form of external access to those archives
- holds some archives which are analogue (but this aspect is currently under revision)
- has identified workforce to manage archives (including professional staffing in the public sector)
- has dedicated, secure storage for collections

The concept to be of a 'reasonably significant size' is based on the scalability table and it is very tricky considering that a lot of archives, also public local authorities, have a little dimension.

Regarding the human resources, the people are evaluated on the basis of a professional standard for archivists elaborated by the ARA Association.

A pilot study in order to validate next services started every three months. During the application process it is strongly recommended to the archive to manage it for a long time because it is not important to fill in the form quickly but, in order to create some long-lasting benefits, it is better to take advantages from this project also during the process path. It is suggested to reflect, make meetings with bosses and discuss policies with the government body. These study activities of the internal structure and communication of the performed activities and issued policies, will not end in itself with the accreditation but they are especially crucial for the present and future daily management of an archival service. In fact, the standard is focused on the future vision for archives to develop better more

effective services and increase sustainability within the sector. In other words, the accreditation allows archive services to be plan effectively for future challenges and developments, so it is not a single-point assessment but a continuous improvement process. It provides a structured framework for benchmarking performance and support development planning guarantying a long self-evaluation process.

The archives which have sent their assessment forms are exanimate by the committee in discussion panels. After the accreditation, every three years there is a control phase in which the accredited archive services are reviewed in order to check if there are some significant changes. Obviously, each archive has a relationship with TNA and usually directly advise it if some changes in the internal organisation happen. The 3-year review stage, which occurs in 2017 for the first time for first accredited services, is interesting also from the point of view of the coordination team which has the opportunity to analyse the impact realised. This moment represents a mid-term in the review process because, after other three years – hence six years in total from the accreditation –, the archive should re-applied entirely all the procedures.

When the accreditation process is overtaken, its results could be pondered by the archive. There are a lot of benefits to be accredited or just to have worked with accreditation, as explained directly by the interviewed:

> *Interviewer:* Has the accreditation generated some practical improvement?
>
> *X:* Yes, we already know this a little bit. We have had three archive services that were unsuccessful on the first application but they came back and been successfully accredited. So we know that to be back has a lot of improvement (Interview 1, Archive Service Accreditation team member).

Especially, the main outcomes are the possibility to review own operations thanks to a long procession of reflections, to design policies more effective in order to deal with external funders interests and to support quality and professionalism. An indirect outcome is a publicity given by the participation to the standard which generates an external

interest in the archive service. Last but not least, the accreditation is free including all support, advice, tools, and feedback, as it so justified:

> It's free, that is only possible because so many departments are funded by government to support archives widely so it's part of our mandate to do that. Even at the moment, we think that [...] we should do it anyway. That it is part of our public role rather than something which should be paid for. [...] If we want healthy and effective archives, then it is worth to support it from the centre. (Interview 1, Archive Service Accreditation team member).

The financing aspect of the project itself it is interesting in order to understand its current and future feasibility and for this reason, a specific question is made during the interview:

> *Interviewer:* Can the Accreditation system be sustainable for a long period of time?
>
> *X:* I think so. It replaces a system of inspections that we have done for thirty years. So, as long as that relationship continues and as long as this institution is still supporting to live the wider archival sector, I think so. There are things we can do to use less resources, particularly over time. So at the moment, we visit pretty much all of the applicants, but that is not necessarily something that we need to do forever if we know that there are in the same place and they don't report other changes. [...] I think we want to last [the Accreditation system] at minimum ten years [...] hopefully longer (Interview 1, Archive Service Accreditation team member).

The Accreditation standard has a strong mission statement is 'To improve the viability and the visibility of UK archives' with a vision with long range. In this perspective, the sustainability is not only financial but also related to planning and politics as was discussed with the team member:

> *Interviewer:* Do you think it will be possible to accredit in the future all of the UK archives?
>
> *X:* That will be great. We have a long way away but I would like that. I'd like to follow the path of the museum accreditation in which not quite every single museum but the vast majority of them are accredited. I think it will be useful. And I think it's mandatory to have some long aims (Interview 1, Archive Service Accreditation team member).

In this hypothetical future scenario, the TNA could reach a more leadership role and go beyond the limit of the absence of a specific national regulation able to define a central power and govern archives of local government bodies. Therefore the administrative relationships it is not changed by the Accreditation Standard and the TNA leadership role that the continued lack of power on local administration is understandable by the transcription of the interview here reported:

> *Interviewer:* In which way the accreditation system could be a reference point if TNA has not an inspection power but only an advisor one?
>
> *X:* We don't want it [the accreditation standard] to be mandatory in that way. But, I think, as more as [archives] become accredited will become more strong to drive in that direction. [...] At the moment, because we are new, and there are relatively few accredited archives, we don't aspect or want to say: 'You must be accredited'. But, we discussed how can be used accreditation [...] So it is not the same as a legal requirement or mandatory but I think it will become stronger (Interview 1, Archive Service Accreditation team member).

Therefore, Accreditation does not give a strong power to TNA. In fact, in a hypothetical negative scenario, considering that local archives are independent of central government and also from TNA, a local archive can fall in crisis. Therefore, it is possible a deterioration of the institutional stability and a subsequent dispersion and elimination of documents without a possibility of intervention by TNA or others. Accreditation does not give certain pledges because it is not a law but the audit activities and the checking moment after three years could guarantee a continued communication and in this way put under control the life of archives.

To sum up, the accreditation is a national project which involves the entire UK archival sector. It was elaborated by the government of UK home states but during the development a formal approval by a higher archival body, like for example the ICA, was not taken into consideration, as finally asked during the interview:

> *Interviewer:* Is it possible in the future to have a formal recognition by ICA, as an international standard?

X: I don't know any reason to say 'no', so, 'yes potentially'. [...] We have had some interest from other countries: we talked with someone from Norway, Canada, and you [from Italy]. So there are some interests (Interview 1, Archive Service Accreditation team member).

3.2 *The case of Survey of Visitors to UK Archives*

As expressed in the introduction of this chapter, the archival resources are nowadays more accessible by the users which consequently demand requests even more sophisticated. As a result, the staff need to increase its knowledge and skills in order to provide a widespread support for visitors.

Starting from this reflection, since twenty years ago the Archives and Records Association ARA was thinking about the realisation of a national survey of users which is able to photograph the interaction between archive services and their visitors. A group of association's members was aware of the importance to launch a survey which is based on a national level because, at that time, there were just some archives that occasionally have made individually own surveys but they are not coordinated nationally. This situation is testified thanks to an interview with an ARA member which was involved in the design of the survey:

> The only data we had for benchmarking was on the building so it is the standard for the building for conservation but nothing around what we did for users people […]. So, some of us who were involved in those areas thought 'we should do something' and that was why we started to think about this kind of survey (Interview 7, Archivist and ARA member).

With these aims, the *Public Services Quality Group for archives and local studies* PSQG was established in 1996 as an informal network between who was working in the field and had an interest in best practice and quality issues, in particular concerning service provision. In 2002 PSQG was affiliated with the National Council on Archives and in 2010 became part of the Archives and Records Association.

Since its establishment, PSQG has been responsible for an annual quality forum, the national standard for access, the development of standards and networks around volunteering in archives and in project

management, additionally to the fulfilment of a national survey of visitors to UK archives.

The design of the first survey in 1998 was drafted in collaboration with a professional statistical organisation which helped the PSQG committee to find the best questions and which is the appropriate way to set up the requests in order to reach suitable answers and obtain evidence on user demographics, as well as about the impact and the value of archive services.

The questions cover different aspects on the relationship between visitor, staff and institution and there were detailed after a brainstorming activity recalled in this way:

> About twenty years ago we decided it could be a good idea to try and work out: 'What people?', 'How they value the archive?', 'What is good and what is bad?', 'What their views were on the archive?', 'Where we can improve?' and a bit about themselves, so, male, female, that kind of things. And those principles all state the same, if you saw the first survey and the survey today there are big similarities but they're not the same. Because in 1996, once we did the first survey we said 'Do you use the Internet?' (Interview 8, Archivist and ARA member).

This type of information was organised designing the structure of the survey with four different sections:

1. About the visit experience which includes questions on the staff, facilities and services overall and in specific areas. This group of questions allows recognising which area of the archive ought to be improved.

2. About the visit of the day: questions on time spent, type of research and economic activity carried out (e.g. travel, shopping, accommodation). This group of questions are useful in order to evaluate the economic impact of the archive, as explained in the second chapter of the thesis.

3. Valuing the archive service: questions on archives' benefits on society

4. About the user him/herself: questions on the frequency of him/her visits, age, postcode (if UK resident or the country if non-UK resident), gender, ethnicity, disability

The personal data about the users (gender, age, and ethnicity) are useful to documented overall visitors profiles during the years. Thanks to the elaboration of this survey it was evident a recent more presence of disabled people and a necessity to allow people to describe him/herself without prejudices and fixed genders (e.g. the future challenge is to give no differences between genders because a researcher could be a transgender or lesbian). About ethnicity, the national classification, according to a government requirement in force in the UK, is introduced and a different group identity should be selected on the survey form. Another personal data requested is the postcode of residence which identified – for the UK system - the single streets. This information is useful for demographic analysis and has the aim to localise the social background of people.

The survey is made in two languages (English and Welsh for the Wales region) and has, since the beginning, the essential aim to be general, rather than particular. They tried to ask questions that will be suitable and useful for every type of archive, beyond the dimension or ownership of the institution. This characteristic is highlighted by the ARA member in this way:

> The main problem is to find a survey that will help everybody: from the small archive to the big archive, a specialist archive and a general archive. We always try to be general rather than particular (Interview 8, Archivist and ARA member).

Thanks to this setting-out, the study pool of each survey covers more than 100 archives across the UK[549], including national, local authority and specialist repositories, like for example business archives or universities.

The answers obtained represent a set of users and, in particular, the survey is towards 'visitors' which consists in not just researchers and academics but also people who visit the institution for a conference, an exhibition or just enter the building together a friend or relative.[550] This aspect is clearly underlined in this interview:

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[549] In 2016, a total of 114 archives were investigated.

[550] All visitors were invited to take part provided they were aged 17 or older.

This is a survey of individuals who visit archives, not on everybody who uses an archive. So, if you enter in our rooms today you'll see that the vast majority would be old people, maybe retired people, and probably white people. But they are not all the people who use the archive because there are also school children, there might are also community group […] So, the survey is on one group of users not everybody (Interview 8, Archivist and ARA member).

In order to cover more lacks in the identification of public range, they performed another type of survey called *Distance Enquirers* which analyse the people who ask for a research via email. But it should be remarked that also these data are just a picture of the reality and, precisely, these surveys are part of a bigger picture which is very arduous, or even impossible, to be totally investigated.

The first survey was performed in 1998 and, until 2016, they accomplished twelve surveys and two surveys of *Distance Enquirers*. Initially, they plan to perform it every 18 months in which it was set a fixed time of two weeks when the questionnaires should be handed out. However, given that some archives could be closed for holidays in that weeks, the frequency to be done every 18 months allowed to reach every archive in the long period. Since 2014, they decided to carry on the analysis every two years and identify a slot of eight weeks in which every archive can choose the length of time for which their survey would run. The minimum length of time is one week, even where an office is not open all 7 days. Otherwise, it is permitted to extend the survey for the entire period of the selected eight weeks in order to take full advantage of the survey window. This case is appreciated mostly by little archives that are so able to show more data. Currently, every two years is made a visitor survey and every second year *Distance Enquirers* are launched in order to understand the differences between the kind of users.

ARA is the sponsor of this activity and currently, a committee with about eight people are involved in the survey. The group is previously known with the name *Public Services Quality Group* PSQG as long as since three years ago it was changed to the more general *National Survey group of ARA*. This is an advisory group composed by archivists who come from different part of the country and are working

in various kind of archives. Their main activity is the promotion of the survey because they do not practically work on the output of data. In fact, the data analysis is fulfilled by a professional statistical team: the Institute of Public Finance (part of the Charted Institute of Public Finance & Accountancy CIPFA). This organisation delivers the copies of the questionnaire to the archives, makes the data entry, reviews and quantifies the results and, finally, produces the final report. On the one hand, the possibility to be in partnership with this government organisation allows to give more certainty to data and have impartial results. On the other hand, these professional services are available upon payment of about a hundred of pounds for each institute.

The CIPFA Institute is doubly relevant in this research because it made also an annual statistics for local authority archive services asking and collecting data about staff resources; holdings and storage capacity; availability of resources to the public; use of resources by the public; and financial information. Therefore, ARA survey on users is a data collection performed in the UK paying attention to other polls elaborated in the same territory. Evidence of this peculiar care on data analysis is that added to these two analyses, there is also a recent workforce map obtained thanks to Libraries, Archives, Records and Information Management Services LARIMS Workforce Survey 2012; Conservation Labour Market Intelligence 2012-13; Chartered Institute of Library and Information Professionals CILIP Workforce Mapping Project 2015.

Coming back to the users' surveys, its reports with national and regional results are issued online but ahead of time the figures of each archive are singularly addressed to each participant. [551] These multiple editions have the aim to give special thanks to each archive for their contributions and a brief personalised description on the current reality and the possible future scenario of their services.

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[551] The reports of surveys of visitors dated since 2002 are available online at http://www.archives.org.uk/publications/journal-of-the-ara-sp-1111397493.html (accessed February 16, 2017).

The results and outcomes of surveys are various. First of all, the answers help to understand the impact of archival services in the local environment and, in wider terms, the economic value of an archive. In fact, a researcher can spend a night in the local area, go to restaurants, or visit a place but the common and first reason of these expenditures is the visit to the archive which is possible to accents with this kind of questionnaire. Secondly, the questions produce evidence on the quality of archival work and they are very important in order to improve archivists' attitude and activity. In this case, also to receive bad tangible scores could useful to recognise where it is necessary to improve. Thirdly, the data provides an indisputable voice which should be used to obtain more visibility from the collective. The gained feedbacks are an opportunity to engage parent organisation influencing archive government and financing in order to face customers' requests and improve overall processes. In this perspective, one of the reasons behind the question '*Approximately how many hours have you spent at this archive today?*' is a specific political purpose, as explained by the interviewed:

> Archives are often compared to libraries and libraries have more people visiting. But, they usually visit [the libraries] for a short period of time. So, because, you know, if the people who pay my salary and pay for the archive say 'Why all the people go in the libraries, not in the archives?' One the reason is: you come to an archive and stay in for the whole day; if you go to a library and you are borrowing a book, you may be there for ten minutes. So, that is good to know anyway but it is also being good politically to know the answer the question. Some of the questions are valuable for the users who use the archive, some other are valuable to tell the people who are bosses about what we do (Interview 8, Archivist and ARA member).

Finally, the overall results represent a good way to rate not just the quality of the current service but to induce reflections about how to improve the archive in the future.

In order to summarise some of the most important results that are listed in the more recent report dated 2016 and issued in March 2017. It is noteworthy that satisfaction for the overall service is very high, with a national average score of 9.3 out of 10. About the

possibility to demonstrate the economic benefits that archives bring, around 50% of survey respondents did something else in the area that day, in addition to visiting the archive: especially, 15% said they were eating out and 12% said they were visiting other places of interest (other activities included: attending university; going to the bank; shopping; visiting the library/museum; meeting friends/family; and further research/studying).

4. Results

The study of the UK archival administration engenders several reflections that could be summarised in three sections.

The first one enumerates some general opinion on the history and the organisation of the government archives in the UK underlying which aspects could be compared with the Italian situation and which characteristics could be proposed in order to introduce them in the Italian archive structure.

Secondly, a list of consideration on the UK archive management is introduced thanks to the examination of inputs given during the interviews in the five archives described. Especially, the evidence from the two cases (the Archive Accreditation Service and the survey of users) are gathered in order to emphasise why these projects are considered good examples for the Italian scenario.

The last section covers specifically the pilot study. In fact, some suggestions for the draft of the questionnaire designed in prevision of the case study in Tuscany are reported as the result of the piloting analysis of that draft model during the interviews with archivists and experts. Their contributions are substantial considering their experience in filling questionnaires and evaluation forms on archive services, as testified the copious activity of the UK in this direction. Thanks to the reflections on archive management during the research period and especially during the pilot analysis, a scheme of the survey was

improved in order to be introduced during the following case study in Tuscany, as explained in the sixth chapter.

4.1 Comparing Italy and the UK: food for thought

The United Kingdom and Italy are two different countries, also from the archival point of view. It is arduous to deal with a comparison because often there are more dissimilarities than equivalencies. First of all, the UK organisation of government archives does not fit the Italy one. Although it is possible to find some similarity in the common presence of a national archive which correspond with the TNA for the UK and the *Archivio Centrale dello Stato* ACS for Italy, these bodies work differently. On the one hand, TNA is well recognised by the ministers (thanks to the annual meeting of the CEO in the Parliament), by the general public (thanks to the duty to publish the government laws, the several popular activities performed, and the effective website), and by the close-knit archival community (for example thanks to the co-creation of Accreditation project). On the other hand, the ACS represents in Italy an old-fashioned institution. It is well known by the scholars for its patrimony with indisputable importance but the archival community asks a rejuvenation of ACS in order to become a reference point for the preservation of archives, especially in digital form, and in development of archivists role. Simultaneously politics remember the existence of ACS and public archives in general only in consequence of a spending review. In brief, the first crucial aspect to be explored in the comparative analysis is the different role of the two national archives with the government: TNA is an independent body with a strong recognition and relationship with the government; contrarily, ACS is part of the organisational chart of the CH Italian Ministry but with a negligible role.

In this first analysis, it is important to underline the astonishing well-established role of TNA inside a country with a weak archival legislation. From the author's point of view, this activity represents the spread idea that being the repository of the government historical documents has, as a natural consequence, the opportunity to create a vibrant consideration of the institution between the community. TNA

had the capability to take advantage of this favourable circumstances and had generated credibility and leadership. An evidence of its role is also in the name used since 2003: *The National Archives* where the definite article seems to underline its power, also if a real power it has not. This element could inspire a reflection for the Italian case in order to try which opportunities can be enhanced and improved. A practical example, following the UK model, could be the proposal to link the Central Archive website with the *Gazzetta Ufficiale della Repubblica Italiana* one, allowing a unique access.[552] In this way, as it happens in the UK, the official repository of legislative publications is also the official gateway in order to visualise their last editions. This purpose could be taken into consideration during the future reorganisation of ministerial structure and in case of a spending review. It could represent one of the first cases in which a unification of roles has, as a result, the valorisation of the archival role.

Another reflection arose by the study of the history of archival practice in the UK: it represented a slowly running with the aim to reach a unique legislation and cover both national and local archives. There was a tension not yet completely solved which is directed to obtaining a central power of control and supervision on the documentation created by central government and public local authorities. The birth of TNA and the tendency to give to TNA an advisory role (for example with the Accreditation service) have not undertaken a power in this sense. It seems to represents an underestimation of the importance to have a unique legislation, for example with the updating of the 1958 *Public Records Act.* Vice versa Italy had a unique legislation since 1963, then reaffirmed with the current Code of Cultural Heritage issued in 2004 which covers public as well as private archives, independently from where are stored. Additionally, archives of public local authorities are regulated centrally since 1865 and more recently with the DPR 445/2000 together to the 2005 specific Code for their digital administration. Above all, the Italian

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[552] The Gazzetta Ufficiale is currently issued by Istituto Poligrafico e Zecca dello Stato.

archival administration has the Superintendencies network with their peculiarities explained in the first chapter. These bodies represent the central power of the Ministry of Cultural Heritage on archives of public local authorities and private archives alongside the territory. Especially, they have the duty to advise and foremost to supervise on the safety and management of archives which are not preserved directly by the State in State Archives. These characteristics testify that the UK model based on the quality audit on local archival services developed mainly thanks to the practical help of associations (like the audits made since 1937 by BRA) is fragile as compared with the Italian monitoring model. The last one is currently not efficient enough due to the lack of resources – as analysed in the third chapter – but it is indisputable more forceful for the coordination aspect (for example, the designing of a classification scheme and other manuals for all kind of government archives) and the unique legislation respect to the UK solutions based on accreditation processes.

