

Aleksandra Lobanova<sup>1</sup>  
(Russia)

## LEVELS, PROCEDURES AND CHALLENGES OF DIGITAL OR DIGITIZED RECORDS APPRAISAL FOR ELECTRONIC ARCHIVING. RUSSIAN PERSPECTIVE.

### ABSTRACT

*The records appraisal in general and electronic records and documents appraisal in particular has a unified methodological base, implemented in the legal regulation and methodological recommendation of the selection of documents for archival storage, both at the level of an organization or an individual, and at level of the system of state archives. This article presents a structured system of regulation and organization of records appraisal in Russia at the national and organizational levels. The emphasis is on the appraisal of electronic records, as well as the problem of appraisal of paper documents for replacement scanning for electronic archiving, the tasks of organizing the work of experts for records appraisal and digital platform facilities for supporting this work and creating expert knowledge base for records and documents appraisal.*

**Keywords:** *digital platform, digital records, electronic records management system, levels of records appraisal, organization folder register, records appraisal, records appraisal expert commission, records classification list with retention terms, replacement scanning.*

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1 Lobanova A., PhD (Economics), Docent, Associate Professor of the Department of Information Technologies in Legal Activity and Records Management, Law Institute, Russian University of Transport. Contact email: al.edu@yandex.ru.

Aleksandra Lobanova graduated from the State University of Management (SUM) with a specialist degree in Records Management and IT in Management. Right after graduation she entered PhD program and in two years started teaching career at the Chair of Records Management. After getting PhD in Economics worked as Associate Professor at the Chair, Head of International Affairs Department of SUM, a leading expert in records management at Scientific and Technological Center – IRM (RMS vendor), Senior researcher of the Department of Archive Management and of the Department of Records Management at All-Russian Research Institute of Records and Archive Management (VNIIDAD), chief specialist of the sector of organization and methodology of records management at JSC “United Engine Corporation”. Currently prof. Lobanova is teaching at the Chair of Information Technologies in Legal Activity and Records Management, Law Institute of Russian University of Transport (MIIT)/ Regular professional development included participation in international and national programs: Archives&Education Winter School (FARO&National Archives UK, Belgium), Creation of archive of scientific and technical documentation in the organization and methods of its work (VNIIDAD, Russia), Rapid assessment of foreign documents on education during the admission campaign (Association of Vice-rectors for international relations of higher educational institutions of the North-West, Saint-Petersburg, Russia), Program Management Seminar The Program for Faculty Development (IEDC – Bled School of Management, IMTA, Bled, Slovenia), Program Management Seminar (SEEMAN, Bled, Slovenia), Management of E-learning (Fontys University of Professional Education Eindhoven, the Netherlands). Aleksandra Lobanova is an author of about 200 publications (text books, articles in professional periodic magazines, scientific journals, methodological papers, conference proceedings).

## LIVELLI, PROCEDURE E SFIDE DELLA VALUTAZIONE DEI RECORD DIGITALI O DIGITALIZZATI PER L'ARCHIVIAZIONE ELETTRONICA. LA PROSPETTIVA RUSSA

### SINTESI

*La valutazione dei registri in generale e della valutazione elettronica dei documenti e dei documenti in particolare ha una base metodologica unificata, attuata nella regolamentazione giuridica e nella raccomandazione metodologica della selezione dei documenti per l'archiviazione archivistica, sia a livello di organizzazione o di individuo, sia a livello del sistema degli archivi di Stato. Questo articolo presenta un sistema strutturato di regolamentazione e organizzazione della valutazione dei registri in Russia a livello nazionale e organizzativo. L'accento è posto sulla valutazione delle registrazioni elettroniche, nonché sul problema della valutazione dei documenti cartacei per la scansione sostitutiva per l'archiviazione elettronica, sui compiti di organizzazione del lavoro di esperti per la valutazione dei registri e sulle strutture delle piattaforme digitali per sostenere questo lavoro e sulla creazione di una base di conoscenze specialistiche per la valutazione di documenti e documenti.*

**Parole chiave:** piattaforma digitale, record digitali, sistema elettronico di gestione dei record, livelli di valutazione dei record, registro delle cartelle dell'organizzazione, valutazione dei record, commissione di esperti di valutazione dei record, elenco di classificazione dei record con termini di conservazione, scansione sostitutiva.