The TNA wider recognition is also based on its attention to the users' needs since the 1960s, while surveys on readers satisfaction were regularly introduced since 1991. In addition, since 1998 the Survey of visitors currently promoted by ARA association covers all the archives in the country and gives periodically and adjourned pictures on people's expectation. Italy has never taken notice of users' satisfaction with a comprehensive pool, except for the not coordinated cases expressed in the third chapter.

Equally important to being underlined, the national advocacy on archives was affirmed by the fulfilment of several inquiries and commissions since the 19th century. Furthermore, the long tradition of national surveys on the UK archives was a well-established method of quantification of data about the current archival administration. In Italy has not developed such attention on surveys at the national level: if excluding the coordinate works on State Archives and some surveys on professionals made by the Association ANAI, no one comprehensive analysis is performed on all kind of government archives and so

including also archives of public local authorities. In order to recall the main national surveys in the UK, they are here listed.[553]

- In 1968 was made a survey of local archive services in England and Wales by Mr WR Serjeant and commissioned by the Society of Archivists SoA. It is published in the Journal of the Society of Archivists in 1971[554] and represents the first survey focused expressly on the management and administration of record offices, rather than of their contents.
- In 1979-1980 Mr Serjeant made a subsequent survey whose results were partially used in a comparative way in the edition of the thereupon survey.
- In 1984 the Royal Commission on Historical Manuscripts carried out an inquire of 187 UK record repositories, 137 of which submitted returns. It is published in the Journal of the Society of Archivists in 1986.[555]
- Between 1991 and 1992 was compiled by the Chartered Institute of Public Finance and Accountancy CIFPA the annual statistics about county record offices in England and Wales, based on their annual estimates.
- In 1992 was made a survey under the auspices of the Commission on Historical Manuscripts and with funding from the British Library Research and Development Department. Questionnaires were sent to 155 local authority archive services in the United Kingdom (including branches), 114 of which (namely the 74% of the total bodies) submitted returns.[556]
- A series of surveys carried out by the HMC, NCA and PRO in 1996 and 1998 (following the surveys model performed in 1984

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[553] The main reference for a recap of all questionnaires performed is: Forbes, Heather. 1993, VII. All the surveys here recalled are detailed in the text of the chapter.

[554] Serjeant, William R. 2009.

[555] Smith, Brian S. 1986. "Record repositories in 1984". *Journal of the Society of Archivists.* 8 (1): 1-16.

[556] Forbes, Heather. 1993, VI.

and 1992) enabled trends in local archives services to be mapped over time.[557]

- In 2010 the British Records Association carried out a survey of three hundred archives in London and a further ninety in the East of England on their administrative situation.[558]

Continuing the analysis of pros and cons, it is important to highlight the TNA efficient communication management, which Italian archives can be exploited. The example of the recent e-learning course promoted by TNA for 200,000 civil servants could be exported in our country as a good practice in which the national archives hire a teaching role in order to communicate fresh information on recent regulations, like FOIA and GDPR.

Finally, a general consideration useful to understand the differences of archival traditions between the UK and Italy is the analysis of a different development of terminology. As already affirmed in the fourth chapter, the differences between the Italian '*inventario*' and the English 'catalogue' are remarkable. Secondly, the base concept in the Italian archival doctrine behind the term 'folder' is not perceptible by an English archivist.

Linked to the terminological issue, the cultural tradition in the UK has developed the sharp distinction between records management and archives, considering the last one like the historical archive. Although this approach means a broader and well recognition of the critical aspects of the first phase of documentation and of the requirement of employment professional records managers in current offices, there is the risk, for author's opinion, of the break of the unique vision of the entire archive. This jeopardy for theoretical basis is not on

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[557] Smith, Brian S. 1986; Forbes, Heather. 1993:; Heather Forbes and Rosemary Dunhill, 'Survey of local authority archive services: 1996 update', Journal of the Society of Archivist 18, 1997, 37-57; Archival Mapping Project Board, Our shared past: an archival Domesday for England. Richmond: Public Record Office, 1998.

[558] British Records Association, *Records at Risk: a report on the BRA survey of risks to historical records in the East of England and London regions, Autumn 2010*, British Records Association, 2012.

the Italian agenda where the 'record continuum model' has been developed, albeit with a chequered past, and on which the current regulation on digital administration is grounded.

Following the attention on records management topic, it is evident a double direction in the education training between the two examined countries. The Anglo-Saxon world is directed towards Records Management professionals with Project Management background. Conversely, Italian archival schools are based on a grounded archival theory but with a few opportunities to develop and an enduring lack of knowledge about the management of digital archives.

In conclusion, from author's point of view, the Italian solid archival tradition has multiple positive faceting (they can be summarised in a unique legislation, a spread monitor activity with Superintendencies, and the record continuum model). But these roots should be cultivated and could be easily implemented and improved thanks to the analysis of contemporary projects performed internationally in order to share best practices, even more than now.

4.2 Analysis of archive management

During the interviews and the direct visit on many English archives, various reflections came to light and are here introduced following the structure of the core chapters of the thesis, namely the third and fourth chapters. The topics are reported in a chart in order to propose immediately some pillows on which it is possible to project an optimisation.

Resources
- People management

Keywords	Reflections
Volunteers	The majority of the UK archives involved volunteers in order to run projects and daily activities: for example, the organisation of tours and the cataloguing activity. Usually, volunteers receive a

	reimbursement of expenses.

Westminster archive currently has 20/30 volunteers in comparison to 20 people of fixed staff. They help also the conservative team.

» <u>A volunteer policy can define the expectation of archive and volunteers as well, in order to avoid misunderstanding and abuse of collaboration.</u> |
| **Director** | TNA has a manager as director, defined as Chief Executive, Keeper, and Accounting Officer, who oversees with the TNA's board the effective running of TNA.

» <u>The direction of an Archive by a manager can have positive results in the leadership and public reputation when the Institution has a top managing entity in the central government and a rich internal administrative structure of the staff.</u> |
| **Records Manager / Archivist** | In the UK there is a marked difference in job profiles between records managers and archivists. Both of them have a common education at University courses but their job opportunity and tasks are clearly distinguished.

» <u>The different terminology and the definition of opposite experiences has generated a demarcation between two realities of the same documentary found. Although there is a positive result of a rich demand for jobs of RM, there is a risk of lose the unique vision of the creation and conservation context. It is fundamental, as testified by the new ICA standard, and its continuity is evident in the Italian model.</u> |

- Logistical and organisational

Keywords	Reflections
Buildings	TNA, Westminster, and Kent have archives

Keywords	Reflections
	expressly built for this use. LMA has a building converted by a press company which shared many requirements with the archival setting-out. » <u>The positive structural and logistical elements are given by the employment of an archive expressly built for this use, and especially for the specific archive in question, are incomparable.</u>
Storages	Lincolnshire County uses an external provider for the semi-current archive which has repositories in another County, far from the RM offices and the Archive, both placed in Lincoln. TNA, LMA, Westminster and Kent preserve documentation in a unique structure where there is also the administrative offices and the search room. » <u>The choices of buildings and storages should consider firstly a unique edifice for all repositories and spaces needed. When the outsourcing option is inevitable, the location more near to the headquarters is convenient for the principle of provenience and indisputable efficiency in the management.</u>

- Financial planning

Keywords	Reflections
Paid research services	Paid research services are available in the majority of the UK archives. » <u>Considering the huge number of requests or research by email which government archives receive constantly in Italy, the introduction of a minimum fee could guarantee the better results in time and efficiency.</u>
Fundraising	LMA applies for several grant schemes like National Manuscripts Conservation Trust (NMCT),

Rothschild Foundation (Hanadiv) Europe, Archives and Libraries Programme, Wellcome Trust Research Resources in Medical History scheme, Heritage Lottery Fund, London Topographical Society, London Record Society. Furthermore, it has relationships with several donors and depositors.

» <u>The obtained good results by UK archives testify that archives should perform a varied fundraising campaign.</u>

Procedures, Processes and Services
- Internal policies and procedures

Keywords	Reflections
Acquisition policy	The majority of public local authorities preserve documentation created by other bodies or by private. Collection owned by external bodies or persons are stored with the payment of a fee. » <u>Archives should try to become an archival pole of conservation and design an acquisition policy able to make the institution as a cultural reference point.</u>
Publicity	Westminster and UK archives, in general, publish online their policy documents (e.g. Collections Acquisition, Management & Development Policy) which are free downloadable by their stakeholders. » <u>The upload of archive's internal policies and procedures are crucial for the accountability and knowledge by stakeholders.</u>

- Processes

Keywords	Reflections
Arrangement	Barcode system is performed by Kent County and a similar system started in LMA. Although it gives the possibility to manage more efficiently an enquiry request and allows data for statistics, it could be extremely expensive for the realisation of new covers for each volume (work totally handmade) and in the re-shelving of every document in base on their dimension. » How the archival bond is guaranteed if all the collections are placed in different positions depending on the high of the documentary typology? » This system could generate a reflection on the barcode currently used in many administrative offices as a link to the daily register. It could be then linked directly to the system that manages the documentation in the historical phase?

- Services towards accessibility

Keywords	Reflections
Online catalogue	Every institution investigated in the pilot study, have boosted for an even more inclusive and interactive catalogue. The best practice par excellence is the TNA's *Discovery* which provides a single point of online access describing archives held throughout England and their organisational data. It is interesting that many archives use the software designed by Axiell Company and this guarantee a more common shape in the presentation

	of the data and the possibility to share the set of metadata.

The online catalogue is linked with a system of reservation of documents, similar to a library system, which allowed a more autonomy for users and staff.

» <u>Italian archives should move towards an online comprehensive system which guarantees a more intuitive research on the entire archival patrimony.</u> |
| **Guide** | The London Metropolitan Archive has issued a free guide to collection and services provided very clear and attract interest thanks to a simple explanation and colourful *mise en page*.

» <u>The communication of a cultural institute is measurable with the efficiency of its media. Archives can use good examples of guides and other informative documents in order to improve their *dépliants*.</u> |
| **Cards** | Although the indisputable advantages to the application of the system of identification like the 'history/library card', it is necessary to reflect on the existence of multiple cards in different archives and libraries which are not linked.

At the Metropolitan Archive, a 'History Card' is used in order to have access to see original documents. Another specific card is issued at TNA: the 'reader's ticket'. While Westminster uses the library card common in Westminster libraries net and similarly Kent County archives and Lincolnshire County Archive demand the library card of their |

	county.
	In brief, the UK archival cards have the minimum aim to identify a researcher and his/her research interests. This goal is covered in Italy with an old-fashioned sheet that a research should fill in with his/her name, his/her institutional affiliation, a brief statement of the subject of study, and what records would use. These data are not substantial for the count of researchers and they do not take evidence of the number of visits done in a year.
	» <u>For author's opinion, the use of a unique card between archives and libraries could generate a misunderstanding of different peculiarities. However, a comprehensive territorial policy can design a unique access to cultural institutions in order to optimise the common management.</u>
Research activity	In the UK archives are surprising the constant presence of the duty to use the only pencil inside the archive.
	In order to enter in the archive, LMA provides clear shopping bags in order to bring the personal staff inside the search room but allow a high level of security.
	» <u>Some precautions and good practices could take as an example.</u>
Statistics and survey	Surveys figures and data on the internal management of UK archives are available online; for example, in Kent, an interesting document is the *Statistics for libraries, registrations and archives*.
	» <u>The design of statistics and surveys are the</u>

	first step in order to know the current administration and identify the aspects needed to be optimised. Secondly, data should be communicated and updated online.
Didactic experiences	An interesting programme of an instructive workshop run by LMA. During Kent interview, there was a reflection on the difficulty to programme didactic activity with schools because often they have not time in the academic year to carry on every cultural proposes. » The didactic offer should be implemented and diversified considering educational needs and interests of all stakeholders.
Shop	A topic concerning financing and accessibility is the presence of shops inside archives in order to reach more public and increase revenues. The 'History shop' in Westminster and the space at TNA are noteworthy. » The English examples could become a model exportable.
Self-reproduction fees/free	A topic that covers financial resources and accessibility aspect is the possibility to take pictures by own photo-cameras in the archives. This issue is on the agenda in the Italian reality and it is inquired during the pilot study. At London Metropolitan Archive: *Interviewer:* Is the choice to fix 1 day per £5 for the 'Self Service photography permit' based on other cases in other archives or on some regulations? *X:* That is a very interesting question. [...]

Some places don't charge at all, The National Archive don't charge. Other archives actually charge more. We have to agree on a charge of all the City of London, so broad libraries and the archives have to charge the same. So, that is why and how it is fixed. [...] Actually, it's quite low, although it's not free because we need to charge something to cover our costs. Because also if it's free people still have to fill in a form and sign what they are going to do by the copyright regulation. But we don't want to make it too expensive because I know that has been a discussion on one of the archives. [...] I think that Camden in London is charging a lot more, £50 per day or something like that[559] and people would saying that this is ridiculous. We find people that think it's quite reasonable because if they go to ask to do a scan of a document for them it will work out much more expensive, particularly if there are multiple images. [...] It is difficult if different places do different things (Interview 2, Archivist of LMA).

As advanced, TNA has not charged for copying documents with the own camera, while the other institution analysed made different approaches. Westminster archive in order to use the own digital camera in the search room charges £5 for up to 10 images for personal use and £10 for up to 10 images for commercial use.

In Kent is possible to use own camera with a

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[559] The reproduction fees fixed by Camden Local Studies and Archives Centre are available at https://www.camden.gov.uk/ccm/content/leisure/local-history/twocolumn/reproduction-fees-scanning-and-camera-charges.en (accessed September 7, 2017).

	licence which costs £10 a day.
	In Lincolnshire, the use of the own digital camera is allowed for on the purchase of a daily (£5,50) or annual permit (£55) and completion of a copyright form.
	» <u>In conclusion, in all archives visited the self-reproduction is allowed and therefore it does not request any authorization forms or restricted the copying to an internal specific service. However, the request for a fee or not is discernment of the direction.</u>

- Archive Service Accreditation

Keywords	Reflections
Project management	The accreditation scheme is definable as project elaborated by a project management strategy with a project team involved in all the phases of three years of research. » <u>For author's opinion, the success of this standard is strongly influenced by the design of the work with a planning of project management.</u>
Power	It is missed the inspection power on accredited archives which instead represent a competence of Italian Superintendencies. » <u>The analysis of lacks in the UK legislation and organisation of government archives could generate an appreciation of Superintendencies role.</u>
Communication	The work of communication during the initial phases of the project has guaranteed the spread of information about it to the entire archival community e to the general public.

	» <u>As part of a project management approach, the results given by an efficient communication should be underlined.</u>

- Survey of visitors to UK Archives

Keywords	Reflections
Possibility to use the same model	» <u>The survey form performed in the UK could be used as a model in order to design an Italian form.</u> The English version should not use exactly alike because it is important only to maintaining the same idea and core concept but the questions could be different in order to be coherent with the country in which the survey will be applied. The trouble is to find the right question. It is possible to express requests in another way in order to reach an answer important for the Italian case study. A practical example that could be applied in order to verify if the list of multiple choices is well organised is a pilot draft in which the questions with multiple choices are blank. The tester will fill in the gaps and suggests the possible variables. It is recommended to send the same format to all archives and try to be inclusive and not exclusive with the overall structure; in this way, the comparison between similar and different institutions will be facilitated. » <u>Italian archives need to know user's</u>

Object	expectation and the well-established UK model could be taken as a model in order to perform an efficient analysis.
	The survey performed by ARA covers all the nation and different kind of archives, including national, local authority and specialist repositories.
	» The scope of analysis should be defined in advance considering the practical challenges to cover the entire national territory where a survey like this is a novelty. An idea could be cover firstly all State Archives, secondly propose to historical archives of public local authorities and finally spread to other historical archives.
Professional analysis of the data	The data of users surveys are professionally input and analysed by an institute of statistics because it is important that the data are clean data and nobody may criticise a work made by professionals.
	» In the design of the project for the survey of visitors to Italian archives, it is necessary to identify a statistic body. Could it be performed a partnership with the statistics office of the Ministry of Cultural Heritage SISTAN?
Identification of users	In the UK all visitors invited to take part of the survey are aged 17 or older because it is considered independent by English regulation.
	» For Italy is it best fixed to be 18 years old, an adult, or it could be suitable use the same range?

	Postcode (if UK resident or the country if non-UK resident) is requested.
	» <u>Use the same indicator for demographical analysis?</u>
Time	Archive services could choose the length of time for which their survey would run during 8 fixed weeks. The minimum is one week, the average three weeks, but someone could extend their survey for up to 8 weeks.
	If the survey will be repeated, the ARA's member suggestion is to do it at least every two years in order to have the possibility to compare quite similar situations.
	» <u>Could be correct propose 8 weeks also in Italy in order to define a similarity and a comparable analysis, although it will be a novelty and some difficulty and there could be some difficulties of understanding?</u>
Communication	It is important to communicate in advance to the staff the characteristics of the survey and provide a sheet with some answers to the main frequent questions. For example:
	People may say 'Why should I fill in this survey?' and we actually answer 'We want to improve what happens in this archive'. […] The other question, I guess […] I am a researcher and I go to the first archive and I fill in this survey, I go to the second archive and someone says 'Would you fill this survey?' And I am going to say 'But I already fill in the first archive!' The answer is: 'Actually, this is what you are visiting

	here not to the other archive. So, you may have different things to say: that may be very good and this may be very bad, that has bad Wi-Fi, this has got a good Wi-Fi. So, please fill in this one' (Interview 8, Archivist and ARA member). If the staff helps, encourages and gives instructions to fulfil the form, more results will be obtained. » It is fundamental to share information before and immediately after the fulfilment of the survey in order to promote the results and the activity to all stakeholders.
Formal agreement	In the UK it is not necessary. The archives agree to the survey paying the fee. » In the case of resubmitted of the survey in Italy should be considered that for the first time an explanation and a formal agreement sending to each director could be appreciated.
Share information with the UK	In spite of several countries already use the UK survey form as an example, nobody made a comparative analysis. It is good to share information between Italy and this country. [The ARA group] will be very interested in seeing your data and seeing how they are compared and how we may change based on what you are doing (Interview 8, Archivist and ARA member). » It is important to do not change completely the form in order to be comparable.
Format	The best is on paper because not all the users are in confidence with computers and, in

	this case, additionally it is necessary a designation position, maybe with internet access.

The best is to request to fill in before the end of the visit otherwise it is possible that the paper could be throw away or forget.

The CIPFA, thanks to the fee, provide all copies needed to every archive.

» <u>It is important to find a sustainable way to spread paper copies of the survey.</u> |
| **Future** | If there will be plans to submit the survey in other territories or continue the activity in the following years it should be paying attention to the changing of questions.

Also if some questions could be opportune to update it is suggested to do not modified before three surveys in order to have the possibility to compare the editions.

» <u>The useful advice suggested by ARA's member could be the basis for the planning of a suitable development of the project.</u> |

4.3 Analysis of questionnaire for the case study

During the conversations with some professionals and experts met in the UK, there was the opportunity to introduce a draft of the questionnaire designed for the following case study and to improve its setting out. The document was presented with the questions is an excel file divided in four macro-areas differentiated by colours. The structure of the worksheet is the following:

1 GENERAL INFORMATION
1.1 Identification

1.2 Contact's details
1.3 Historical background
1.4 Contents of the archives

2 RESOURCES
2.1 Human resources
2.2 Logistical and organisational
2.3 Financial

3 PROCESSES AND SERVICES
3.3 Users accessibility
3.4 Internal regulation
3.5 Activities

4 SUGGESTIONS FOR A BETTER MANAGEMENT
4.1 Resources
4.2 Processes and services

The questionnaire will be addressed in the Italian case study to archive directors. Although during the pilot study the experts met were not directors, they give several suggestions in order to improve the work. The questionnaire was elaborated on excel in order to the listing data process will be more feasible from the archive director which have the possibility to interrupt the questionnaire and ask more specific information, like for example the financing data, to other colleagues. In general terms, the questionnaire is structured with a particular gaze of emulation to the application form of the Archive Accreditation Service and the official archive service statistics performed by Charted Institute of Public Finance & Accountancy CIPFA.

During the first test with LMA's archivist, it is realised the necessity to have a sort of the first page as a foreword and table of contents which was immediately added to the draft of the questionnaire and in that way was then introduced to the other expert.

Some questions were entirely added thanks to some advice: for example, Westminster's archivist suggested to implement 'Which software do you use?'.

Most of the time experts have encouraged to point out some questions:

- Lincolnshire's archivist suggested specifying 'corporate' in the first section on contact's details.
- Lincolnshire's archivist asked to add an annotation that the 'total current extends of digital holdings' represents a data which includes digital copies of paper documents and born-digital records.
- Lincolnshire's archivist suggest to include in the question 'What percentage of the total holdings is catalogued or listed?' also 'listed with standards' considering the different result between a simple list and a standardised list.
- Lincolnshire's archivist proposed to improve the writing of question 'Which are job positions and degrees of responsible and employees?' changing it in 'Which are job positions and degrees of the staff?' in order to be more intuitive.
- Westminster 's archivist asked to consider the kind of staff volunteers in addition to trainees.
- Lincolnshire's archivist proposed to improve the writing of question 'What percentage of total holdings is accessible by the public?' changing it in 'What percentage of total holdings is inaccessible by the public for the following reasons?' in order to underline the cases of inaccessibility and propose some reasons: data protection regulation, conservation process, or cataloguing process.
- TNA's archivist specified that it is necessary to define 'Educational activities' given more detail on the kind of ages that it is considered because many people use this term in different ways: sometimes only for school children, other also for undergraduate students.

Some general reflections and productive discussions were focused on the differences in terminology. Most of all between the term

to call the main funding aid which is the catalogue for the UK and the inventory in the Italian system. This aspect is interesting because Italian archivists avoid using the term *catalogo* for archives which is instead the research instrument for museums and libraries. This consideration has influenced the research and this topic is included in the third chapter.

A consideration in line with the times is made by Kent's archivist on the question about the possibility to have public financing thanks to European projects: this aspect is not more feasible for the UK according to the Brexit decision to leave the Union.

About the structure of the questionnaire, the TNA's archivist suggested reshaping the possible answers with a drop-down menu because give options are better than a free text.

Sometimes, it is asked to the experts to complete some questions in order to test if they are well expressed. For example, the CEO of TNA reply to the question in the section of *Suggestions for a better management* 'As the Archive Director, how much percentage of your daily work is dedicated to these activities?'.

	Percentage %
Managing Human Resources tasks	20
Planning public cultural activities	10
Elaborating financial analysis	10
Studying the update legislation	5
Carrying out archival projects	25
Promoting activities	20
Other (specify): Visits	10
	Total 100%

In this case, the CEO has specified that his activity changes on a constant basis, so it reflects his timetable in January 2017 but the following month this could be changed.

In conclusion, the deep comparative analysis between the UK and Italian administrative configuration of government archives

guarantee a knowledge of a different national model in order to take advantage of their good practices and suggest some proposals of development in the Italian scenario.

Furthermore, the pilot study was an occasion to test a questionnaire in a reality where survey and statistics are well-established. In this way, a lot of suggestions and improvement are collected in order to create a work base for the following stage of the case study.

Chapter VI
Case study in the territory of Tuscany

The chapter outlines an introduction to the history and organisation of Tuscan archives, providing a summary of the main activities for the archival discipline in the region.[560] In the treatise multiple aspects will be then disclosed on which is based the identification of Tuscan territory as a case study in the Italian scenario. In the second part, the survey performed is introduced with an analysis of its methodology. In conclusion, the collected data are explained and the most relevant results are evaluated.

1 History and organisation of archives in Tuscany

It is difficult to keep track of everything that Tuscany represents for the archival Italian discipline. In fact, it is arduous to recall every development made, innovative projects implemented in the Region or every mentor who has given a contribution to archival growth thanks to studies performed in Tuscany. The region has an unquestionable tradition in the management of State Archives and a key role in the development of the Italian archival theory. In particular, Tuscany could be the cradle of Italian archival science following the pioneering work of Tuscan archivists Francesco Bonaini and Salvatore Bongi. In the mid-1800s they established their theories on the *historical method* thanks to their practices in Florence and Lucca archives. Furthermore, Tuscany has been so avant-garde for number and originality of projects completed to be named 'the Sweden of archives'.[561] A brief introduction

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[560] A reference specifically dedicated on the development of archival science in the single Tuscany is Addario, Arnaldo d'. 1955. *Archivi ed archivistica in Toscana negli ultimi cento anni*, in « Rassegna storica toscana», I: 44-52.

[561] Cfr. Tani. Maurizio. *La Toscana: Svezia degli archivi? I risultati di un'indagine condotta a tappeto sulla situazione degli archivi storici degli EE.LL. toscani*, in Tani, Maurizio. 1999. *Gli archivi storici degli enti locali in biblioteca: atti dello stage del 23 gennaio 1998 a San Miniato*. San Miniato (PI): Archilab. Tani reported that someone compared Tuscany with Sweden, as model of civic life.

to the main landmarks are here recalled so as to contextualise the research in a territory rich in archival traces.

According to archivist Elio Lodolini, the first school of archival science was in Italy, at the *Archivio diplomatico* in Florence, which was active since 1778.[562] However, previous signs had been traced by Medici Grand Dukes, Cosimo I and Francesco I, who established *Archivi generali dei Contratti* in Florence (1569) and Siena (1585-88). For archivist Arnaldo D'Addario they represent a 'records management *ante litteram*'[563] with the preservation of daily registers and originals of notary deeds.

In the mid-1800s Francesco Bonaini theorized the correct arrangement of an archive grounded on the history of its institutions and not its subjects. Since 1856 Bonaini had the role of director of an innovative body, the *Sovrintendenza agli archivi toscani,* and offered his contribution to the arrangement of Florentine archives and Tuscany as well thanks to the help of his colleagues: Cesare Guasti, Salvatore Bongi and Giovanni Sforza.

It is worth mentioning that, already before the unification of Italy, Tuscany featured a precocious activity of surveillance on archives of public local authorities. The *Sovrintendenza agli archivi toscani* accomplished the fulfilment of inventories of archives preserved in *cancellerie commutative* between 1840 and 1855, continuing the tradition started in the previous century when, under the Asburgo-Lorena's government, the census of municipalities archives of the Tuscany Granducato took place.[564] Thereafter, a decree of Grand Dukes of 27th August 1856 established a *Sovrintendenza generale agli archivi del Granducato* whose duty was to manage the central archive in Florence and the archive in Lucca and Siena.[565] The subsequent abolition of

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[562] Lodolini, Elio. 2005. *Archivistica: principi e problemi*. Milano: F. Angeli, 377-378.

[563] Addario, Arnaldo d'. 1990. *Lineamenti di storia dell'archivistica: (secc. XVI-XIX)*. Firenze: Leo S. Olschki., 6.

[564] Cfr. Tani. Maurizio. 1999. *La Toscana: Svezia degli archivi?*, 9.

[565] http://www.sa-toscana.beniculturali.it/index.php?id=1017 (accessed September 13, 2017).

Grand Duke institutions influenced the destruction of the peripheral archival network established until then. In fact, in 1865 and 1879 the *cancellerie del censo* bodies were closed and the documentation they preserved attributed to municipalities, with a consequent negative effect on their archives.[566]

In such a fragile context, the inventory edited by Bongi (1872-1888) on the documentation in Lucca archive is considered, even today, an example and result an archival arrangement according to the *historical method*. Bonaini's followers who affirmed the historical method as the reconstruction of original order, are identified as *archival Tuscany school* (in Italian: *scuola archivistica toscana*).

One of the first academic courses of archival science was taught by archivist Antonio Panella at the University of Florence from 1925 for twenty-five years and it was contemporary to the course run by professor Eugenio Casanova at the University in Rome.

After the unification of Italy, Royal Decree 2006/1939 established Superintendencies in the whole of Italy and also in Tuscany. The latter was based at the State Archive in Florence, whose director Panella later became also *Soprintendente*. At that time, the administrative territory of Tuscan Superintendence did not cover the current area of the Region, as the province of Massa was excluded.[567]

The office did not own any resources until many years. However, since 1940 the Superintendence operated in the monitoring of archives of public local authorities, additionally to praiseworthy activities for the establishment of State Archives in Arezzo, Grosseto, Livorno and Pistoia, as well as the preservation of relevant private archives.

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[566] Felici, Mauro, and Pescini, Ilaria, Pieri, Sandra, Valacchi, Federico, *Un progetto di sistema informativo degli archivi comunali toscani*, in Benigni, Paola, and Sandra Pieri. 1996. *Modelli a confronto: gli archivi storici comunali della Toscana ; atti del convegno di studi*, Firenze, 25-26 settembre 1995. Firenze: Edifir Edizioni: 157-176.

[567] The Province of Massa Carrara, at that time called *Apuania*, was included in the Tuscan Superintendence competences with the archival Law 1409/1963.

Since 1950 the Superintendence's foremost concern has been the surveillance on archives of public local authorities, showing an extremely unstable general situation. The supervisory activity on municipalities archives, although against the spread low interest by administrators and among logistical and economic difficulties by local bodies, had an impact.[568] In particular, a project of arrangement and writing inventories of municipalities' historical archives was designed. This innovative plan was based on the training of local clerks in the fulfilment of sheets for single units, a second step would be for the officials of Superintendence to provide their supervision and suggestions for the creation of an overall structure that could guide local staff toward the final arrangement. These brief inventories represent a comprehensive investigation of the then situation of archives in the whole region and the first access of patrimony, not to mention a practical outcome of supervision activity.

To further disclose the precious patrimony preserved in Tuscany, great importance had the publishing project edited by *Archivio Storico Toscano*, the journal of *Deputazione di Storia Patria per la Toscana*, which proposed a description of archives of municipalities and other bodies or families in several numbers between 1956 and 1960.

After 1963, when the differences between State archives and Superintendencies was defined (by D.P.R. no. 1409), the census of archives of public local authorities, as well as archives owned by private citizens or companies was intensified. That year also was the publication of the notable census of historical archives of municipalities edited by archivist Giulio Prunai, afterword director of Superintendence.[569]

A pivotal moment in the history of Tuscany and its archives was the flood which wounded Florence and its neighbouring areas in 1966. Thanks to measures for safe documents explained by archivist Francesca Morandini, first director of the laboratory of restoration in

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[568] http://www.sa-toscana.beniculturali.it/index.php?id=1017 (accessed September 13, 2017).

[569] Prunai, Giulio. 1963. *Gli archivi storici dei comuni della Toscana*.

the State Archive in Florence and then director of Superintendence, it was possible to rescue several public and private documents.

Thereafter, the activity on archives in the territory was strongly influenced by the creation, in 1970, of Regional bodies that had 'an essential role in promoting awareness of the cultural heritage of local authorities.'[570] In particular, the Tuscan Region financed municipalities whose projects aimed to arrange their archives. In that context, the first – first both at a national level and for its specific study programme – plan of training courses for archivists of municipalities was scheduled from 1974, with a parallel life to the school in the State Archive of Florence. [571] The course was intended for file clerks, who usually have the duty to preserve the entire archive in small administrations, to sensitise them towards the importance of the proper management of current and semi-current archives, as well as the correct operations for disposal activity. In the following years, several courses were held not only in Florence but also in different cities of the region in order to provide guidelines to employees from all its provinces. As a result, officials of the Superintendence and State Archives taught in Piombino (1975-76, 1976-77), Lucca (1976-77, 1977-78), Portoferraio (1976-77), Arezzo (1977-78, 1978-79), Livorno (1977-78), Massa (1977-78), Grosseto (1978-79) Siena (1978-79), and Pisa (1981).[572] This fruitful educational campaign, exported to the autonomous province of Trento, put into practice archivist Augusto Antoniella's opinion. As an official of Superintendence and promoter of those courses, he maintained that the supervisory body should not restrict its activity to the mere monitoring of the preservation and correct arrangement of non-state archives, it

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[570] Pescini, Ilaria. 2015. "Archival networks as a model of governance: the Italian case". *Comma.* 2014 (1-2): 51-61.

[571] This data has traces in the historical archive of Soprintendenza Archivistica e Bibliografica della Toscana and it is quoted in its website.

[572] As quoted in Delfiol, Renato. *Esperienze toscane di formazione degli archivisti degli enti locali* in Università degli studi di Udine. 1994. *La formazione professionale degli archivisti e dei bibliotecari degli enti locali: atti del convegno di studio : Udine, 23-25 novembre 1989*. Udine: Del Bianco: 113-118.

should also teach how to organize, use and enhance the archive.[573] This positive environment urged Antoniella to publish in 1979 his important study on the management of historical (post-1861) archives.[574] Furthermore, the proceedings of the courses taught in Pisa were edited by the local Province.[575] Precisely, the main focus of those courses was on the edition of inventories of historical archives. As a consequence of this activity, some guides of municipalities archives of municipalities for according to Province (Siena, Florence, and Pistoia) were published in the Eighties as an update of Prunai's 1963 work.[576] The training activity should be mentioned as a crucial point for the development of archival science in the management of public local authorities and a reason behind the choice of Tuscany as a case study. The edition of the course proceedings in 1982 should be considered the first essay offering Italian archivist in general guidelines on the work at local public authorities, from the point of view of the archival internal organisation and daily management.[577]

As years went by, Tuscany was the leading proponent, through Superintendence and Region, of innovative projects as for census of health archives and business archives, which became an example for the entire national archival community.

The competencies on public local authorities acquired by the local Superintendence have testified the possibility to monitor also the

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[573] Antoniella, Augusto. 1985. *Il contributo del soprintendente alla didattica del bene archivistico. L'esperienza toscana*, in RAS, XLV, 1-2: 207-219.

[574] Antoniella, Augusto. 1979. *L'archivio comunale postunitario: contributo all'ordinamento degli archivi dei comuni*. Firenze: Giunta regionale toscana.

[575] Centro studi "A. Maccarrone.", and Sovrintendenza Archivistica per la Toscana. 1982. *Atti Corso di aggiornamento per archivisti degli enti locali 25 settembre-20 novembre 1981*. Pisa: Stampato a cura dell'Amministrazione provinciale di Pisa. A following edition is dated in 1991.

[576] For the great production of these sources a great contribution has been made by professor Giorgio Catoni and his school in Siena province.

[577] Archivist Roberto Cerri quoted first Italian volumes edited about the archival internal organisation in Cerri, Roberto. 1999. *L'archivio storico dell'ente locale come servizio pubblico*. San Miniato (Pisa): Archilab.

current phase of government bodies. Documentation can consequently be managed correctly then suitable for the historical phase.

In this context a conservation plan for municipalities was designed by a regional workgroup and later emulated by other Regions, to be finally overtaken by the edition of the national model.

Over the last twenty years, Tuscan Region has become a leading actor by financing – even during the economic crisis – and promoting a number of innovative projects for the optimisation of public local authorities. Several activities of digitization of administrative procedures were performed thanks to a technological and organisational substrate: a cooperative network which involves regioanal and private agencies.[578] A community called *Rete Telematica Regionale Toscana* was established by Region Law no. 1 of 26 January 2004. Contemporary to the organisational infrastructure, a technological infrastructure called *Tuscany Internet eXchange TIX* was designed. It is a regional data centre based on the *Cooperazione Applicativa Regionale Toscana CART*, which allowed communication between over three hundred bodies by using normalized and standardized rules and languages. A first goal in dematerialisation was represented by the shaping of an interoperable digital register. In fact, a workgroup on digital register and records management was created inside the RTRT in 2008: it aimed to find shared policies and IT solutions to increase interoperability among the territorial community. As a result of this cooperation, they developed a noteworthy project called *InterPRO* (in Italian: *protocollo interoperabile*) that could fulfil interoperability between registers of different PAs, as well as directly exchange digital documents and information by .xml. An IT interface, called *AP@CI*, was also designed let Tuscan citizens communicate directly with their PAs. Finally, the framework of *Digital Archives*

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[578] The reference point used for the description of Tuscan Region's activities is archivist Ilaria Pescini's speeches and pubblications. In particular, Pescini, Ilaria and Volpi, Walter. 2013. *An example to Follow. An Infrastructure for Interoperability and Governance in the Tuscan Public System for Digital Preservation* in Duranti, Luciana. *The Memory of the World in the Digital Age*, UNESCO.

eXtended DAX was created, commissioned and planned by the Region with the vision to deal with digital conservation. The awareness that the transition from traditional to digital documents had increased the complexity of the conservative issue was the core of this project. DAX is an IT system for long-term preservation of digital archives in the historical phases belonging to Tuscan Region and RTRT members, thus for public authorities and private alike.[579] Therefore, DAX is a ISO OAIS based platform that maintains archives in compliance with national, international standards, and the European archival law.

Recently, the Region body has established a dedicated law to documentary network to underline the key role of archives and libraries on its territory. Additionally, Tuscan Region is interested in the role of a coordinator for the archives of local Provinces, which are facing a difficult moment due to the legislative decision to abolish the Province authority.

These initiatives are remarkable for the contextualization of the case study since they are not just shared rules forced by the Region. Conversely, the territorial body has launched a discussion system to provide guidelines while still being respectful of the identity of the single institutions. Regionally coordinated projects have helped with the cost of small administration, saving in terms of resources and management.

Currently, quite a few of Tuscany's projects are relevant in the national scenario. First of all, its fruitful historical background has created the precondition for the design of an interactive web portal called *Archivi Storici Toscani* where all the paper inventories of historical archives of Tuscan municipalities can be uploaded and searchable according to the index of the archival tree.[580] The project was possible

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[579] Thanks to this system, Tuscan Region is recognised by *Agenzia per l'Italia Digitale* AgID as an accredited conservator, according to DPCM of 3 December 2013 and norm of AgID no. 65 of 10 April 2014. For more information on DAX see: http://www.regione.toscana.it/-/dax-infrastruttura-per-la-conservazione-a-norma-dei-documenti-informatici (accessed September 22, 2017).