## RAVNI, POSTOPKI IN IZZIVI DIGITALNE ALI DIGITALIZIRANE EVIDENCIJE ZA ELEKTRONSKO ARHIVIRANJE. RUSKA PERSPEKTIVA

### IZVLEČEK

*Vrednotenje dokumentov na splošno in elektronsko vrednotenje dokumentov ima enotno metodološko podlago, ki je vključena v zakonsko ureditev, in metodološko priporočilo izbora dokumentov za arhivsko hrambo, tako na ravni organizacije ali posameznika kot na ravni sistema državnih arhivov. Članek predstavlja strukturiran sistem regulacije in organizacije vrednotenja gradiva v Rusiji na nacionalni in organizacijski ravni. Poudarek je na vrednotenju elektronskih dokumentov, kot tudi na problematiki vrednotenja dokumentarnega gradiva v fizični obliki za nadomestno skeniranje za elektronsko arhiviranje ter predstavlja organizacijo dela strokovnjakov za vrednotenje zapisov, naprave za digitalno platformo za podporo temu delu in ustvarjanje osnove strokovnega znanja za vrednotenje dokumentarnega gradiva.*

**Ključne besede:** digitalna platforma, digitalni zapisi, elektronski sistem vodenja evidenc, stopnje ocenjevanja evidenc, register map organizacije, ocenjevanje zapisov, strokovna komisija za ocenjevanje zapisov, klasifikacijski seznam zapisov s pogoji hrambe, nadomestno skeniranje.

The emergence of information ecology as a science emphasizes the importance of records appraisal as a system and methodology for determining documented information that is crucial for the sustainability and development of civilization. On the one hand, the digital society and the digital environment form new requests for technological solutions, and on the other hand, it confirms the applicability of the previously developed mechanisms and organizational forms for records appraisal.

Before starting to consider the structure of the record appraisal, it is necessary to determine what is meant by archival storage in relation to electronic documents. In Russian records management approach, there are standard periods of storage of documents established by the List of standard administrative archival documents generated in the course of activities of state bodies, local self-government bodies and organizations (Росархив No 236, 2019). These include: permanent, 75 years, 50 years, 10 years, 5 years, 3 years and 1 year (specified terms may be added indicating the need for the record appraisal upon completion of this term), and two types of conditional phrases: "until required" and "until it is replaced with a new one". Thus, documents that should be stored for 1 to 5 years are also treated as archival. Indeed, in accordance with Rules for the organization of storage, acquisition, records keeping and use of documents of the Archive Fund of the Russian Federation and other archival documents in state authorities, local self-government bodies and organizations (Минкультуры России No 526, 2015), records must be transferred to the organization's archive no later than 3 years after the end of their life cycle in the department of the organization. Thus, documents that have a storage period of 4 to 5 years must be archived in the organization for at least one to two years after they are transferred to the archives. According to the results of the record appraisal, the storage period can be extended. The number of short-term storage documents created in electronic form has increased significantly. In the practice of office management in organizations, such records are often stored in the electronic document management system, and in the absence of tools for automated selection of electronic documents for disposition and destruction, even longer than the established storage periods. In accordance with Russian legislation, it is not a violation to keep documents longer than the established time limit. Rather, the destruction of documents earlier than the storage period specified in the List is a violation.

It is important to note that the List sets retention periods only for the core set of documents. The organization must determine the retention period for most of the documentation itself based on an analysis of the risks of record disposition and destruction and the cost of storage.