[580] http://ast.sns.it/index.php?id=2 (accessed September 13, 2017).

thanks to a profitable collaboration between Tuscan Region, Superintendence and the university *Scuola Normale Superiore* of Pisa, which has created the IT system and digitalised the inventories. Thus, through a unique access, it is possible to search the descriptions of different archival groups, located in different cities but usually linked among each other.

This web portal is joined with another web resource recently developed in Tuscany, called *Archivi in Toscana*.[581] It collects news on archives, offers information on the patrimony preserved in the territory and with the aim to simplify the research. It represent a point linked to other archival systems, where the typologies of documentation are explained to not professionals as well. It tries to lead researchers in the great world of sources available in Tuscany while avoiding redundancy of information and efficiently using data already available on the web. It could be easily stated that it has the general goal to valorise archives and their patrimony and inspire new interpretations.

For example, *Archivi in Toscana* is linked with SIUSA, the portal of non-state archives, as already introduced in previous chapters. Another project elaborated in Tuscany is available on SIUSA: the census of archives of personalities dated between 1800 and 1900. Once more on non-governmental archives, Tuscany has recently prepared a new census project of archives about performances and contemporary art.[582]

As can be deducted, Tuscany and its work groups have given a fundamental contribution, over time, for the development of the discipline in Italy. For example, a dynamic workgroup – inside the

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[581] http://www.archivitoscana.it/index.php?id=199 (accessed September 13, 2017).

[582] On 16 November 2016 was signed between Superintendence and Region an agreement for an investment three years (2016-2018) of 480.000 €. For more detail see the news at http://www.toscana-notizie.it/-/intesa-regione-sovrintendenza-archivistica-per-valorizzazione-di-archivi-e-biblioteche (accessed September 16, 2017).

coordination of MAB[583] – is currently dedicated to the interaction among different cultural institutions, archives, museums and libraries, for the common aspect of languages.[584]

The fecund *milieu* built in Tuscany is evident also for the location of a symbolic archive for all the Europe: the EU historical archives of the EU, placed at the European University Institute in Florence EUIF. This Institute was established in 1972 with the aim to promote the cultural and scientific study of social, legal and cultural matters in a European vision thanks to doctoral and post-doctoral courses.[585] Thereupon, more than 40.000 historical files[586] – after having been processed and opened to the public (based on the 30 years rule) – have been deposited at EUIF according to a deposit regulation concerning the opening to the public of the EU historical archives (Council

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[583] MAB is the acronym of Museums, Archives and Libraries (in Italian: musei, archivi e biblioteche), chosen by three cultural associations AIB *Associazione Italiana Biblioteche*, ANAI *Associazione Nazionale Archivistica Italiana* and ICOM Italia *International Council of Museum - Comitato Nazionale Italiano* joined in a coordination in 2011 on future perspectives of their disciplines. For more information see: http://www.mab-italia.org/index.php/musei-archivi-biblioteche/mab-italia (accessed September 15, 2017). The section of MAB in Tuscany was established in 2012.

[584] A referee about the activities of this group is Bruni, Silvia, Capetta, Francesca, Lucarelli, Anna, Pepe, Maria Grazia, Peruginelli, Susanna, and Rulent, Marco. 2016. *Verso l'integrazione tra archivi, biblioteche e musei. Alcune riflessioni*. Università di Firenze Dipartimento di Storia, Archeologia, Geografia, Arte e Spettacolo.

[585] For more information about the characteristics of the institute see: 2010 report on Florence and its cultural institutes available at https://www.ambrosetti.eu/wp-content/uploads/20101112_Report-Florens-2010_ITA.pdf (accessed September 13, 2017).

[586] The quantification of archives is dated 2005, cfr. Commission of the European Communities. 2005. *Report on archives in the enlarged European Union opportunities for future action: priorities: report from the Commission*. Luxembourg: Office for Official Publications of the European Communities, 5.

regulation (EC, Euratom) No. 354/83).[587] Furthermore, the Institute preserves archives of important personalities, movements and international organisations which played an important role in the construction of the Union. However, it is important to underline that Regulation no. 496 of March 2015 by the European Commission has amended the previous rules on deposit of historical archives for the case of digital documents. In fact, the originating institutions which creates born-digital files should remain responsible for their permanent preservation. However, the same regulation enlarges the external producers to each of the institutions referred to in Regulation (EEC, Euratom) additionally to the European Parliament, the Council and the Commission. In spite of the last decision which influenced the role of the Institute, the deposit of this relevant archive in the countryside of Florence (actually in Fiesole) is noteworthy and demonstrates the importance of Italy, especially Tuscany, in the international scenario.

1.1 Regional legislation on archives

A specific section concerns the special legislation on archives developed in Tuscany is here introduced.

In the first place, in the early Seventies, was the legislative proposal advanced by the Region at the Parliament (**decree no. 487 of 9 October 1973**[588]) and countersigned by other Regions, regarding the subdivision of tasks on Cultural Heritage between Ministry and Regions. An excerpt of that report is worth reading because it testifies to the regional body's will to improve CH: 'It is impossible to defend a historical witness of civilization if it cannot live for generations;

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[587] Council regulation (EC, Euratom) No. 354/83, lately amended by Regulation (EC, Euratom) No 1700/2003, concerning the opening to the public of the historical archives of the European Union and the European Atomic Energy Community.

[588] In *Bollettino ufficiale* of Tuscany Region, 2 November 1973 no. 48: 1817-1823. It was based on a draft elaborated by Ranuccio Bianchi Bandinelli, Eugenio Garin, Italo Insolera e Giovanni Previtali.

therefore, no more museums and archives similar to mortuaries, but institutions of cultural progress'.[589]

Some years later, the **Region Law no. 33 of 3 July 1976** defined rules for historical archives of public local authorities with the aim to spread development and coordination of activities. Thanks to this law, Provinces became an active player in the management of historical archives of municipalities. That law proposed the creation of consortiums among local bodies at the provincial level. A shared preservation of books and archives was consequently established at the main libraries, as it was equally outlined by article no. 30 of D.P.R. 1409/1963. The creation of provincial library systems became difficult due to the birth of associations by local authorities: they seemed to be the best solution for the management of government archives because their territory was consistent and usually coincided with the ancient Florentine *vicariati*.[590] However, the associations by local authorities did not make a real fulfilment and therefore the Provinces had the duty to realise a network among cultural institutions. The understanding of this background is fundamental in order to contextualise the current end of Provinces and the activity of unions among city councils. The same concept of coordination and promotion networks and local projects for the development of CH was then reiterated by **Region Law no. 35 of 1 July 1999** (in Italian: *Disciplina in materia di biblioteche di enti locali e di interesse locale e di archivi di enti locali*).

Tuscan Region has hereafter created by legislation (**Region Law no. 1 of 26 January 2004**) the Tuscan Regional Network (in Italian: *Rete Telematica Regionale Toscana RTRT*). RTRT represents a 'technological infrastructure of large capacity, spread throughout the region, connected to the Internet, interoperable, thereby meeting the

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[589] Author's translation from Italian to English by the text quoted at http://www.treccani.it/enciclopedia/la-tutela-del-patrimonio-culturale-tra-stato-e-regioni_%28L%27Italia-e-le-sue-Regioni%29/.

[590] Antoniella, Augusto. *Gli archivi comunali toscani dall'abbandono alla valorizzazione* in Brogi, Marina. 1989, 58.

appropriate level promoted by the National standards.'[591] The network includes 'all of the public institutions forming the regional territory, i.e. local administrations, Tuscan universities and public bodies dealing with public healthcare'.[592]

As a natural outcome of the 2004 law, the more recent regulation **Region Law no. 21 of 25 February 2010** dealt with the creation of 'documentary networks' (in Italian: *Reti documentarie*).[593] Also, this system is based on the previous Law no. 1409/1963 which mentioned the aggregation of institutions with the label *consorzi archivistici* at article n. 30. The term *documentary* underlines that both libraries and archives are involved. In fact, over 600 libraries – out of around 1100 libraries located in Tuscany – and 170 archives of over 230 joined the networks with the goal 'to promote awareness, preservation and development of services for the enjoyment by all citizens.'[594] Fourteen local documentary networks have been shaped and correspond approximately to the territories of provinces:

1. *Coordinamento delle biblioteche e delle strutture documentarie della Regione Toscana (*CoBiRe*)*
2. *Rete documentaria aretina*
3. *Sistema documentario integrato dell'area fiorentina* (Sdiaf)
4. *Sistema bibliotecario del Valdarno*
5. *Biblioteche di Maremma*
6. *Sistema documentario integrato Mugello e Montagna Fiorentina (*ReaNet*)*
7. *La rete documentaria della Provincia di Grosseto*
8. *Sistema documentario territoriale livornese*
9. *La rete documentaria della Provincia di Lucca (*Bibliolucca*)*
10. *La rete provinciale delle biblioteche della Provincia di Massa Carrara*

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[591] Pescini, Ilaria. 2015, 60.

[592] Pescini, Ilaria and Volpi, Walter. 2013.

[593] In Italian: 'Testo unico delle disposizioni in materia di beni, istituti e attività culturali'. The Law 21/2010 became into force with the Decree of the Region's President of Committee no. 22/R of 6 June 2011 and then was modified by the decree no. 10/R of 19 March 2013.

[594] Pescini, Ilaria. 2015, 60.

11. *La rete documentaria della Provincia di Pisa (*Bibliolandia*)*[595]
12. *La rete documentaria della Provincia di Pistoia*
13. *Sistema bibliotecario provinciale pratese*
14. *La rete documentaria senese*

An additional potentiality is the creation of a geo-referenced map of the documentary networks available at the Regional portal that helps to search for archives and libraries.[596]

In conclusion, Tuscany has developed a positive experience for government archives with both theoretical influences, the building of educational programmes and coordination of archival networks. However, it is possible to foresee some opacities. The political choices that since 2004 have encouraged the development of public government network should be managed with continuity at the top level. In fact, good innovations has need to be promoted by audacious managers who should be responsible for carring on the ongoing innovation projects. Furthermore, from the author's point of view, the physical and digital networks related to the archives of the territory are far too many and not entirely interoperable. The result is a redundancy of information for stakeholders who risk losing some data if they do not follow all the filaments of the complex knitting created during the long historical tradition. In order to solve this paradox, it is possible to set aside any local interests and jealousy – the so-called *campanilismo* in Italian – between projects and territorial area. If the shared goal is better knowledge and accessibility to the archival patrimony, it is important to point out the connections in a unique and comprehensive network.

A way to give order and coherence to the vast potentialities for archives in Tuscany depends on the choice of the point of view from which to look at the connections: users' vision or creator's one. In this

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[595] In this network also the universities libaries are includes.

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mappe.rete.toscana.it/webstat/index.html?area=sistema_cultura&legendopen=biblio (accessed February 22, 2017).

thesis, the second one is chosen with the aim to optimise the internal archive management and reach better accessibility by users. For this reason, the improvement of internal archive management is possible by starting to gain knowledge of the actual, current situation in government archives. To reach this goal, public local archives in Tuscany are examined with a survey which is here introduced in its methodology and results.

2. Questionnaire to archive directors

The author has spent a period at the Tuscan Archival and Library Superintendence in Florence to design a questionnaire and complete the survey on the management of government archives in the regional territory.

Between February and June 2017, the fieldwork done in first person was characterised by three main steps. First of all, a questionnaire was created after the identification of actors involved. Then, the main section of the project was put into effect since 16th March with the dispatch of the questionnaire and an introductive letter[597] by certified mail (in Italian: *Posta Elettronica Certificata PEC*) to involved bodies. A widespread activity of communication has immediately followed the dispatch. Precisely, all representatives and directors of archives were called with the aim to inform them about the research, help with the fulfilment of the questionnaire and dissolve any terminological doubts. Finally, the answers received were collected in a database and consequently analysed.

The final examination of the completed questionnaires allowed to read the data both individually and on an aggregated basis so as to produce a synthesis that reflects the current reality of the internal organisation of local government archives. This reality was finally shared with the Superintendence's Officials in an internal meeting with the intention to involve all of the staff – especially those responsible for

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[597] A copy of the letter signed by Superintendent is attached in Appendix. It is the letter sent to Municipalities, a similar model was sent to Region, Provinces, and Unions of city councils.

local authorities – to focus on the management status of the various archives.

The aspects of the project methodology are here introduced, to define the context of the following results and possible developments which are shown below.

The original questionnaire is enclosed in Italian in the Appendix with an abstract in English whereas the main answers are here commented on, quoting the corrisponding questions in both languages. However, it is worth mentioning that the format of the questionnaire sent to government bodies was digital (an *.xls* file). This format could be easily modified, allow for an efficient comparison, facilitate help and let share information among colleagues, increase awareness on the usage of digital form, and last but not least it was sustainable for the environment. In fact, contrary to previous paper surveys, this pool was completely in digital form, thus avoiding to print documents for both involved bodies and Superintendence. For this reason, most of the questions foresee multiple choices visible thanks to a drop-down menu. For a graphic result, the possible answers are reported in the version attached to this thesis. In other words, the questionnaire available in the appendix is not the same model that has been fulfilled by government bodies but corresponds to a modified edition which counted all possible answers. Furthermore, in order to facilitate the contextualization of the single questions, references to previous surveys used as a model for the phrases are quoted.

2.1 Methodology

The elaboration of the questionnaire model is based on the pilot UK analysis as described in the fifth chapter, the analysis of previous surveys performed in Tuscany, and the collaboration with the Superintendence staff. Furthermore, during the project, the Superintendence archive was studied and especially the folders of all government bodies were examined singularly in order to understand the monitoring activity performed over the years.

Since the end of the Eighties, there have been traces of a field activity in the regional territory with the goal to glean archive

management. Tuscany has a long and important tradition of surveys started with the acknowledgement that guides and inventories cannot give comprehensive information on the current management of the archives described.[598] In this perspective, the reference points for this research were five studies accomplished between 1988 and 2015:

1. The first-ever archival survey of the Tuscany territory was limited to professionals working in archives owned and not-owned by State and its results were analysed by archivist Carla Zarrilli in 1988.[599]

2. The second step in archival fieldwork was an analysis on administrative transparency in municipalities archives. Precisely, archivist Maura Borgioli reported in 1997 the results of a questionnaire sent to 30 municipalities in Florence province which was selected randomly.[600] What was on that occasion was the effect of the letter dated 23 April 1991, with which the Superintendence invited Tuscan municipalities to introduce in Institutional statute an internal regulation for managing their archive. It was demonstrated how that encouragement went unfulfilled.

3. In 1997 the association *Archilab*[601], an archival laboratory from San Miniato (a city in the province of Pisa), designed a first survey on the services of municipality archives with the cooperation of the regional section of *Associazione Nazionale Comuni Italiani ANCI*. The data were then introduced in a

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[598] This recognition is stated by Tani. Maurizio. 1999, 11.

[599] Zarrilli, Carla. *Le ragioni di un esperimento: presentazione del questionario per operatori d'archivio della Toscana*. in Brogi, Marina. 1989: 73-94.

[600] Cfr. Borgioli, Maura. *Archivi comunali e trasparenza amministrativa: un'indagine a livello locale* in Borgioli, Maura, and Francesca Klein. 1999: 59-66.

[601] *Archilab* was a cultural association defined 'Laboratorio per l'applicazione delle nuove tecnologie agli archivi', located at historical archive of San Miniato with the mission to develop archival science, exploit and improve archives created by whichever body, public and private as well. It was established in 1995 and closed down in 2004 although other publications was edited with its name until 2006.

conference held in 1998 in San Miniato and were published by Maurizio Tani in 1999.[602] Precisely, the poll took place between September and December 1997 and covered those municipalities with a historical documentation, thus excluding bodies recent established or affected by natural disasters. It represented a strong survey with straightforward and easy-to-answer questions but the analysis of the management and services for users was concise and did not take into consideration several organisational aspects, like financial resources.

4. The survey with the utmost importance was conducted by *Archilab* in 2002 and their results were edited in 2003.[603] The survey focused on historical archives of public bodies, so they included Municipalities, Provinces, Local Health Authorities (in Italian: *Aziende Sanitarie Locali ASL*), and Chambers of Commerce. This aspect defines a difference between the 2017 project and what was made in 2002. In fact, Archilab did not include Region and unions of city councils; while the new survey analyses archives of government bodies defined by article no. 114 of the Constitution, therefore public bodies with a territorial character like ASL and Chambers of Commerce have not been investigated. Should be underlined that the data observed is about management in the 2001 administrative year, therefore a retrospective analysis. The survey centered only on the historical phase but the substantial aspect was the focus on management, quality of service and archive accessibility; so it did not delve into archival holdings, chronology and subdivision of series. Archilab received 243 completed sheets out of 317, namely the answer is 76,66% against the total bodies consulted. The data obtained are stored by Tuscan Region.

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[602] Cfr. Tani, Maurizio. *La Toscana: Svezia degli archivi? I risultati di un'indagine condotta a tappeto sulla situazione degli archivi storici degli EE.LL. toscani*, in Tani, Maurizio. 1999.

[603] Cerri, Roberto, Guiati, Sara, Pezzini, Michela. 2003. *La gestione degli archivi storici degli enti locali della Toscana nel 2001*. Regione Toscana, Archilab.

5.   In 2010 the regional section of ANAI with the collaboration of Archival Superintendence of Tuscany conducted a survey with the purpose of photographing the situation of documentary systems in Tuscan Municipalities at that time. The survey's main interested was in examining the application of regulations on the digital register according to D.P.R. 445/2000 and in particular its article no. 61. It covered initially all the municipalities of Florence Province and in the second place, during 2011, the other provinces. The survey analysed archives for all the three phases. Data were finally stored at Superintendence while results were presented at a conference in 2012 and published by Monica Valentini in 2013.[604]

6.   The more recent project on the analysis of the management of government archives in Tuscany is a survey to learn about the status of archives in the Provinces and Metropolitan city of Florence. It was started in June 2015 and finished in September that same year, conducted by the Archival Superintendence of Tuscany in collaboration with the Region body. The questions of 2015 are similar to those of 2010. The goal of the poll was to know about the detailed conditions and current archival holdings of these bodies in occasion of the dire situation regarding the imminent closure of Provinces. Filled questionnaires were stored in Superintendence and the results were presented in a workshop exclusively for Provinces' staff.

The structure of the 2017 questions was intentionally similar to previous cases in order to provide a natural update. However, some innovative elements were introduced:

• The questionnaire is addressed to directors of archival service.

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[604] Cfr. Valentini, Monica. 2013. *Il servizio archivistico e documentale negli enti locali: l'indagine promossa in Toscana*, in Archivi e Computer, 2/2013:153-172. The conference in which the results were introduced is: 'L'oggi degli archivi in Toscana: quale attenzione per il testo unico sulla documentazione amministrativa?' hold on 5th June 2012 in Florence.

- The subject of the research is the archive in its entirety and so current, semi-current and historical phase.
- The structure of the questions is not following the division of archival phases in order to underline that the archive is an *unicum*.

Therefore, the survey is follow three aspects of the archive management – resources, processes and services – reproducing the issues addressed in the thesis. On the questionnaire file, the different parts of the structure were differentiated by colours and the following represents the table of contents:

English version	Italian version
GENERAL INFORMATION ❑ Identification ❑ Contact's detail ❑ Contents of the archives	INFORMAZIONI GENERALI ❑ Identificazione del servizio archivio ❑ Contatti di riferimento ❑ Consistenza del patrimonio conservato
RESOURCES ❑ Human ❑ Logistical and organisational ❑ Financial	RISORSE ❑ Umane ❑ Logistico - organizzative ❑ Finanziarie
PROCESSES AND SERVICES ❑ Accessibility ❑ Internal regulation ❑ Activities	PROCESSI E SERVIZI ❑ Accessibilità ❑ Regolamenti interni ❑ Attività

As was underlined in the presentation of previous surveys, a different approach was chosen in the selection of actors involved. The first surveys analysed especially municipalities while the most recent focused only on provinces. In 2017 the challenge was to cover every typology of Tuscany government bodies, which are add up to 311 entities, specifically:
- **Tuscan Region** counts two bodies: Giunta and Consiglio
- **1 Metropolitan city of Florence**

- **9 Provinces**
- **23 Unions of city councils**
- **276 Municipalities**

The actors involved are introduced in this scheme, where 12 State Archives are also counted.
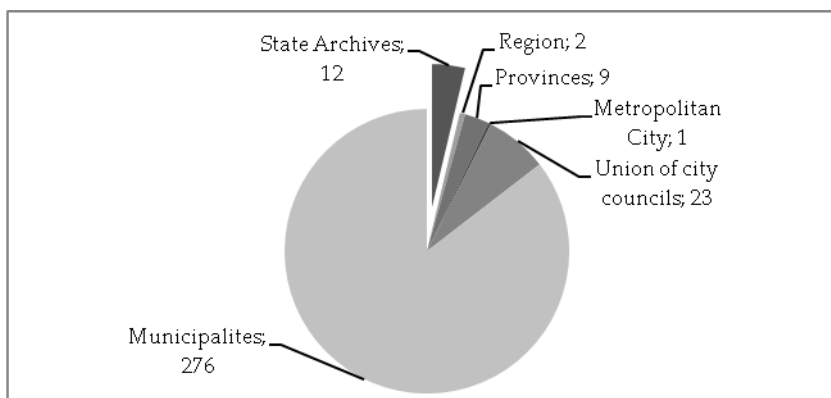
Table 8. Government archives in the territory of the Tuscan Region.

The twelve State Archives entities are composed by ten State Archive and two sections:

1. Massa with the section Pontremoli
2. Lucca
3. Pisa
4. Livorno
5. Firenze
6. Grosseto
7. Siena
8. Arezzo
9. Pistoia with the section Pescia
10. Prato

For the State Archives, it could be possible to analyse the data extracted by SISTAN, the statistics centre of the Ministry of Cultural Heritage. For this reason, the questionnaire focuses on the public local authorities.

Regarding the unions of city councils, it is worth point out that they were born in part as a consequence of the extinction of the previous unions of city councils for mountain areas.[605] Unions of city councils in Tuscany are regulated by article no. 24 of Region Law no. 68 of 27 December 2011. The law defines the possibility to create a union if there are at least three municipalities in the same area and with a total amount of 10.000 citizens at least. Furthermore, Tuscan Region with Region Law no. 56 of 7 April 2014 disciplined the functions of provinces and the metropolitan city of Florence.[606] Thereafter, Region Law no. 22/2015 enhances the body of the metropolitan city and its role of coordination between inside municipalities. The results of this legislation are convenient to contextualise the current reality of Tuscan metropolitan city and provinces, and consequently of their archives, after the decision to close the provincial entities. In order to understand the relationships between these bodies and the Region relating to the management of documentation, it is useful to consider the legislative referee of the reorganisation plan of the functions previously owned by provinces, which was completed with Region Law no. 82 of 28 December 2015.[607] In this perspective, the Region recently launched a project called *Caronte* to census the current patrimony owned by peripheral bodies and subsequently pinpoint the documentary groups that should be transferred to the Region body, following the movement of administrative functions.[608] This census was carried out by Region in the same period of the survey. This coincidence testifies to the attention on archives situation from multiple Tuscan institutions.

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[605] The list of union of city councils used during the survey is updated at February 2017 according to the website of Region where also a map is available at: http://www.regione.toscana.it/-/carta-geografica-delle-unioni-di-comuni (accessed September 13, 2017).

[606] *Disposizioni sulle città metropolitane, sulle province, sulle unioni e fusioni di comuni.*

[607] http://www.regione.toscana.it/-/riordino-funzioni-delle-province (accessed February 28, 2017).

[608] For more detail on this project see: http://met.provincia.fi.it/news.aspx?n=246785 (accessed September 22, 2017).

To provide an overview of what has been explained so far, the survey in 2017 foreshadows an activity carried out by Superintendence on the entire archival service of public local authorities of Tuscany. It represents an update of previous works and for this reason, the data obtained in previous analysis have been taken into consideration for some of the answers' comments.

A general advisory notice in the reading of the analysis of the case study results is to take into account that the data are introduced by the same government bodies as a self-evaluation. Therefore, they are used with all due precaution, especially for the cases which will be underlined in the treatise. However, the data obtained are most and foremost important for the reflections that they are able to initiate.

2.2 Results

The work ended with the acquiring of 236 questionnaires out of 311 sent, namely 75,88% of the bodies consulted has taken part in the survey. A comparative scheme is here introduced to clarify the comparison between the results of previous projects:

	1997	2002	2010	2015	2017
Actors involved	287	317	287	10	311
Questionnaires completed	284	243	113	10	236
Percentage	98%	76%	39%	100%	75%

In a following map, the 2017 results could be read with a data distribution among provinces. An annotation: the data relating to the Region body, namely its constitutive agencies Consiglio and Giunta, are reported in Florence province just for graphic reasons following the concept of the location of repositories, actually located in that area.
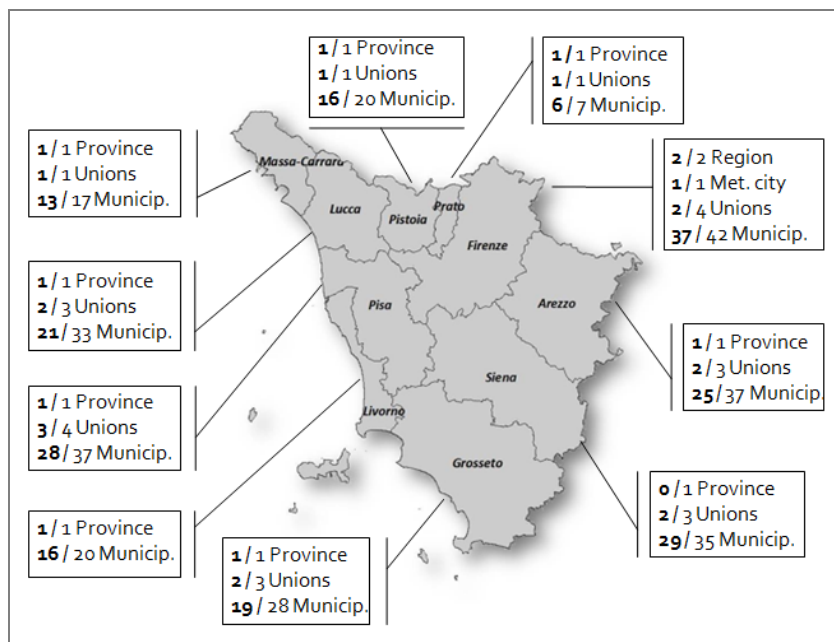
Table 9. Map of Tuscany with actors involved and number of questionnaires completed grouped by provinces.

A first, general comment on the background in the regional territory, with – to present some quantitative information – around 3,7 thousand inhabitants on 22.987 km², is that archive management in the local bodies of provinces of Massa-Carrara, Lucca and Pisa proved more challenging and the communications activities more arduous.

However, satisfying results in quantitative terms have been largely obtained thanks to communication activity with each body which, indirectly, have guaranteed a training on the surveillance activity performed by Superintendence, like the disposal procedures or advice about the records management.

As in 2010 survey, the time needed to fill in out was defined as one month. Nevertheless, some bodies answered after the deadline.

Retracing through the structure of the questionnaire, the main issues are here commented.

GENERAL INFORMATION

❑ <u>Identification</u>

The introductive part contains data, name, and typology of the body, together with a relevant part for picturing an archive structure. In fact, respondents are asked to specify their sector in the organisational chart and whether the archive is managed as an *unicum* or the service is separated in different organisational units. 121 bodies have answered that they manage the daily register, document workflow, current archive, semi-current archive and historical archive in a coordinate way. This means that about half of the bodies examined, 115 to be exact, have multiple organisational units for the management of documentation during the life of the archive. Consequently, many directors and staffs are called to arrange folders with the additional consequence of multiple movements between offices. With one single service, the archive is managed mainly by the section 'General and institutional affair' (in Italian: *Servizi affari generali e istituzionali*). On the contrary, when the service is divided into multiple organisational units, the daily register, document workflow and current archive are managed by the office called *protocollo* or often by the single offices for their competencies. The semi-current archive is a moment with more subjects involved in its management: somebody allocates this documentation under the office (known as *protocollo)* duty, somebody else under the section *General and institutional affair* although the single offices often continue to handle concluded folders. Otherwise, the cultural office starts acting on the archive from the semi-current to then cover the historical phase. Consequently, the last section is managed almost entirely by cultural/social units. In brief, the unity of the archive is at least in half of the cases unknown and not made clear by the structure of the internal organisation which tends to differentiate competencies on the same archive under its chronological phases.

❑ Contact's details

Some information about the person in charge to fill in the form is requested to create a first, complete and up-to-date contact book, useful for the programming of following studies and projects.

❑ Contents of the archives

In this section two important questions, already expressed during the 2010 questionnaire, are reproduced whose purpose was to monitor the application of the regulation in force.

a. 'Is there a service for the digital management of documents, workflow and archives?' (in Italian: *Nel suo Ente esiste un 'Servizio per la gestione informatica dei documenti, dei flussi documentali e degli archivi'?*). This is according to art. no. 61 of DPR 445/2000. The results are bewildering: 80 bodies did not have that service yet, which is defined by a law dated to seventeen years ago, and nine bodies did not even respond.

b. 'If so, is the director in charge with a dedicated deed?' (in Italian: *Se sì, il Responsabile del Servizio è stato incaricato con apposito atto*). Again, according to art. no. 61 of DPR 445/2000. On the basis of 147 affirmative answers to the previous question, only 110 have confirmed having a director named with a specific document.

In addition, a third question related to legislation is introduced for the first time. It is according to recent law (technical rules of the CAD). The question was: 'Has a person in charge of preservation been appointed?' (In Italian: *È stato designato un 'Responsabile della conservazione'?*). The answers could be: 'no'; 'Yes, inside the institution'; 'Yes, outside the institution'. In fact, according to art no. 5 of D.P.C.M. of 3 December 2013, the Public Administrations performed their preservation process inside their structure or entrusted accredited conservators with management. In the survey, the majority of bodies - 105 - answered 'Yes, inside the institution', while only 19 opted for external conservation. That data denotes attention on the preservation process and the will to maintain a control on it.

The first section also featured a table for the quantification of the archival holdings. The numbers on consistency are to be considered not precise and often underestimated. But the main aspects to be

underlined regard the structure of this question. In fact, for the first time, the choice between some ranges is proposed so as to compare quantities and with the aim to facilitate the compiling. However, 26 bodies were not able to provide any data of documentation produced and preserved, not even a range. Furthermore, in addition to the current extent of paper documentation in traditional linear metres, a quantification of the digital archive is covered. This last data set includes GB of digital copies of paper documents and born-digital documents. It is interesting that 70% out of bodies participants did not submit any data about digital in current archives. Probably because of the difficulty quantifying it or, better, identifying the information in the software and servers used. This data highlights the urgent necessity to teach about records management and improve software for document workflow containing information on the quantity of GB managed. In fact, this data is extremely important for the preservation of current archives, especially for a contract signed with an external provider.

The last question is about the description of finding available aids. Thanks to a combination of multiple choices it was possible to quantify the typology used by and available to users in all the stages. The definition of typologies is obtained by studying the results of the 2015 questionnaire on the same question. But, contrary to that survey, the phases of the archive are examined in the same table with the goal to pass down the importance of instrument for searching documents during the entire life of an archive. Interestingly enough, 40 bodies admitted not having any instruments to search through a document, which would mean neither a daily register nor a sufficient knowledge of specific terminology.

RESOURCES

Like the main sections of the thesis, the questionnaire is structured with a first part about the resources owned and the second one on the processes and services offered.

❑ Human

The first table, built again with a combination of multiple choices, has the aim to sketch an identikit of the people who manage

documentation. Therefore, the bodies listed at this point do not cover only directors (as in 1997 survey) but all professionals with different assignments interact in the management of archives.

It is noteworthy that 31 bodies declared that they did not have any human resources in their archive. A possible explanation for these answers could be in the fear of not being able to detail and justify the following questions about human resources. On an average of two people with category C in each archive, an administrative profile, and a high school degree, there is generally no specific education on archives. In fact, in all government bodies involved, 60 archivists possess a degree and 28 have diploma from the Schools of State Archives.

A particularly interesting case is Florence municipality which counts as many as 24 people. Precisely, four employees with D category, one with C category and one with B category; two archivists, one with the diploma from the School of State Archive; one with a degree in Archival Science; additionally, eleven people work with on an external service contract that includes seven archivists, a restorer, a records manager, an administrative, and a technician for digitalisation. Finally, six volunteers are counted within the Civil Service program, all graduated in Conservation of Cultural Heritage, History, Architecture, History of Art, Conservation of Art, or Humanities.

The second question related to human resources – 'Is the archive controlled by personnel in its building/s?' – is formulated on the basis of 2015 questionnaire aimed to study the security aspect of storages in which archives are located, often with nobody to can monitor on it. The possible answers are 'No'; 'Regularly'; 'Occasionally' and the results are introduced with this table.
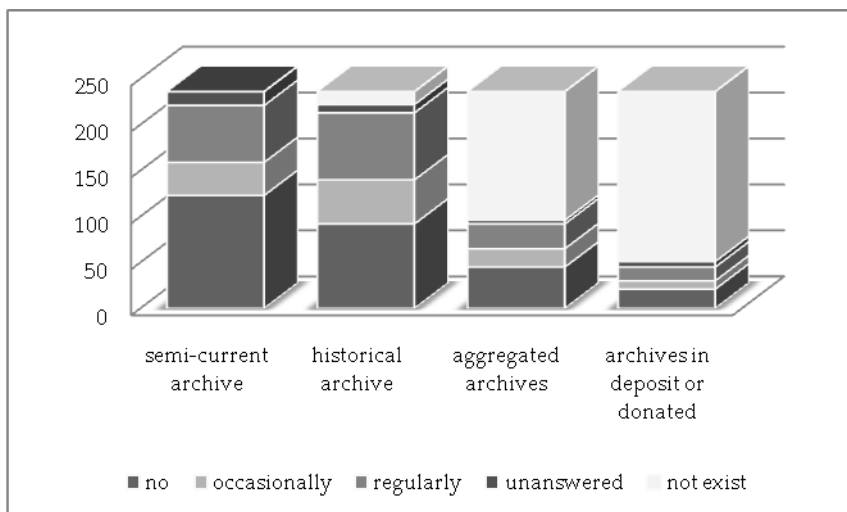
Table 10. Presence of human resources in archives.

Although a great number of bodies monitor their archives, most of them stated that nobody is responsible for guarding the buildings. The data are very impressive in that most of the cases answered 'No', especially for the semi-current archive. In the question, the current archive is not included as the presence of clerks is considered obvious for the daily register.

❑ Logistical and organisational

The definition of the buildings used for store documentation is structured in a single table which covers all the three phases, in addition to records aggregation and archives given as donations or for deposit. The options introduced followed the model of 2015 and underline the managerial point of view, so specification of civic addresses is not relevant, however it is asked if they have a single building to preserve the entire archive or if different buildings preserves more parts of it. This data set has created some confusion in the respondents and for this reason, the results are considered not completely reliable. In fact, the term *place of preservation* should be

clarified in the question as the building of preservation and not the single office. This is a point to be improved in a future analysis.

The second question is dedicated specifically to historical archives with some options for their conservation. Most of all it is interesting to analyse the management of historical archives at local libraries as it was studied in previous surveys and it was considered as a peculiarity of the archival organisation in Tuscany. Nowadays, this characteristic is not very relevant anymore. In fact, if in 1997 the percentage of this kind of managerial organisation was 32% and the result of 2002 survey was quite similar, again 30% of bodies, in 2017 the archives handled by local libraries are just 30 and so 12% of bodies involved. Furthermore, this question allowed to analyse other options for conservation: six bodies preserved their historical documentation at the local museum, nineteen at the local State Archive, and for eleven it is in outsourcing. While, a body did not answer, sixteen declared not to have any historical documentation (unions are to be included as most of them were established recently); finally, three bodies preserve their historical archive in another local body.[609] This last option is interesting and might be added in a future questionnaire. On the contrary, an option was not selected at all: the preservation at an archival pole. This negative answer is strange considering the current intense promotion aimed to realise archival network and physical centre where preserve documentation created by different bodies. Evidently there is not yet a practical result for Tuscan government archives.

Always in the section on logistical resources, a question asks about the possibility to have some facilities or means of transport in order to connect repositories for staff in their daily activity. In fact, when an archival director manages human resources and several buildings where documentation is stored, he/she should take into account the connections available to do a research, move folders and make a copy of documents. The main results are related to the possibility to have a PC with internet connection, a phone and a car.

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[609] These last cases are: Tavernelle in Val di Pesa, Poggio a Caiano, and Cantagallo.

However, it is also crucial to be able to interpret a lack of answers. In fact, this question has not completed in the case of a unique building for the archive or some bodies do not have institutional means of transport because the buildings are located closely.

The following question on the typologies of rooms available in each building and their size in square metres was for counting the number of buildings used in an inductive way: on average, each body has two buildings. In fact, the actual data in response to this question is very debatable. The majority of bodies showed confusion and lack of preparation in the quantification of square metres. These realities should be investigated and informed about the importance to know the patrimony owned in terms of spaces and linear metres, as asked in the consecutive question. In fact, even in this case, very few were able to give a precise number. Most of them were satisfied with providing just the percentage of linear metres available already full. On average, the linear metres of shelves are full on 84,75%. In relation to these figures, the bewildering difficulty to grasp the difference between linear metres and square metres stands out. Therefore, training about terminology should cover this aspect too.

The buildings are also object of the analysis for the identification of their ownership with the following results:

Buildings owned by the same government body	392
Buildings rented by privates	39
Buildings rented by another local government body	8
Buildings rented by another national government body	1
Buildings used without charge	6
Buildings shared with other government bodies	3
Unanswered	28

These data are interesting because they can testify to the attention showed by the owner of the documentation, who is usually also the owner of the building where archives are preserved.

The other characteristic examined pertains to the construction of buildings, to understand whether archives, meant as edifices, were built expressly with the aim to store archives or they are the result of a restoration. The outcomes were quite obvious: 397 buildings were built for another aim before storing documentation. This question is crucial for the comprehension of the following data on financing and are useful for the designing of future projects, like training on safety equipment. However, it is possible to improve – as suggested by some interlocutors - the proposed answers including the option 'Building previously used for other aims and not refurbished for archival use'.