It should be noted that the Russian legislation on records management makes a clear distinction between record-documents and record-files. The first type – "official records" – is subject to specific legal requirements, while the records of state bodies are subject to even more stringent requirements, including requirements for formats. There are fewer requirements for records of non-state organizations. In many cases, organizations can determine the formats themselves, especially if they do not submit documents to the state or municipal archive and these documents are not classified as permanently stored on the basis of the List. It is these documents at the organization level that should be subjected to appraisal.

Criteria for the appraisal of electronic documents and their selection for archival preservation according to most experts coincide with the criteria of value of paper (traditional media) documents, because the value of the document in most cases comes primarily in the content information or its belongingness to the subject or person. It should be noted that the criteria for the value of a document are developed and actualized regardless

of the media and format of the information. But the organization and procedure of appraisal of electronic documents and their selection for electronic archival storage will differ significantly, as will the implementation of procedures in software systems (applications) that provide preliminary expert assessment. Also, for electronic archiving, such tasks as record appraisal for replacement scanning for subsequent electronic archiving and record appraisal on traditional media for scanning to ensure wider access to them and use are becoming increasingly relevant.

Considering all the above, we will consider the components of the record appraisal, the procedure for conducting it, and the tools at the two most significant levels—the national level and the organization level.

Value assessment consists of two components. The first component is to identify, define, and refine criteria for the value of documents. The second component is to determine whether the document meets the established value criteria.

## 1 CRITERIA FOR RECORD APPRAISAL

The criteria for the record appraisal depend on the level (records of Archival Fund of the Russian Federation or the rest records) and system documentation (personnel records, administrative records, research and development records, etc.). At the early stage of record existence, the key role of the record is for existing objects and active subjects (state, social, economic, legal, etc.). After the object or subject that the document is associated with has ceased to exist, the role of the document as a historical source comes to the fore.

Before considering the criteria used for the records appraisal in the Russian Federation, it must be noted that at the international level, the program “Memory of the World” defines criteria for classifying documents as the world’s documentary heritage (UNESCO, 1995, 2002). These criteria are generally similar to the general criteria of records appraisal used in Russian practice (Лобанова, 2018).

### 1.1 General criteria of records appraisal for the Archive Fund of the Russian Federation

When determining whether a document is included in the Archive Fund of the Russian Federation and whether it should be kept permanently, the following groups of general criteria for the value of the document are considered (Орлова, 1984):

- Content Criteria: significance of the event (phenomenon) reflected in the document; value of the information available in the document; repetition of the document information in other documents; type of document; authenticity of the document;
- Criteria of Origin: the role and place of the organization in the system of public administration or a specific industry; the significance of its functions; the importance of an individual in society (i.e., the value of the Fund-maker); the time and place of creation of the document;
- Criteria for External Features: the form of recording and transmitting the content, identity, and design of the document (including artistic, linguistic, and features of creating a document); the physical state of the document.

More goal oriented criteria for the records appraisal are highlighted in the definition of the Archive Fund of the Russian Federation, given on the website of the Federal Archival Agency – Rosarchive (Официальный сайт Росархива, 2018). Documents are included in the Archive Fund of the Russian Federation if they:

- reflect the material and spiritual life in society,
- have historical, scientific, social, economic, political or cultural significance,

- are an integral part of the historical and cultural heritage of the people of the Russian Federation,
- relate to information resources that are subject to permanent storage in accordance with Russian legislation.
- The selection, perpetual storage and use of these documents contributes to the strengthening of federalism, the formation of civil society, the establishment of the state of law, the formation of democratic views, and the education of Russians in the spirit of citizenship, patriotism, and tolerance.

Permanent storage documents are not homogeneous. Among them, special-value and unique documents are distinguished.

### 1.2 Criteria for special-value documents

To define the *special-value* documents the following criteria are used (*Елпатьевский, Химица, 2006*): the value of the information contained in documents, the authenticity of documents, legal power, significance of the creator, authorship (and the recipient) of the document, the document creation time, the presence of paleographic, art and other features of the document subsidiary criterion – the size of the safety assessment document (cash value insurance). It should be noted that the general appraisal criteria and criteria for *special-value* documents are defined but methodology of using these criteria is not specified and therefore the core work of the appraisal rests with the experts and is highly dependent on subjective opinion.