Finally, a pause on the outsourcing issue is due. If in 2010 the open question 'Does the body rely on some form of outsourcing for its document management?' was posed, in 2017 the same sentence has been used but with a structure table, which would present even more precise information. The options were 'Yes', 'No' as well as 'Next implementation' and 'We are evaluating the possibility'. In the affirmative cases, a description of localisation (if it is in the same city or outside) and the indication of the exact city have been requested. The results can be read for multiple analyses.
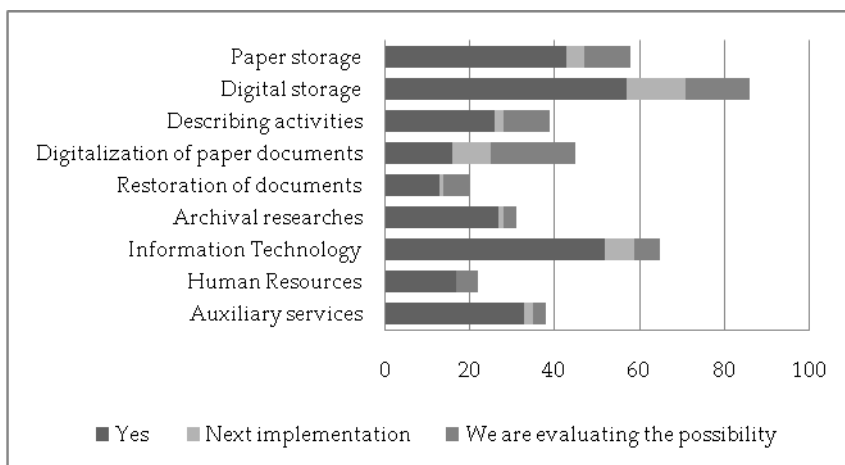

Table 11. Outsourcing of archival services.

First of all, for each entry the number of bodies that use outsourcing can be counted. This data can be used by Superintendence's staff in order to monitor the requests to move archives. Secondly, for each affirmative answer can be counted the cases where the outsourcer is located in the same territory of the owner of documentation or in a completely different place. To be more precise, the specific cities quoted in this analysis could be studied and a map created, where the outsourcing companies are geo-localised. In particular, for paper storage, most of the bodies use the services offered by *Archivi S.p.A.* at Prato and *CSA scarl* at Bientina (in the Province of Pisa). For digital storage, the city of Bologna was mainly quoted.

❑   Financial

The third aspect of resources is the archive budget, which should be considered the most detailed part of the questionnaire. In fact, the table from the past three years is very clear and when bodies completed it, they reported precise values. For this reason, all these data can be exploited for multiple types of research, therefore some reflections are here introduced.

First of all, all the bodies which have provided information about the budget allocated to archives have reported financing by others in addition to a first amount of money of the same government body. This statement has only three exceptions: Isola del Giglio, Piombino and San Quirico d'Orcia, whose existence is only possible thanks to financing by other bodies or privates. In other words, the main financial resources of public Tuscan local authorities are part of the balance sheet of the same body.

Secondly, it is possible to make a list of top ten bodies that have invested much higher sums on their archives:

Name of body	Prov.	2014	2015	2016	Total 3 years
Municipality of Florence	FI	€ 1.000.000,00	€ 1.000.000,00	€ 1.000.000,00	€ 3.000.000,00
Municipality of Arezzo	AR	€ 200.000,00	€ 200.000,00	€ 200.000,00	€ 600.000,00

Giunta - **Tuscan Region**	-	€ 150.000,00	€ 150.000,00	€ 150.000,00	€ 450.000,00
Municipality of Grosseto	GR	€ 120.000,00	€ 120.000,00	€ 120.000,00	€ 360.000,00
Municipality of Livorno	LI	€ 115.551,00	€ 88.200,00	€ 116.000,00	€ 319.751,00
Province of Pisa	PI	€ 131.772,69	€ 80.918,36	€ 80.918,36	€ 293.609,41
Municipality of Volterra	PI	€ 50.000,00	€ 50.000,00	€ 50.000,00	€ 150.000,00
Municipality of San Miniato	PI	€ 50.745,00	€ 45.345,00	€ 51.845,00	€ 147.935,00
Municipality of Porcari	LU	€ 44.274,97	€ 41.000,10	€ 53.943,40	€ 139.218,47
Municipality of Cerreto Guidi	FI	€ 32.430,00	€ 36.175,00	€ 40.016,06	€ 108.621,06

All the budgets reported in this table is self-financing.

In general, as revealed earlier, few bodies can count on complementary financing by other public local authorities, like unions, Provinces or Region. The other options of promoters (private donations, crowd-funding, etc.) are almost untouched.

Another analysis could be performed following the typology of bodies, that could testify to the environment where most attention is paid to archive management.

	Three years 2014/2016	2016 year
Region (2/2)	€ 467.300,00	€ 155.900,00
Metropolitan city (1/1)	*unanswered*	*unanswered*
Provinces (8/9)	€ 422.455,41	€ 200.614,36
Unions (16/23)	€ 88.404,28	€ 31.012,04
Municipalities (209/276)	€ 7.315.522,28	€ 2.690.339,75

Table 12. Total budget analysed for bodies typology.

The data are striking as it is possible to deduce by these figures: the main result shows that Tuscan government bodies invest in their archives.

In order to gather how this budget is used, the following question proposed some macro areas of the 2016 investments: 'Logistic services of transportation and dusting', 'Digital and paper preservation and restoration of archives', 'Digitalisation and description of archives', 'Edition of books and organization of events/exhibitions', 'Management expenses (including rent fee, expenditure for general consumption, stationery and IT)'.
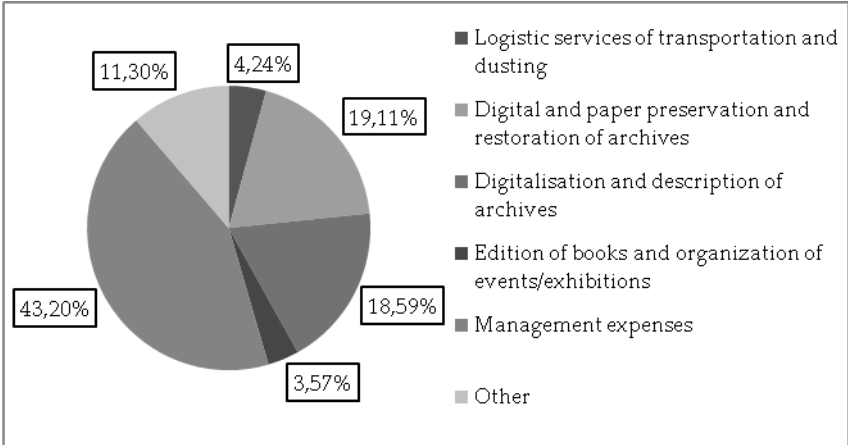
Table 13. Macro areas of 2016 financial investments.

As highlighted by the graph, most of the budget of every analysed body is used for their management expenses. Also, the item 'Other' is intriguing considering the fact that it includes some types of expense which might be updated in future: 'Human resources', 'Promotion activities and hospitality services', 'Fire system and furniture', 'Disposal activities', 'Archival network fee', 'Shipping costs', 'Training for staff'.

PROCESSES AND SERVICES

The last section commenced with two specific questions about the relationship between the body and archival networks. Therefore, the involvement in the regional documentary nets (Region Law no. 21/2010) is examined, selecting the net's name between a list. The outcomes were in part unexpected. In fact, not all archives are part of the local net and many of them have declared not do know about this system, probably due to its being more spread among libraries. This data should be used for a reflection linked to the huge investments made by the Region for the development of these entities. With this in mind, only 101 bodies have revealed to be currently integrated into a documentary network.

Secondly, a question already proposed during the 2010 questionnaire is introduced: 'Does your body share a combined management with other public organisations (like unions or consortium) specifically for the archive service?'. The focus on the 34 bodies whose response was affirmative can prove extremely interesting: a monitoring activity, and consequently a training project, could be planned to help this kind of management. Although it shows positive effects on the coordination, it also bears risks of underestimation in documents handling. Someone, in fact, has admitted to using a combined management for the daily register office and so for part of the current archive, whereas for others, the cultural office is in charge of preservation of historical documents together with other local authorities.

A combined management among local bodies could be introduced as a good practice: the network of historical archives between eight municipalities on the Elba Island. In fact, they are able, with the coordination of an archivist, to promote events and monitor the status of multiple repositories efficiently, in spite of the distance from the Institutions on the mainland like the Region, Province and Superintendence.

❑ Accessibility

The first part of the accessibility topic is oriented to examine the management of just the historical phase and the effectiveness of services to users.

While using the terminology adopted in the 2010 questionnaire, it has been asked about the status of accessibility to the archive. A comment to the results is due to the misunderstanding, by several bodies, on the meaning of 'accessibility', confused with 'availability' (in Italian: *consultabilità*). The possible answers were connected with the hours during which the archive, like an office, can be open to the public. As a consequence, if the historical documentation was preserved in closed warehouses, it was requested to select 'The archive is not accessible'. However, some bodies read the question as 'Are the historical document available for research?' and so they answered in their minds 'Yes, moving them from the repositories – also when they are in another building – to the library desk', which has evidently another meaning compared with the listed answers.
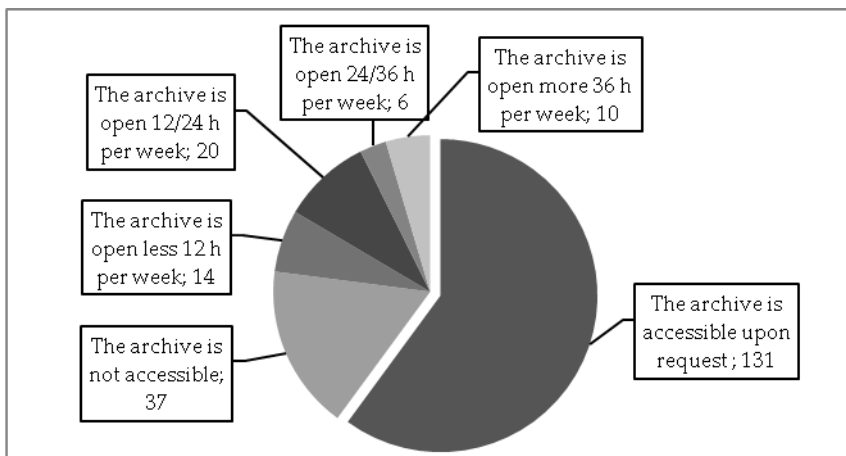

Table 14. Accessibility of archives.

Where the archive is not accessible it has been asked to provide motivation through one or more choices.

Lack of finding aids	13
Conservation process	9
Description process	8
Suitability of the building	20
Lack of HR	22
Other	2
Unanswered	5

As part of the 'Accessibility', a question concerning services available for users was also included considering the self-reproduction of documents as part of the issue described in the fourth chapter and before the announcement of the new regulation (Law 124/2017). This topic was touched in order to spark a reflection on public local authorities, the result is that 121 cases affirmed the free reproduction also before 4th August 2017. In addition, it should be noted that 96 historical archives are not accessible for persons with disabilities.

The following question addresses the quantification of users, defining them as internal – namely colleague of the same body – or external – namely Italian or foreign researchers. This question intentionally focuses on all the archive phases in order to testify to the unity of the archive and its importance in each moment, for multiple subjects. The main goal was to guide bodies through this reflection as to have a precise data or even a clear estimation of visitors was immediately recognized as a struggle. In fact, the majority of bodies did not perform a monitoring of users, which led to consequent difficulty in the evaluation of the number of users. If sometimes it is possible to quantify the external researchers thanks to a trace of requests, the counting of colleagues who employ the archive becomes more challenging. The last case demonstrates, as often explained by interviewees, that internal people can access archives freely even when the repositories are locked - with possible consequences.

Therefore, the inaccurate answers this question and to the following make all the more evident the need for a widespread analysis of visitors, their quantify and expectations. In fact, with the intention to examine the issue of user satisfaction discussed in the fourth and fifth chapters, a more specific question has been developed. Its aim is the quantification of the Tuscan government bodies that have devised a user satisfaction survey. Only three bodies conducted this kind of analysis: the municipalities of Monte San Savino (AR) in 2007, Bibbona (LI) in April 2016, and San Gimignano (SI) between October and December 2016. The case of Monte San Savino deserves a special mention: a user satisfaction survey was made centrally on all municipality services, and therefore the archive was included, but finally the results have not been communicated to the internal staff.

The last question on accessibility has astonished the majority of respondents. It is the same question used by 2016 Jisc information Legislation and Management Survey[610] about the quantification of time needed to be consistent with FOIA regulation. Also in this case, the results in terms of data are less relevant than the reflections obtained. First of all, the FOIA is a part of the accessibility topic - and part of the archival topic as well - despite what is commonly believed. Secondly, the stress was on the management of staff time needed for accomplishing a request by a citizen or user in general.

❑   Internal regulation

The last important topic referred to the presence of policies and procedures used to manage daily activities. The application of the same internal instruments was analysed by previous surveys.

About the item 'Internal regulation', the data between 1997 and 2017 are comparable for the reason that the bodies that answered 'Yes' in 2017 are mostly municipalities (except only two cases: the Province of Lucca and the union of city councils of Versilia), like all the actors involved in 1997. Therefore, if in 1997 the total internal regulations

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[610]   Cfr.   https://www.jisc.ac.uk/reports/information-legislation-and-management-survey-2016 (accessed September 21, 2017).

were not even 6% of total municipalities (precisely 16 'Yes', 257 'No' and 11 bodies answered), in 2017 the situation improved – although not drastically – and many bodies still lack this important document. In fact, today 47 bodies answered 'Yes', 181 'No' and finally 8 answered.

However, the more unbelievable data applies to the absence of a *manual for records management procedures* (in Italian: *manuale di gestione*): 110 bodies do not have this fundamental document (or did not answer), even if though the legislation which introduces it is dated 2000. Among these archives, the cases of the municipality of Florence and the *Consiglio* of Tuscan Region stand out.

At the end of this part, three simple questions can constitute the starting point for engaging reflections regarding the handling of documents between the three chronological phases.

- 'Are there formal rules for the deposit of documentation in the semi-current archive?': only 73 bodies answered 'Yes'.
- 'Is the documentation in the semi-current archive subject to selection?': 147 bodies answered 'Rarely', 44 'Regularly' and 23 'Never'.
- 'Is the historical archive periodically increased with documentation from the semi-current archive?': 113 bodies out of 236 answered 'No'.

A comment on the last question deserves to be quoted. In fact, someone exclaimed 'Absolutely no!': from their point of view a *historical archive* is only the ante-1861 documentation which is closed in a cabinet and impossible to be implemented.

❑ Activities

In conclusion, three simple questions explore the activities performed with two possible answers: 'Yes' or 'No'.

'Were in 2016 performed any educational activities with children and teenagers up to high school?' and 'Is the archive subjected to projects of *work-related learning* (in Italian: *alternanza scuola-lavoro*)?' It is possible to compare the new results with the data obtained from the 1997 survey on the same issue. In fact, in 1997 the number of classes which visited archives in the last year were asked: 81% of their total did

not have any classes, 13% of archives were visited by less 5 classes, and only 3% had more than 10 classes. Currently, 43 bodies performed activities and 33 are the subject of projects of *work-related learning*.

The last question was: 'Does your body use any social networks for promotional activities?' and only 42 answered 'Yes'. Someone has commented on this question with an exclamation 'Promotion of what? We do not perform cultural activities with the archive'. This sentence shows clearly the long way that Tuscan archive should cover in order to improve their management.

On a final note, the Superintendent requested that a question on the perception of the Institute of Superintendence and its activity of surveillance be added. The results were very variable. 109 bodies wrote a positive comment, mostly a simple word as *good* or *collaborative;* however, 25 have a negative impression of the institutions in that they reported no one direct contact. In addition, 11 bodies demanded more collaboration, mostly for records management issues. These comments are useful for the planning of a future education program and the inspective visits by Superintendence. Selected comments are quoted below. They provide indeed food for though:

> *Come detto più volte in sede di incontri, troverei utile e produttivo che la Soprintendenza porgesse un monito incisivo ai dirigenti e alla parte politica degli enti perché abbiano più cura del proprio archivio ed investano maggiormente sia in termini di personale sia di risorse economiche.* (Questionnaire of a Province archive).

> *Un aiuto agli enti locali per la sistemazione degli archivi storici da mettere in digitale.* (Questionnaire of a Municipality archive in Province of Arezzo).

> *L'attività di vigilanza e tutela è essenziale. Nessun progetto afferente alla tenuta degli archivi comunali può essere attuato senza il fattivo intervento (preventivo, contestuale al compimento delle operazioni di riordino, successivo alle medesime) della Soprintendenza Archivistica e Bibliografica, che garantisce l'apporto del know how necessario, non presente all'interno degli Enti locali*

territoriali. (Questionnaire of a Municipality archive in Province of Florence).

Considerato l'importanza che gli archivi rivestono non solo nell'attività amministrativa, ma anche nela storia ed identitàdi una comunità, potrebbe essere utile sensibilizzare, attraverso incontri o corsi di formazione, il personale dipendente in merito alla formazione e tenuta della documentazione anche alla luce delle normative di digitalizzazione. (Questionnaire of a Municipality archive in Province of Siena).

3. The final comments: a starting point

After a brief explanation of the fieldwork accomplished, some reflections arose, not as a mere endpoint but rather as solid, initial knowledge upon which future project can be built. Some examples of the forthcoming challenges will be introduced in the conclusion of the thesis in order to link the survey results with the study of the entire research.

In essence, the project performed represents the reception of the implicit request by previous Tuscan surveys to continue the analysis in a regular way. In this sense, the fresh data obtained are useful to plan immediate and future actions in the preservation and enhancement of archives.

The trump card is given by the planning of massive training for professionals with the aim to re-establish the important tradition of courses on archive management designed in the Region since 1974. First of all, a training course should provide traditional basic knowledge on archival science and instructions for the building of the archive structure. In fact, thanks to the case study, the attempt to define a director (in Italian: *responsabile del servizio*) emerged as clearly problematic. Although other previous fieldworks in Tuscany focused on this figure with the purpose to guide through greater acknowledgement of its importance – additionally to the duty to appoint a director according to the regulation dated 2000 (DPR 445) – it seems that the reality has not really improved since more than fifteen years.

Secondly, the challenge is to influence managers and politicians in the public administration. In fact, although the staff may be aware of the needs, the resources should still be financed by top level. For this reason, archival administration – like Superintendence in collaboration with Region body, ANCI association, and other local entities – should work for more collaboration and communication among colleagues inside PAs about archives status. The goal is to make managers competent on archive handling and simultaneously archival staff able to work in a structured environment as well as absorb managerial competencies. In this direction, dedicated help for Tuscan unions of city councils and the cases of a merger between municipalities is seen as urgent.[611] This training should clarify the roles between producers, managers and preservation bodies. Furthermore, monitoring activity must be considered essential during the movement and handovers of documents of this type of administrative networks. The current reality of this territorial configuration is very varied: some unions replaced the past unions for mountain areas and consequently their buildings and personnel, whereas others work with the staff of different municipalities which preserve documents in their own offices. This confusion of competencies and physical spaces has serious implications for the correct management of records.

Another kind of training more general to all the administrative staff, covers the meaning of dematerialization, the distinction between accessibility to archives and availability of archival documents, and finally simple archival terminology (like records management, current, semi-current archives, linear metres, finding aids). For example, as a result of conversations with people in charge of the management of government archives, a confusion and lack of knowledge on the unit of documentation seemed pervasive. Someone thinks that it corresponds not to the dossier but to the single document registered in the daily register. As already reported in the explanation of answers, a confusion on linear and square metres is frequent. Finally, a trace of bewildering

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[611] The merger of municipalities was legislated by *Testo Unico degli Enti Locali*, (D.L. 267/2000).

disorientation on the meaning of binding documents (in Italian: *fascicolazione*) could be detected.

The final issue which should deal with training, also in order to answer bodies' requests, concerns the conservation of digital documents over a long period of time. Although a part of the archival community considers this topic a sector still uncertain, in the author's opinion even little or limited information ought to be passed down, as this represents a great achievement in the understanding of digital administration.

In brief, there are three actors involved which interact in this survey and its results: the archive director (both when he/she is present and when there is a sense of emptiness for his/her absence), the Superintendence as the body with the goal to monitor the management activity of public local authorities, and the users. If it is possible to develop more training and more synergy between these three stakeholders, it is then also possible to improve the management and obtain more positive results in archival accessibility. In this scenario, Tuscan archives will be optimised but they should not be differentiated by other archives in Italy. The research performed in Tuscany does not have the presumption to declare that the data obtained correspond to the current reality of all Italy, but the model of analysis could be exported to other regions. In other words, the Region should not far as a faraway Sweden, recalling the metaphor of the beginning of this chapter. In fact, the challenge is to promote this project and its goals in the whole nation. For this reason, the questionnaire proposed should be viewed as a pilot study for its re-proposition in other territorial structures.

Conclusion and perspectives

The *archive management* strategy presented in this study highlights the need to reform government archives in Italy starting from the knowledge of their structure. As a result, this research demonstrates that it is not correct to optimise only one section of the archive and funnel available resources on a single chronological phase of documentation. Conversely, the reformer's point of view should be inclusive and look at the whole processes. For this reason, the term *archive management* has been introduced in this thesis to refer to the optimisation of the entire archive, from its current to its historical section, independently from format and content of the documentation.

Similar to the strict relationship between archives and their territory, the entire research hinges upon the Italian background. The peculiarities of this country came up especially thanks to the analysis of other government entities. In a particular way, the visit to some UK archives allowed to create a mould used to take a closer look into Italian archives. Furthermore, it was possible to understand the Italian archives' strengths and weaknesses through the field work, the direct contact with the archival staff, and the ambitions of the Tuscan Superintendence.

The achieved contributions of the thesis are the formulation of a group of statements about the critical situation which should be improved. They can be read as a synthesis of this study but also a starting point for future developments.

1. Lessons learned and main findings

The practical accomplishment of the *archive management* strategy has been demonstrated thanks to a multidisciplinary study which is developed starting from the analysis of the legislative and managerial lacks.

Firstly, the key element which connects archives and territory in every country is the legislation. The Italian legislation has a double

face, as the god Janus – the international symbol of archives –, because on the one hand a legislative corpus was built defining the principles for the good management of archive offices but, on the other hand, the current norms are confusing and not coherent. The introductive section of the thesis explained several legislative issues, amendments and postponement which are highlighted for having marked the confuse and the contradictory Italian legal environment currently in force. Some legislative and structural absences are here summarised in order to recapitulate the main points which need to be reformed.

- Although since the late 1990s a discussion has been generated about some supranational archival principles between European Countries and the rest of the World, after about twenty years there is no shared archival legislation. On the one hand, it is clarified the impossibility to have a unique legislation because archives reflect government organisations, traditions and culture backgrounds which are different in every countries. On the other hand, some common needs grouped on the topic of accessibility are shown simultaneously by different countries. For this reason, it is possible to see a common field on which is urgent to design a plan of training, set international workgroups and endorse more theoretical research. Two main regulations are highlighted in this perspective: the Freedom of Information (FOI) Act entered into force in Italy since 23 December 2016, after it had become a law in several other international countries; and the European General Data Protection Regulation GDPR adopted by the EU Commission in April 2016 stated that it is going to be fully applicable in every EU member countries by May 2018. The application of FOIA in different countries could represent a common point for the reflection on a supranational legislation on archival accessibility. However, the studies performed in the UK by professor Elizabeth Shepherd about the impact of the FOIA on records management services in local governments and the reflections which came up thanks to a specific question during the Tuscan survey are the proof of the urgency to spread knowledge about FOIA and GDPR regulations.

- A crucial turning point in the historical administrative development which had repercussion on the archival map is the 2001 constitutional change. The possibility to understand this passage is the basis to recognise the role of Regions in the promotion and plan archival projects on the territory, as showed in practice in the chapter about the case study in Tuscany. In addition, the government archival map created in 2001 was crumbled by Law 56/2014 about the abolishment of Provinces which leave Provinces' archives at the mercy of functions division, as detailed in a specific paragraph of the first chapter. However it can be taken note of good practices about coordination of this critical point in the history of government archives, like the example of Tuscan Region.
- Italy has a long and fruitful tradition based on the archival theory and an avant-garde legislation for many references: from the 1897 Astengo's classification for Municipalities archives, the archival law no. 2006 of 1939, the D.P.R. no. 1409 of 1963, until the 2004 Code of Cultural Heritage; but some rules are outdated and need a reform. For example, State Archives are regulated even today with legislation issued back at the time of the Kingdom of Italy with the Royal Decree no. 1163 of 1911. The same precursory characteristics can be seen in the first promulgation about the digital administration. In fact, with the Decree no. 513 of 1997, Italy showed attention to legal value of the e-document before European Community, but at a later stage the national legislator made various dispositions often not coherent in terminology. This situation caused a confusion on this topic and the incessant postponements created bewilderment in the stakeholders. There is no certainty, rather than PAs put in practice regulation with difficulty because they are sure of the legislative postponement. For this aspect, it is evident a lack of attention by the politics.
- The above aspect is linked with the lack of attention to archives inside the organisation of Cultural Heritage Ministry, as it is underlined in the beginning of the third chapter. It is necessary

to overtake to the contradictory image of archives still linked to the Home Office. In fact, since 1975 archives are regulated by Cultural Ministry, as well as for most of other countries, as highlighted in the 2005 EU report explained in the first chapter. Archives can be re-valuated thanks to the acknowledgment that their cultural value in the historical phase is directly related to the strength to improve all the previous phases, starting from the current section.

- Planning the optimisation of PA from their archives and especially form the current phase of their archives it will create the possibility to design a correct project of long period conservation, also for digital documents, as stated by InterPARES project too.

- The lack of legislative reference about the conservation disposal of digital documents is linked to the complete absence of the Central Archive of the State as a leading actor, like the crucial role that The National Archives have in the UK explained in the fifth chapter. The conservative process should start during the current phase in order to guarantee the readability and the survival of the document over time. The main point on which regulation and research project should flow into, is the concept of *context*. An evidence of the importance of this element is the elaboration of the new international standard *Records in Contexts RiC*, designed in 2016 by ICA.

Secondly, the thesis emphasised the scarcity of managerial studies applied to archives, especially a managerial vision of the whole archive and for this reason the research had tried to cover this gap. Additionally, it is striking to notice how the research is underdeveloped in the Italian context, particularly a considerable lacuna is in the knowledge of Anglo-Saxons' milestone works (especially by Dearstyne, Bradsher, Cox, Kurtz and the mentor Maher).

- Starting from the first chapter but in all the text as well, the *manual for records management procedures* (in Italian: *manuale di gestione* compulsory by D.P.R. 445/2000) represents the best and

most complete instrument to manage an archive since its birth. Its characteristics are even more important for the management of hybrid and digital archives. However its innovative aspects are considered still *new* from many stakeholders given the fact that a lot of public local administration did not yet apply this instrument. This discrepancy is testified also during the case study in Tuscany, where 110 bodies out 236 questionnaires completed do not have this fundamental document.

- On the Italian territory there is an evident weak of fulfilment and spread of best practices in archival poles, although this managerial configuration is promoted since the second national conference on archives held in Bologna in 2009. A good example of this conservative shape is Tuscany with its DAX project that became a reference point for the digital conservation and the documentary networks established since 2010.

- The building of the thesis on the basis of managerial methodology has explained the benefits of the adoption of a PM strategy in archives. Its use drive to two main directions: on the one hand through the design of conservation and enjoyment projects and on the other hand to plan a complex project aimed towards the optimisation of the entire archival structure.

- The innovative application of the term sustainability to the archival context corresponds to reaching a good management of human, logistical and financial resources. But more than that, it aims to emphasise how a stable direction and a judicious planning of the processes could guarantee users better services. For this reason, the study performed during the reseach has the aim, by taking advantage of PM techniques, to optimise the internal organisational processes, increase the quality of public services and recognise the crucial importance of communication in each phase.

- The second chapter explained how it is possible to realise an analysis on the economic impact of archives on the local territory and how this study is absent in the Italian scenario. Similarly, the comparative study and the pilot case in the UK has shown the

feasibility of users' satisfaction surveys to archives although in Italy it is not yet realised in a coordinate way.

- The third chapter testify the need to plan a comprehensive training project in two directions: management skills for archivists and archival toolkit for top managers of the PA.

- Starting from the idea of the need to increase economic resources the thesis explain the necessity to firstly improve the management and allocation of the available resources. In fact, the money already spent by archives for storages in outsourcing, IT software not interoperable and other projects not coordinated testify the lack of knowledge of the minimum budget. The figures obtained by data collected during the survey on Tuscany represent an evidence of this issue. With this perspective a model of a balance sheet standardised for all kind of archives is introduced in the third chapter.

- The fourth chapter highlight the Italian delay in the standardisation of archival procedures and the low consideration of the importance of shared policies. These elements were put in exam during the case study in Tuscany and a final reflection demonstrate the necessity to create a more inclusive archival research both internationally but first of all within the Italian boundaries where the huge number of projects and initiatives are rarely coordinated one with another.

- The abroad experience and in particular the description of the interesting case of the Accreditation Service represents an example of the amount of coordinated activities aimed to reach the quality of work processes and the arrangement of internal policies evaluated in order to achieve better accessibility by users.

Finally, in the entire research has been highlighted that the exploitation of multiple elements generates the optimisation of the present archive structures. In this vision, two actors already established in the Italian regulation stand out for their intrinsic potentialities: the Superintendencies and the archive directors (in Italian: *responsabile del*

servizio). The re-evaluation of their roles has origin from the comparative analysis of other international scenarios and the practical field study carried out in Tuscany.

Superintendencies bodies represent the central advisory guide but, at the same time, are deeply rooted throughout the national territory. Their inspective role is cause and effect of their know-how which they can apply in order to guide public local authorities on their archive management. The presence of Superintendences is not obvious in other international contexts while in Italy their power is defined by law. They have the advantage to be a pole from which local stakeholders can be coordinated. For this reason, the area of jurisdiction of local Superintendences symbolise the fecund milieu where a plan of continuing training development can be designed.

The focus is then addressed to the pivotal figure of the archive director who is able to coordinate resources and procedures in all the documentary phases with the univocal aim to increase accessibility to the archive. It is possible to improve manager's cultural awareness by acquiring knowledge from multiple disciplines of the economic and business area. Furthermore, the comparative study with other international cases, especially from the UK, has given some management toolkit which is communicated to archive directors during the case study. The adoption of PM strategies allowed to explore archives as services which are offered thanks to the management of resources, procedures and processes.

2. Suggestions for future researches

This research proceeds towards some development lines which can be reported in three fundamental steps and some consecutive feasible outputs.

1.   The priority: <u>a training plan</u>
     The whole research and in particular the case study have revealed the possibility to reach an optimisation of the current organisation only on the grounds of a innovative training plan.

In primis, the specialised schools inside Italian State Archives and the school of advanced studies at the Central Archive of the State should be renovated, following the several proposals issued since 1975. A reform of their study programs should include cultural management and project management disciplines, additionally to the obvious introduction of records management lessons.

Secondly, a mix of legislative, archival and managerial knowledge should be thought to administrative staff regularly. Following the master example of courses on the archive management designed in Tuscan Region since 1974, it will be possible to schedule workshops on specific topics. In this way, all professionals with different assignments which interact in the management of archives can be introduced, for example, in quality analyses applied to archives, the design of a economic analysis, the plan of educational activities, and so on.

Thirdly, a general archival program of training should be issued to top managers and top levels of the Public Administration. In fact, the main problems showed during the case study were due to the lack of knowledge on terminology and basic archival theory. They can be passed to the top level as a demonstration that good management of *res publica* starts essentially from a good management of records. Furthermore, manager and politics usually are in charge of the allocation of resources and only knowing the peculiarities of their offices and archives they can manage them in a proper way. In this perspective, the training program can be organised following the schema of resources, procedures, processes and services explained in the third and fourth chapters and giving the main references by the literature review.

2. Second step: <u>a national questionnaire to archive directors</u>

A fundamental improvement should be the compulsory application of the article 61 of D.P.R. 445/2000 which requires the presence of an archive director in any PAs. Nowadays, its figure is still absent in many governmental bodies as testified in the

Tuscany case study where only 110 archives can be managed by a director.

A future step could be the design of a questionnaire based on the model applied for the case study in Tuscany, and which could be made available online. In this way, each archival director could have the possibility to fill in the form as a self-evaluation process; each director could then update information regularly. This suggestion is grounded on following observation: during the case study, many participants showed a form of 'pride' when tried to present their working reality in the best possible way. For example, during the survey period, some public local authorities have tried to improve their current situation, have set meetings with top level management and have appointed people in charge of records management in order to improve the status of the archive. In addition, the possibility to create a platform for questionnaires hosted on an archival institutional website, for example, the General Direction of Archives, could have also the indirect benefit to valorise the ministerial structure on archives. Another option could be the requirement to fill in such questionnaire every year, following the UK model. Furthermore, the information should be designed in order to have the possibility to easily extract average data with the aim to develop a common background. It should be also a repository of open data generally reusable by the administration in order to coordinate common strategies. The filled sheets could be visualised extracting only the information relevant to a sort of census sheet autonomously customizable. In fact, data are often useful for stakeholders in different ways: some for Superintendence employees and others for researchers or for patrons.

3. Third step: a survey of visitors to Italian archives

The pilot case showed how a users/visitors satisfaction analysis could be planned and launched in Italian archives. As a start, the survey could be submitted to all State Archives; while later, the

survey could be extended to other archives (of public local authorities, private, business, etc.).

Outputs:
- More communication

  The introduction of managerial strategies, as Project Management discipline, can increase a fruitful communication. Recognising the crucial importance of communication in each archival phase, more cooperation between colleagues can be obtained, as suggested with the survey in Tuscany with a questionnaire co-written. Furthermore, the goal of the research as the optimisation of internal processes in order to reach better accessibility by users can be exploited thanks to an efficient communication to all stakeholders. In this direction, archival services in the historical phase should be optimised in order to become the *business card* of the archives towards their users. For example, archives should be more captative from their websites which represent their showcases and an occasion to fight the ancient vision of dusty archives, commonly perceived by the public and often supported by the outdated websites.

- More coordination

  An effect of more coordination should be the creation of a link between resources already available on the territory like 'SIUSA' and 'SIAS', with others (for example *Archivi in Toscana* and *Archivi Storici in Toscana AST* in Tuscany) in order to obtain a unique, clear and homogeneous access for researchers. Simultaneously, the better communication goal could be appreciated by Superintendences which would acquire a unique management instrument of existing archives where to plan the monitoring and enjoyment activities.

- More smart tools

  For this purpose an IT infrastructure could be structured to be able to elaborate a project management chart for the optimisation of the resources and the archive directors' activities. This digital instrument, like a dashboard by which it is possible to control the

whole archival structures, could help archive directors in their daily tasks. The created system would represents a model easily applicable and customizable by archives with different institutional structures in order to plan their archival streamlining project.

- More autonomy

  Government should recognise in particular the peculiarity of archives and revaluate the role of Superintendencies, the General Direction of Archives and the Central Archive of the State. Taking advantage from the good aspects of leadership by the UK archival scenario, it will be possible to reform the current ministerial organisation in this direction. In particular, thanks to the comparison with the international framework, Superintendencies acquire an astonishing role to be absent in other archival contexts. These bodies have the duty to advise and foremost to supervise on the safety and management of public local government archives. Their characteristics testify that the UK model based on the quality audit on local archival services developed thanks to the Accreditation system is fragile compared with the Italian monitoring model.

In conclusion, this work has disclosed the very essence of an archive, its internal structure, as the roots of the Public Administration. The challenge of this research is to inspire the direction of the government bodies – as well as the archival community – about the optimisation feasibility of the ongoing archive management practices starting from the huge potentialities of Italian country itself.

Appendix

1- Informed Consent Form for Pilot Study

Informed Consent Form PhD dissertation research

Please complete this form after you have listened to an explanation about the research.

Project Title: PhD Thesis 'Management of Government Archives in Italy'

Researcher: Gemma Torre PhD candidate in Analysis and Management of Cultural Heritage at IMT School for Advanced Studies in Lucca, Italy. Visiting student at UCL London, DIS Department of Information Studies

Thank you for your interest in taking part in this research. Before you agree to take part, the person organising the research must explain the project to you.

If you have any questions arising from the Information Sheet or explanation already given to you, please ask the researcher before you to decide whether to join in. You will be given a copy of this Consent Form to keep and refer to at any time.

Participant's Statement

I agree that:

- I have read the notes written above and the Information Sheet, and understand what the study involves.
- I understand that if I decide at any time that I no longer wish to take part in this project, I can notify the researchers involved and withdraw immediately.
- I consent to the processing of my personal information for the purposes of this research study.
- I understand that such information will be treated as strictly confidential and handled in accordance with the provisions of the Data Protection Act 1998.
- I agree that the research project named above has been explained to me to my satisfaction and I agree to take part in this study.
- I understand that my participation will be recorded and I consent to use of this material as part of the project.
- I agree that my name, job title and place of work may be identified in the final report, and waive the right to anonymity for the purposes of this research.

Signature:

Date:

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2- Letter signed by Superintendent for Case Study

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Firenze, **16 MAR. 2017**

Ai   Sindaci dei Comuni toscani

e p.c. ai   Responsabili della gestione
documentale dei Comuni
toscani

via PEC

Prot. n. 1311/34.29.00/88 Allegati   Risposta al Foglio del

Prot.   Class.

OGGETTO: Aggiornamento osservatorio sui servizi archivistici e di gestione documentale dei Comuni toscani. Invio questionario.

In riferimento all'attività di vigilanza che questa Soprintendenza esercita sugli archivi e i sistemi di gestione documentale degli Enti locali toscani, si trasmette in allegato alla presente il questionario in oggetto che va in parte ad aggiornare, in parte a incrementare alcune indagini conoscitive già in precedenza (anni 2000, 2010, 2015) realizzate da questo Ufficio con strumenti analoghi.

Il questionario allegato è frutto di un'elaborazione curata dalla Dott.ssa Gemma Torre che sta svolgendo presso la Soprintendenza Archivistica e Bibliografica della Toscana un tirocinio curriculare di dottorato di ricerca in "Analysis and Management of Cultural Heritage" frequentato presso l'IMT School for Advanced Studies di Lucca.

Il questionario, in formato .xls, è da compilarsi elettronicamente e deve essere restituito per posta elettronica **entro il 15 aprile 2017** inviandolo ai seguenti indirizzi:
- PEC Soprintendenza: mbac-sab-tos@mailcert.beniculturali.it
- e-mail Dott.ssa G. Torre: gemma.torre@imtlucca.it (in C/C)

Nel segnalare che la dott.ssa Torre rimarrà a completa disposizione per ogni eventuale richiesta di chiarimenti o di aiuto nella compilazione e sarà contattabile, oltre che all'indirizzo mail sopra riportato, al numero di telefono 0552711123, si fa altresì presente che sul questionario il referente per la Soprintendenza è il dott. Lorenzo Valgimogli che risponde ai seguenti recapiti: tel. 0552711121; e-mail: lorenzo.valgimogli@beniculturali.it.