### 1.3 Criteria for unique documents of the Archive Fund of the Russian Federation

To identify unique documents in the Archive Fund of the Russian Federation, mandatory conditions and two groups of criteria were defined: exclusivity criteria and value criteria, and the procedure for applying these criteria was formulated (*Герчицова, Лобанова, Звавич, 2019*). The mandatory conditions include authenticity of the document, the legal value of the document, provide the order of documenting of the appropriate period and jurisdiction of the species (kinds) of documents refers to the document set such requirements; the document must be public, open.

The criteria for exclusivity are:

- highest historical, social, spiritual, and general cultural significance – a document is of cultural or historical value (i.e., the very appearance of a document becomes a historical (cultural) event) and must meet at least one criterion of value.
- uniqueness – a document is the only document that defines, characterizes, reflects or confirms at least one of the criteria of value.
- completeness of disclosure – the document most fully, objectively (factographically) defines, reflects, characterizes or confirms at least one of the criteria of value. Completeness is determined by the process of comparative analysis of documents according to the established criterion of value.

The criteria of value include:

- key events, processes, phenomena that have had a decisive impact on the development of humanity or of a particular country, which has become significant, or occurred for the first time (including in the life and work of great historical figures).
- outstanding, iconic ideas, discoveries, works of individuals or groups of people who have contributed to the development of world civilization and national identity.
- an object whose highest social, historical, political, and / or civilizational significance is generally recognized.

- chronological affiliation – the document was created directly during the period of major social and / or cultural changes, crisis, upswing, and adequately reflects the events, phenomena, and the state of this period.
- art design or method of documenting - a masterpiece in terms of art design or execution, or the document is the most striking or first created representative of the method of documentation, media type, or format.

The procedure for applying these criteria is that in order to determine that a document is potentially unique, it must meet one or more criteria from both groups of criteria. This method was established in the Guidelines for determining unique documents to be included in the State register of unique documents of the Archive Fund of the Russian Federation (Герчикова, Лобанова, 2020).

#### 1.4 Criteria for determining organizations-sources of acquisition of state and municipal archives

As already noted, archival storage of documents is understood as storage in the state or municipal archive, as well as storage in the organization's archive. An organization that is required by Russian law to submit documents to the state or municipal archive is called a "source of acquisition of the state or municipal archive". Such an organization is determined on the basis of the following principles: historicism, consistency, integrity, Federal structure of the Russian Federation and considers the following criteria (Росархив No 24, 2020):

- form of ownership (private, state, municipal and other forms of ownership);
- location (residence) of a legal entity or individual;
- types of documents or media;
- the importance of the activities of organizations, public associations and citizens in the political life, socio-economic development of the state and society;

The principles and criteria for selecting other organizations as sources of acquisition of state and municipal archives are specified in the *Methodological recommendations "Identification of organizations-sources of acquisition of state and municipal archives"* (Росархив No 6/2226-Н, 2012). These should be organizations that are leading in a particular industry, field of activity, or their sets of documents reflect the profile functions. This considers:

- special role of the organization (scale of activity; novelty of activity; participation in international, state, regional programs; extreme working conditions; merits-awards, awards, public recognition; stability of existence, etc. , as well as historical continuity of receiving its documents in the archive);
- significance of the organization among other organizations in the area of acquisition of the state and municipal archives, including city-forming organizations and organizations that are most typical for this territory;
- continuity of the activity profile of the predecessor state organization (if any);
- Multidisciplinarity of activity;
- founders;
- whether the organization is an association of organizations (corporations, associations, etc.);
- procedures of records management; applying a clear procedure for removing the "trade secret" label from the records;
- for public associations, the following factors are also considered: popularity among the population; number of members; completeness of documentation of activities.

There are two groups of organizations that transfer records for permanent archival storage to state and municipal archives. The division into groups is carried out according to the form of reception: full reception and selective reception (divided into group and specific). Full reception organizations transfer a full set of documents of permanent storage period to the state and municipal archives after the appraisal. Organizations of selective reception group transfer for storage to state and municipal archives a full set of documents of permanent storage from particular organizations of the entire group. Organizations of specific selective reception transfer only certain types of documents of permanent storage period for storage in state and municipal archives.

The number of samples (organizations or documents) is determined by each archive considering: the number and uniformity of organizations of a certain type; the value and uniformity of certain types of documents.

### 1.5 Criteria for appraisal in various documentation systems

At the organization level, the key criteria for determining whether a record should be archived and stored permanently are its organizational, legal, and informational significance of the record -its relation to the main activity of the organization. At the same time, various documentation systems are distinguished, which are divided by functional and industry characteristics (Митяев, 1959). Management (administration) documentation that characterizes the organization's management system and is fairly typical for most organizations is grouped by functional feature: financial, contractual, accounting, personnel documentation systems, and so on). Industry documentation is specific to the activities that the organization is engaged in: banking, scientific and technical, transport, customs, insurance, and so on.

Additional criteria are defined for individual documentation systems. So as part of the management documentation, personnel documentation is allocated. According to *Federal law No. 125 "On archival Affairs in the Russian Federation"* personnel records, created before January 1, 2003 are kept for 75 years, and those completed after January 1, 2003-for 50 years (Федеральный закон No 125-ФЗ, 2004). Upon expiry of the specified storage periods, personnel records created in the organization - sources of acquisition of state and municipal archives are subject to appraisal. When carrying out the appraisal of personnel records, the following guidelines is used: *"The appraisal and selection of personnel records to the Archive Fund of the Russian Federation"* (Росархив, ВНИИДАД, 2014). There are two groups of criteria: general and additional.

The general criteria are:

- the role of a person (employee) in a particular organization (management positions) that have awards, degrees, and titles;
- the role of the organization in the specific territory (functional purpose) in which the person works;
- chronological period (time when documents were created) that is significant for a specific organization and for the country;
- Peculiar features of the territory where the organization is located – the place of work of a particular person;
- significance of information (employee information, organization information);
- the authenticity of the document;
- repetition of information about personnel documents in other documents (accounting, reporting, administrative, etc.);
- type of document;

- physical and technical condition of the document carrier (paper, electronic);
- security of the organization's documents.

Additional criteria are whether the employee is a participant of the World War II and other wars and armed conflicts, participation in liquidation of consequences of natural and man-made disasters, is a member of a professional dynasty, belongs to a creative profession, was the employee punished/ rehabilitated; take into account the experience (in general and in organizations in specific, the most important for her periods), the role and record of the employee in public and other spheres of activity outside the organization; whether the employee has a permanent or temporary registration in a specific territory, as well as what is the value of general information, completeness of the set of records, number of records, availability of copies of records (inside and outside the organization).

For scientific and technical (research and development) documentation, the type of document is recognized as a criterion of selection for archival storage. This is reflected in the *List of scientific and technical documentation to be received by the state archives of Russia* (Росархив, 1997). This list regulates the composition of the main types and varieties of scientific and technical documentation of the state part of the Archive Fund of the Russian Federation, subject to reception to the state archives from institutions, organizations, industrial enterprises and higher educational institutions with different forms of ownership. The list contains 154 articles grouped into five sections: research documentation, design documentation, technological documentation, and patent documentation. Some articles have clarifications in the form of sub-paragraphs. Pay attention that unlike the lists discussed below, this list does not specify the retention period for records. It applies to organizations that are sources of acquisition of state and municipal archives. Other organizations can transfer such documentation to state and municipal archives voluntarily on the basis of a contract. This method of selection is the easiest and most accessible from the point of view of coding and implementation in software applications, both in the case of a digital document format, and in the case of a digitized document and tracked in a content management system.