Ringraziando anticipatamente per la fattiva e concreta collaborazione che vorrete offrire in occasione di questa importante attività di conoscenza, si inviano i migliori saluti.

IL SOPRINTENDENTE
(Dott.ssa Diana Marta Toccafondi)

LV/lv

3- Questionnaire for Case Study

Abstract:

On March 2017 the following questionnaire was dispatched via certified mail by Archival and Library Superintendence of Tuscany to 311 government bodies of Tuscany in order to analyse their archive management.

The document was set in digital form (a file in .xsl) in order to give time and flexibility to the interviewed who has the possibility to fill in with colleagues' cooperation. The file included two pages: the first one had an introduction and an explanation of table of contents, the second one contained the questions.

The questionnaire was oriented to archive directors or the person in charge to the internal management. Most of the questions were focused on the whole archive (current, semi-current and historical phases) exceptionally for those questions which had a specific annotation. The questionnaire was structured following three aspects of the archive management – resources, processes and services – which were differentiated by colours.

For each question, there was a space for answers and one for annotations. Most of the questions foresaw multiple choices visible thanks to a drop-down menu which were transformed into text exclusively for the version attached. Furthermore, the reference to previous surveys used as a model was added. Therefore, the current graphics visualisation is different respect that was used in the fieldwork. The form is here reported in Italian, as the language used during the survey.

N.	Domanda	Risposte	Note
1 **INFORMAZIONI GENERALI**			
1.1	Data di compilazione	GG/MM/AAAA	q. 2015
1.2 Identificazione del servizio archivio			
1.2.1	Nome archivio		q. 2010 q 2015
1.2.2	Ente Pubblico Territoriale	Regione;Provincia;Città Metropolitana;Unione;Comune	
1.2.3	Area/settore di appartenenza del servizio * * Si intende il servizio che risponde per competenza al questionario	servizi affari generali e istituzionali; servizi sociali, educativi e culturali; direzione amministrativa; servizio finanziario;servizio comunicazione e promozione; Altro (specificare)	
1.2.4	Unità organizzativa		
1.2.5	Organizzazione della gestione del servizio archivistico:		q. 2010 q 2015

	Servizio unico (protocollo e flussi documentali, archivio corrente, archivio di deposito, archivio storico)	Sì/No	
	Se no, servizio distinto nelle seguenti unità organizzative: *(indicare le unità organizzative o l'ufficio incaricato)*		
		Unità Organizzative	
	Protocollo e flussi documentali		
	Archivio corrente		
	Archivio di deposito		
	Archivio Storico		
	Archivi aggregati		
	Archivi in deposito e/o in dono		
1.3 **Contatti di riferimento** Queste informazioni verranno utilizzate nella sola fase di ricognizione dei partecipanti mentre non verranno riportate nella successiva analisi dei dati			
1.3.1	Nome del referente		
1.3.2	Indirizzo dell'ufficio		
1.3.3	Numero di telefono dell'ufficio		
1.3.4	Indirizzo e-mail istituzionale		

1.4 **Consistenza dell'archivio**			
1.4.1	Nel suo Ente esiste un "Servizio per la gestione informatica dei documenti dei flussi documentali e degli archivi"*? Cosiddetto ex art. 61 DPR 445/2000	Sì/No	q. 2010
	Atto di istituzione		
1.4.1.1	Se sì, il Responsabile del Servizio è stato incaricato con apposito atto ex art. 61 DPR 445/2000?	Sì/No	q. 2010
	Atto di nomina		
1.4.2	È stato designato un "Responsabile della conservazione"*? * Secondo le regole tecniche attuative del Codice dell'Amministrazione Digitale previste dall'art 44 comma 1bis del CAD (DLgs. 82/2005) ed entrate in vigore da marzo 2015	No; Sì, interno all'ente; Sì, esterno all'ente	

1.4.3	Consistenza del patrimonio archivistico: *(Indicare la quantità precisa se conosciuta o l'intervallo più confacente)*		
	Numero unità (quantità numerica)	**Attuale estensione**	
		Fondi cartacei (metri lineari)	**Fondi digitali (GigaBytes) *** Il dato 'fondi digitali' include sia i GB delle copie digitali di documenti cartacei sia i documenti nativi digitali
Archivio corrente; Archivio di deposito; Archivio storico; Archivi aggregati; Archivi in deposito e/o in dono	quantità precisa Meno di 500; Tra 500 e 1000; Tra 1.000 e 2.000; Tra 2.000 e 5.000; Tra 5.000 e 10.000; Oltre 10.000	quantità precisa Meno di 50ml; Tra 50ml e 100ml; Tra 100ml e 200ml; Tra 200ml e 500; Tra 500ml e 1.000ml; Tra 1.000ml e 5.000ml; Tra 5.000ml e 10.000ml; Oltre 10.000ml	quantità precisa Meno di 50GB; Tra 50GB e 100GB; Tra 100GB e 200GB; Tra 200GB e 500GB; Tra 500GB e 1.000GB; Oltre 1.000GB

1.4.4	Esistono strumenti di ricerca?	Sì/No	
1.4.4.1	Se sì, quali sono le caratteristiche degli strumenti di ricerca? *(Selezionare le opzioni migliori per ogni colonna e stabilire il numero di linee in modo che corrisponda con il numero degli strumenti di ricerca disponibili)*		tipologia di strumenti di ricerca dal q. 2015

Archivio in oggetto	Tipologia strumento di ricerca	Accessibilità	Localizzazione	Stato di elaborazione	Formato
Corrente;Deposito;Storico;Storico preunitario;Storico postunitario;Aggregato;Storico e aggregati;In deposito e/o in dono;Altro	Inventari analitici;Inventari sommari;Elenchi di consistenza;Guide;Liste di versamento;Elenchi topografici;Indici;Rubriche;Database;Protocolli;Altro (specificare nelle note)	uso interno;uso pubblico	in sede;online;in sede e online	edito;in fase di elaborazione;prossima pubblicazione;inedito	cartaceo;digitale;cartaceo e digitale

2 RISORSE				
2.1 Umane				
2.1.1	Quali sono le caratteristiche del personale del servizio archivio? *(Stabilire il numero di linee in modo che corrisponda al totale del personale)*		v. q. 2010 per tipologie di formazione professionale; v. profili professionali MiBact	
Tipologia di rapporto di lavoro e categoria di inquadramento	Profilo professionale	Titolo di studio	Formazione professionale specifica per il ruolo ricoperto	Orario di lavoro
dipendente cat. A;dipendente cat. B;dipendente cat. C;dipendente cat. D;consulente libero professionista;libero professionista tramite cooperativa;tirocinante; volontario;altro	amministrativo gestionale; archivista; informatico; tecnico; vigilanza; bibliotecario; conservatore; promozione;	diploma scuola media; diploma scuola media superiore; laurea vecchio ordinamento; laurea triennale; laurea magistrale; dottorato;	nessuna; diploma di archivistica, paleografia e diplomatica (scuole Archivi di Stato); laurea con specializzazione in Archivistica; dottorato in ambito	full-time; part-time; occasio nale

(specificare nelle note)	records manager; altro (specificare nelle note)	master; altro (specificare nelle note)	archivistico-bibliografico; master in ambito archivistico-bibliografico; altro (specificare nelle note)	
2.1.2	L'archivio è presidiato dalla presenza di personale nella sua/e sede/i?			q. 2015
	Archivio di deposito		No; Regolarmente; Saltuariamente	
	Archivio storico			
	Archivi aggregati			
	Archivi in deposito e/o in dono			

2.2 **Logistico-organizzative**				
2.2.1	Quali sono le sedi di conservazione?			q. 2015
	Archivio corrente	Archivio di deposito	Archivio storico	Archivi aggregati	Archivi in deposito e/o in dono
Sede/i di conservazione dell'archivio	unica sede a sé;unica sede insieme all'archivio di deposito;unica sede insieme all'archivio storico;unica sede insieme all'archivio di deposito e storico;più sedi a sé;più sedi insieme	unica sede a sé;unica sede insieme all'archivio corrente;unica sede insieme all'archivio storico;unica sede insieme all'archivio corrente e storico;più sedi a sé;più sedi insieme	unica sede a sé;unica sede insieme all'archivio corrente;unica sede insieme all'archivio di deposito;unica sede insieme all'archivio corrente e di deposito;più sedi a sé;più sedi insieme	unica sede a sé;unica sede insieme all'archivio corrente;unica sede insieme all'archivio di deposito;unica sede insieme all'archivio corrente e di deposito;più sedi a sé;più sedi insieme	unica sede a sé;unica sede insieme all'archivio corrente;unica sede insieme all'archivio di deposito;unica sede insieme all'archivio corrente e di deposito;più sedi a sé;più sedi insieme

	all'archivio di deposito;più sedi insieme all'archivio storico; altro (specificare)	all'archivio corrente;più sedi insieme all'archivio storico; altro (specificare)	all'archivio corrente;più sedi insieme all'archivio di deposito; altro (specificare)	all'archivio corrente;più sedi insieme all'archivio di deposito; altro (specificare)	all'archivio corrente;più sedi insieme all'archivio di deposito; altro (specificare)
2.2.2	Nello specifico, l'ARCHIVIO STORICO è conservato presso un altro ente?		no;sì nel locale Archivio di Stato;sì nella biblioteca dell'ente in oggetto;sì nel museo dell'ente in oggetto;sì nel polo archivistico;in outsourcing; altro		v. 2000
2.2.3	Ci sono mezzi di collegamento tra le sedi ad uso dei dipendenti?				
IT		PC con connessione internet			Sì/No
		Fax			
		Telefono			
		Altro *(specificare)*			
Mezzi di trasporto dell'istituzione		Automobile			
		Bicicletta			

Mezzi di trasporto pubblici	Altro *(specificare)*
	Treno
	Bus
	Altro *(specificare)*

| 2.2.4 | Quantità e dimensione delle stanze disponibili nelle varie sedi: *(Compilare solo le tipologie di stanze disponibili e stabilire il numero di colonne in modo che corrisponda con il numero delle sedi)* | |

	Sede principale	Sede 2	Sede 3	Sede 4
Magazzino/deposito	Quantità; dimensione in mq	Quantità; dimensione in mq	Quantità; dimensione in mq	Quantità; dimensione in mq
Sala di consultazione				
Biblioteca				
Sala per mostre				
Sala per conferenze				
Uffici				
Stanza di quarantena				
Stanza per le riproduzioni				
Laboratorio di conservazione				
Altro *(specificare)*				

2.2.5	Metri lineari per conservare la documentazione		
	Quantità complessiva		
	Quantità % già occupata	%	
2.2.6	Di chi è la proprietà degli immobili dell'archivio? *(Selezionare l'opzione migliore. Stabilire il numero di righe in modo che corrisponda con il numero delle sedi)*	*Definizione della proprietà*	
	Sede principale	Di proprietà dell'Ente Locale;Di proprietà dell'Ente governativo nazionale;Affitto da un altro ente locale;Affitto da un altro ente governativo nazionale;Uso a titolo gratuito;Condiviso con altri enti locali;Affitto da privati; altro (specificare)	
	Sede 2		
	Sede 3		
	Sede 4		

2.2.7	Gli immobili sono stati costruiti espressamente per il fine di essere usati come archivi? Oppure sono il risultato di una ristrutturazione? *(Selezionare l'opzione migliore. Stabilire il numero di righe in modo che corrisponda con il numero delle sedi)*	*Finalità d'uso*	
	Sede principale	Nuova costruzione edificata espressamente per l'archivio attuale;Costruzione edificata per un altro archivio e poi riadattata al corrente uso;Edificio esistente per altri scopi e ristrutturato; altro	
	Sede 2		
	Sede 3		
	Sede 4		

2.2.8	L'Ente ricorre a qualche forma di outsourcing per la gestione documentale? *(Selezionare le opzioni migliori)*		v. q. 2010 (la domanda che era a testo libero)
	Status	Localizzazione	Specifica localizzazione * In 'Specifica localizzazione' indicare il nome della città. **Per 'Servizi ausiliari' si intende ad es. pulizia e sicurezza
Deposito archivi cartacei	Sì: No; di prossima implementazione; stiamo valutandone la possibilità	nella stessa città; nella stessa provincia; nella stessa regione; in un'altra regione; all'estero	
Deposito archivi digitali			
Attività di schedatura			
Digitalizzazione di documenti cartacei			
Restauro di documenti			
Ricerche archivistiche			

Servizi informatici			
Risorse umane			
Servizi ausiliari**			

2.3 **Finanziarie**		
2.3.1	Quali sono le risorse del bilancio destinate annualmente ai servizi archivistici e di gestione documentale? *(Indicare la quantità anche sommaria)*	

		2014	2015	2016
Pubblico	Finanziamento proprio			
	Finanziamento per progetti europei			
	Finanziamento da ente nazionale			
	Finanziamento da altro ente pubblico			
	Altro *(specificare)*			
Privato	Donazione da associazioni senza scopo di lucro			
	Donazioni a titolo personale			
	Crowd funding			
	Altro *(specificare)*			

2.3.2	La somma indicata nella domanda 2.3.1 per il 2016 come è stata utilizzata? *(Indicare una percentuale allocata a ogni voce di spesa)*		
	Voce di spesa	*Percentuale del bilancio 2016*	
	Servizi logistici di trasporto e spolveratura	%	
	Attività di conservazione e restauro	%	
	Attività di schedatura e digitalizzazione	%	
	Attività editoriale e organizzazione di eventi/mostre	%	
	*Spese di gestione * La voce 'spese di gestione' corrisponde a: affitto, pagamento utenze, acquisto cancelleria e strumentazione IT per il funzionamento dell'ufficio*	%	
	Altro (specificare)	%	
	Totale 100%	*0%*	

3 PROCESSI E SERVIZI			
3.1	L'archivio fa parte di una rete documentaria * L.R. 21 del 25 febbraio 2010?	Sì/No	

3.1.1	Se sì, quale? La rete documentaria di	Arezzo;area fiorentina (Sdiaf);l'Elsa e l'Arno (rea.net);Mugello ed Alto Mugello (SDIMM);Grosseto;Livorno;Lucca;Massa-Carrara (Re.Pro.Bi);Pisa (Bibliolandia);Pistoia (REDOP);Prato;Siena (REDOS);Regione Toscana (CoBiRe)	
3.2	Il suo Ente attua una qualche forma di gestione associata con altri enti (es. consorzio/unione dei comuni) per il servizio archivio?	Sì/No	v. q. 2010
3.3 Accessibilità			
3.3.1	Informazioni relative all'accessibilità alla consultazione dell'*ARCHIVIO STORICO:*	l'archivio non è accessibile; l'archivio è aperto su richiesta; l'archivio è aperto 36 ore settimanali; l'archivio è aperto da 24 a 36 ore settimanali;	v. q. 2010

		l'archivio è aperto da 12 a 24 ore settimanali;				
		l'archivio è aperto meno di 12 ore settimanali				
	Se l'ARCHIVIO STORICO è inaccessibile alla consultazione, per quali delle seguenti motivazioni?					
	Mancanza di strumenti di corredo	Sì/No				
	Processo di conservazione					
	Processo di riordino/schedatura					
	Idoneità della sede					
	Mancanza di personale					
	Altro (specificare)					
3.3.1.2	Quali servizi sono disponibili per gli utenti? *(Stabilire il numero di colonne in modo che corrisponda con il numero delle sedi)* [ARCHIVIO STORICO]					

	Sede principale	Sede 2	Sede 3	Sede 4
Wi-Fi gratis	Sì/No	Sì/No	Sì/No	Sì/No

Fotocopiatura				
Lettori microfilms				
Ricerca informatica				
Riproduzione utilizzando strumenti propri				
Prestito di libri				
Accesso per disabili				
Servizi igienici				
Armadietti				
Distributori di bevande e cibo				
Altro *(specificare)*				

3.3.1.3	Tipologie di presenze e ricerche effettuate negli ultimi 6 mesi: (indicare la quantità e scrivere 0 se non presenti) [ARCHIVIO CORRENTE, DEPOSITO E STORICO]	

		Ricerche in loco	Ricerche per corrispondenza	TOTALE
Utenti interni				0
Utenti esterni	Italiani			0
	Stranieri			0

3.3.1.4	È stata fatta un'indagine sulla soddisfazione degli utenti dell'archivio STORICO?	Sì/No	
3.3.1.4.1	Se sì, in quale periodo è stata realizzata?		
3.3.2	Indicare il tempo medio per ognuna delle seguenti fasi necessario ad espletare una richiesta di accesso agli atti e secondo il FOIA*: *(indicare un numero nell'intervallo da 1 = molto velocemente a 5 = lungo periodo di tempo)*	* Accesso agli atti: legge 241/1990 che riserva la possibilità di accedere ai documenti della PA solo a chi ha «un interesse diretto, concreto e attuale, corrispondente ad una situazione giuridicamente tutelata e collegata al documento al quale è chiesto l'accesso» (art. 22, c. 1, lett. b). FOIA: *Freedom of Information Act, Dlgs* 97/2016 entrato in vigore 23 giugno 2016, prevede che chiunque possa presentare istanza d'accesso, senza obbligo di motivare la richiesta (art. 6, c. 1).	v. Jisc Information Legislation and Management Survey 2016

	Registrazione ufficiale della richiesta	1-2-3-4-5	
	Identificazione delle principali fonti di informazioni		
	Localizzazione e accesso alle informazioni richieste		
	Controllo delle informazioni		
	Considerazione di esclusioni dall'accesso		
	Processo interno per definire la conferma o rifiuto di accesso alle informazioni		
3.4 Regolamenti interni			
3.4.1	Caratteristiche della documentazione relativa alla gestione interna:		v. q. 2010 "Anno di adozione"-"Lo strumento è conforme a"

	Presenza	Anno di adozione	Riferimenti legislativi	Lo strumento è conforme a:
Manuale di gestione	Sì/No			modello nazionale; modello regionale/provinciale; redatto da un gruppo interno all'amministrazione; redatto da esterni (professionisti, in forma singola o associata - es. cooperative , ditte che forniscono software, altro)
Titolario di classificazione				
Massimario di scarto				
Repertorio dei fascicoli				
Piano strategico				
Carta della qualità dei servizi				
Regolamento interno				
Regolamento per la consultazione				
Codice etico				
Altro (specificare)				

3.4.2	Esistono regole per l'attività di versamento formale della documentazione nell'ARCHIVIO DI DEPOSITO?	Sì/No	
3.4.3	La documentazione nell'ARCHIVIO DI DEPOSITO è	Mai;	q. 2015

	sottoposta ad attività di selezione e scarto?	Sporadicamente regolarmente	
3.4.4	L'ARCHIVIO STORICO viene incrementato con transiti periodici di documentazione dall'archivio di deposito?	Sì/No	
3.5 Attività			
3.5.1	Nel 2016 sono state realizzate attività didattiche* in archivio? *Considerare bambini e ragazzi fino alle scuole superiori	Sì/No	
3.5.2	L'archivio è stato interessato da progetti di alternanza scuola-lavoro?	Sì/No	
3.5.3	Il suo Ente utilizza i social network per promuovere le iniziative archivistiche?	Sì/No	
3.5.4	Qual è la sua percezione delle attività di vigilanza e tutela svolte dalla Soprintendenza Archivistica e Bibliografica?		

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