However, the type of document is not the main condition for selecting such documentation. The methodology of appraisal of scientific, technical, industrial, design and construction documents, allows the identification of problems and research topics, projects, goods of industrial production, technological processes, urban planning, land use and forest management projects, capital projects and automated systems and databases, software systems, etc. that are meaningful. The results of this work is a list of topics, projects and objects, which must be approved by the Expert and Audit Commission of the Federal State Archive, or Expert and Audit Commission of the Authorized Body of the Executive Authority of the Russian Federation for Archives depending on the level of themes, projects and facilities (Турищев, 1986).

## 2 RECORDS CLASSIFICATION LIST WITH RETENTION TERMS

The record appraisal and compliance with the terms of document storage established by law is a labor-intensive activity. The experience and expertise of the record appraisal and legal requirements to the record retention periods is set out in a records classification list with retention terms. The most general and relevant at the moment is the *The Classification list of administrative archival record types created in the activities of state bodies, local self-government bodies and organizations, indicating the terms of their storage* (Росархив No 236, 2019). This list includes the 657 articles, divided into 12 sections: management, planning, funding and lending activities, accounting and re-



porting, international cooperation, information activities, labour relations, staffing, logistics activities, administrative support activities, security regime, civil defense and protection from emergency situations, social issues. Each article contains the name of the type(s) of documents and their common content. For each article, the retention period of records is indicated. Compliance with the terms of record storage specified in this list is mandatory for all organizations.

The list is updated periodically. The previous list (Росархив No 558, 2010) contained 1003 articles, which indicates that the requirements for storing records from the state are becoming softer, and the risks associated with errors in the record appraisal in the organization has shifted to the organizations themselves. Accordingly, the role of this activity in the records management of organizations is increasing.

Records classification list with retention terms for individual documentation systems are developed too. For example, for scientific, technical and production documentation, there is the *Scientific, technical and production records classification list with retention terms* (Минкультуры России No 1182, 2007). The List contains 1990 articles divided into 13 sections: research activities, development of technological processes, design of industrial products, design of real estate objects, development, accounting and protection of intellectual property objects, accounting and monitoring of natural resources, construction, reconstruction, restoration and repair of real estate objects, production, technical supervision of industrial safety of production facilities and installations, product quality and safety; technical regulation, certification, metrological support of production; environmental protection and automated systems.

This records classification lists with retention terms are applicable to all organizations.

Separate records classification list with retention terms are developed for the documentation of individual industries and agencies, which contain record types specific to these industries and agencies. Here are two lists as an example.

*The Classification list of record types of Federal courts of General jurisdiction with an indication of retention periods, approved by Order of the Judicial Department at the Supreme Court of the Russian Federation* (Судебный департамент при Верховном Суде No 112, 2011) contains 596 articles divided into 17 sections, including both administrative records and records reflecting the activities of courts of General jurisdiction.

*The Classification list of record types created in the activities of the Federal customs service, subordinate customs authorities and organizations under the jurisdiction of the Federal customs service, indicating the storage period* (Федеральная таможенная служба России No 990, 2019) contains 1751 articles, which are divided into 22 sections, including both administrative records and records of customs activities. 9 articles of this list include databases, and 31 articles define digital records of permanent storage period (for records of short-term storage periods the digital format is much more common).

For the organization of work on developing of records classification lists with retention terms, *Methodological recommendations on developing of records, created in the activities of Federal Executive bodies, as well as in the activities of organizations under their jurisdiction, classification lists with retention terms (2011)* are developed. The process of development of records classification list with retention terms for executive bodies and industries includes:

- comparison of the organization's records types with records types given in the lists of typical records and identification of features. If such features are few, a list can be prepared containing only records on functions in this field of activity;

- analysis of executive bodies or industry records, including analysis of the regulatory framework;
- analysis of the records classification list with retention terms of the parent organization, subordinate organizations, and industry organizations;
- study of the flows of information (records) within each organization, through the system of interconnected organizations and between organizations.
- analysis of the procedure for documenting the functions of the organizations;
- study of the chains of interrelated records for each function.

As a result of the study, an array of documents for each organization is formed, which is maintained in electronic form.

The classification lists with retention terms are included into a centralized database, which is used for methodological support of the work of expert commissions when updating classification lists with retention terms and defining retention terms.

The described activity of developing such lists is directly related to the record appraisal and represents the essence of the work of experts. A particularly complex and responsible component of the record appraisal is determining the retention period of records. The decision to set storage periods in organizations is always made by authorized persons who are members of the expert commission.

Lists of records types with retention periods can also be developed by organization or a group of organizations.

All of the above lists of documents with retention periods contain provisions for direct regulation and non-direct regulation of document retention periods.

### **3. ORGANIZATION OF RECORDS APPRAISAL FOR THE ARCHIVAL FUND OF THE RUSSIAN FEDERATION**

The existence of criteria for the records appraisal does not allow unambiguous selection of documents for archival storage or for archival storage on separate conditions (for special-value documents, unique documents, electronic copies and electronic duplicates of documents, documents obtained as a result of digitization or replacement scanning, etc.). This decision is made by commissions consisting of officials and representatives of the scientific and business communities. There are three levels of commission in the Archive Fund of the Russian Federation. The first level is the Central Expert and Audit Commission - an advisory body operating under the Federal Archival Agency of the Russian Federation (Росархив No 173, 2019). This Commission coordinates the main methodological aspects of the records appraisal at the state level: criteria for the appraisal, lists of documents with retention periods, both general and agencies', lists of organizations that are sources of acquisition of Federal state archives.

The next level is represented by expert and audit commissions of sixteen Federal state archives (Росархив No 62, 2018) and expert verification commissions of authorized Executive authorities on the subjects of the Russian Federation for archives (Росархив No 63, 2018).

This level is a link between the Central Expert and Audit Commission operating under 'Rosarkhiv' and the expert commissions of organizations that are sources of state and municipal archives acquisition. These commissions, in addition to the function of monitoring the activities of archives, carry out an examination of the methodological work of archives and organizations to compile lists of projects/objects, problems/topics, scientific and technical documentation of subject which are to be transferred for permanent storage;

evaluation of document inventories proposed by citizens for acquisition by archives; lists of organizations which are sources of acquisition, lists of citizens who act as sources of acquisition of state archives of the subject of the Russian Federation and municipal archives. It also approves the results of record appraisal: inventory of permanent storage cases, inventory of electronic cases, documents (or documents on electronic media) of permanent storage, inventory of photo documents, film documents, permanent storage of phonodocuments, inventory of particularly valuable cases and documents.

All record classification list with retention terms specified in section 2 of this article contain:

- the provisions of strict regulation of time limits for retaining documents when a document relating to a particular field, specify the period within which the document must be stored;
- the position of a soft regulation of period of records storage after the retention period, indicates that the decision on whether the record to be destroyed or the retention period be extended is made by the Expert and Audit Commission which the organization is subject to.

#### **4 ORGANIZATION OF RECORDS APPRAISAL AT THE LEVEL OF THE ORGANIZATION/ GROUP OF ORGANIZATIONS**

Organizations that are sources of acquisition of state and municipal archives must have an expert commission to conduct an appraisal. The central expert commissions (Росархив No. 31, 2019) work in Federal state bodies, and the expert commissions work in other organizations (Росархив No. 43, 2018). A special category includes scientific organizations that are designated by the Government of the Russian Federation and have an Expert and Audit Commission, since, as a rule, these organizations have archives in their own structure (Росархив No. 61, 2018).

Because of the greater connection with state and municipal archive organizations – sources of acquisition for state and municipal archives, the records appraisal at such organizations relates to the state appraisal methodology in a more systematic way. Decisions of expert commissions of such organizations must be approved by the relevant expert and audit commission.

One of the functions of the expert commission of the organizations is the development of proposals on determination, specifying the storage periods of the documents referred to (provided for) records classification list with retention term for their subsequent submission for approval of the Central Expert and Audit Commission that is directly involved in the development of principles and criteria of records appraisal.

Another function of the expert commission, which is directly related to records appraisal is the participation in the development folder organization register, a working copy of which is formed at the beginning of the year, and the year-end is made actual. Organization folder register is a classification scheme of records of an organization with an indication of the storage period for each item, which are determined by records classification list with retention terms, if such documents are specified in them, or are determined by the expert commission independently. Need to focus on the fact that the terms archival storage of documents are defined in the Organization folder register before the document is created, the period of archival storage does not refer to a specific document or record, it refers to the category information that must be stored. For records whose retention periods are not regulated by the state, organizations need to develop their own system of criteria and a mechanism for applying this system.

## 5 CHALLENGES OF DIGITAL TRANSFORMATION OF RECORDS APPRAISAL

For the first component of the records appraisal - identifying, defining and clarifying the criteria for the appraisal - in order to identify new significant topics and trends at the national level, methods of frequency analysis are applied with subsequent expert selection of topics and trends by specialists. The work of experts can be organized on the digital platform of the archive industry, which allows you to solve a wide range of tasks (Лобанова, Турин 2018). The mechanism of interaction of experts on the digital platform will generate a broader set of lists of prominent individuals, key themes, areas, objects, and to organize the identification of new digital documents (posts, blogs, vlogs, data bases, electronic registers and others), which have the potential to be electronically archived, their characteristics and requirements (e.g. information system /social network source).

The implementation of the second component of the record appraisal - determining the degree of compliance of the document with the established criteria of value - can also not be fully performed by software, including artificial intelligence, but having clearly defined criteria for identifying and constructing algorithms for classifying information as potentially worthy of digital archival storage, makes it possible to use knowledge engineering for pre-selection with subsequent decision - making by the commission.

In organizations, if the organization folder register is created correctly, records of permanent storage folders can be transferred to the electronic archiving system by the mechanism of algorithmic regulation. Similarly, records may be selected that require expert evaluation, or must be stored for other periods, or must be destroyed.

The main purpose of archiving the organization's documents is to ensure the organization's leadership in its field of activity, sustainable development and risk minimization. A fairly extensive Records classification list with retention terms (Росархив No. 236, 2019), the storage period of which is regulated by the state (when compiling the list, a deep and comprehensive analysis of laws and regulations is carried out) in most cases saves organizations from regulatory risks, as well as the cost of assessing the risks associated with storage of documents.

At the same time, organizations create a large number of records that are often not even included in the organization's document system or in the organization's content management system, but exist as files in the file system on the organization's information infrastructure servers or employees' personal computers. These documents-files often contain strategically and operationally important information for the sustainable operation of the organization, which may not only be not transferred to archive storage in the future but may also be lost when an employee changes or for other reasons. Identification of such information-topics, projects, key tasks, as well as software systems that generate and / or store files containing key information-is the main task of the first component of the records appraisal of the organization's documented information. Another task is to determine the types of documents or file formats that contain the most complete information. This work should be more formalized, systematic and regular at the level of the organization's expert commission. If criteria and types of documents are defined, it is necessary to immediately create requirements for the registration of such information, and its metadata should contain the retention period. In this case, it is possible to develop a software algorithm that forms a link to this record for creating inventories of permanent storage documents, other storage periods. If this is not done beforehand, then, a significant part of such records is stored outside of electronic records management systems and a software is required that can search and identify records in the organization's electronic repositories that meet the established criteria. This is much more time-consuming.

The possibility of converting paper documents into an electronic duplicate form or electronic double without losing legal and historical significance has not yet been regulated at the legislative level. Currently, replacement scanning in organizations is only possible for those documents that have already passed the standard storage period (i.e., not for permanent storage records), but the organization considers it appropriate to save the information for work. And this decision to digitize such documents is also made based on the results of the appraisal.

The digital transformation of records appraisal will allow us to develop more relevant criteria and conditions for selecting information for electronic archival storage and improve procedures and mechanisms at all levels.

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