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THE CONTINUUM DOCUMENT-TO-RECORD AND ITS IMPACT IN MANAGING DOCUMENTS

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Abstract:

The most widespread piece of unstructured content in the corporate world is the electronic document. Electronic documents are everywhere, on network drives, as attachments in emails, in content and document management systems, etc. Yet while corporate and archive records benefit from a large body of knowledge, academically and procedurally, the documents are vaguely defined, poorly understood, and badly managed or more often, not at all.

This paper will demonstrate that there is no strict separation between the documents and records but a continuum between the ephemeral document and the trustworthy record. The outcome of the recognition of the continuum document-to-record is a new approach in the management of documents.

Key words:

continuum, document, record, recordness, quasi-records

Izvleček:

Model kontinuitete zapisov in njegov vpliv na upravljanje z dokumenti in zapisi

Najbolj razširjene nestrukturirane vsebine v poslovnem svetu so elektronski dokumenti. Najdemo jih povsod – na omrežnih pogonih, kot priloge v e-pošti, v sistemih za upravljanje vsebin in dokumentov itd. Čeprav poslovni in arhivski zapisi izhajajo iz obsežnega znanja, tako akademskega kot postopkovnega, so elektronski dokumenti slabo opredeljeni in razumljeni, z njimi se upravlja pomanjkljivo ali – še pogosteje – sploh ne.

Prispevek bo pokazal, da ni stroge ločitve med dokumenti in arhivskimi zapisi, temveč obstaja več stanj na črti kontinuitete od kratkotrajnega (efemernega) dokumenta do zaupanja vrednega arhivskega zapisa. Na podlagi ugotovitve obstoja te kontinuitete nastaja nov pristop k upravljanju z zapisi.

Ključne besede:

kontinuiteta, dokument, zapis, zapisljivost, kvazizapisi

1 Introduction

Ever since the famous IDC White paper called *The High Cost of not Finding Information* (Feldman, 2001) claimed that employees lost 15% to 35% percent of their working time searching for information in digital information systems, a plethora of reports appeared regularly, warning companies and organisations about the corporate information chaos, the costs of not finding documents when needed, the time wasted in unsuccessful searches or reading obsolete documents. Most of these alarming reports came from large Consultancies like McKinsey Global Institute (Michael Chui et al., 2012) who have services to sell, or from Vendors with software on offer. These reports have never been challenged, in terms of numbers and methodology. Suffice to say that all are based on questionnaires sent to a rather small number of companies and the conclusions are extrapolated to whole industries.

The solution proposed for solving the information chaos was always the newest piece of technology: Document Management Systems (DMS), Enterprise Content Management (ECM), Web Content Management platforms (WCM), Cloud Services, Artificial Intelligence (AI) and more. All have been advertised as problem solving tools, yet in the last twenty years, none of the technical solutions proposed have solved the information problems mentioned above. New technologies have created additional problems without solving the old ones.

What went wrong? Firstly and foremostly, was, and still is, the attempt to solve a human-made problem with (imperfect) technology. Secondly, lack of findability and information chaos are treated as discrete problems with distinct solutions, although both are the end-result of the mismanagement of unstructured data in electronic information systems.

Most unstructured data exists in the form of documents. Electronic documents are everywhere, on network drives, in email applications, in information and document management systems, etc. Yet, while corporate records, a rather small subset of the document domain, are controlled and sustained over the whole lifecycle, ordinary documents are vaguely defined, poorly understood, and badly or not managed at all. Records benefit from a large body of archival knowledge and management practice while documents are supposed not to be controlled or managed.

This article suggests that the root cause of document mismanagement is the poor definition of the document and the misunderstanding of the relationship between documents and records. These two challenges can be addressed by reformulating the relationship between the document and the record and applying it to the management of documents. The first step in reformulating the relationship between the two entities consists in defining the “document”. The document has been subject of research in Archival and Librarian sciences yet the definition is still not clear cut. This is presented in Section 2.

In Section 3 discusses the relationship between document and record and why the current relationship, as promoted by Archival Science, is preventing the effective management of the documents.

Section 4 proposes a new definition for documents by using records management knowledge as a starting base. Finally, a short Conclusion at section 5 followed a by the Glossary, a Bibliography and a Summary complete this article.

2 The Vanishing Document

2.1 Information instead of Document (and Records)

As Kenneth Thibodeau observed, the Archival Theory has serious issues in how archival and records management terms are treated. “*They include vagueness in articulation, inconsistency in definitions and descriptions, illogicality in arguments, conflation of theory and practice, organization on the basis of typology, and limited formalization*” (Thibodeau 2022) . Same can be said about Information Management. It is true that creating a glossary is a complicated endeavour, stemming from the fact that no definition is independent but relies on definition of another terms (Yeo 2007).

However, the newest trend in Information Management and Records Management is not to improve existing definitions but to cancel terms and replace them with more fashionable ones. Records Management itself is considered too old-fashioned and narrow in scope, so many Information professionals want it replaced with Information Governance (Hoke 2011). Information Governance sounds better than Information Management apparently.

A visible example of this cancelling trend is how the term *document* is treated in ISO and IEC standards and slowly replaced with the term Information. While for records and their management many ISO/IEC standards¹ have been published, there is no specific ISO standard for document management. The only Document Management standard available is the 20+ year old IEC standard 82045-1:2001. This standard defines document as: *fixed and structured amount of information that can be managed and interchanged as a unit between users and systems*. This is plainly wrong: a document is neither fixed, nor structured information. The definition is not even original; it was taken from a standard for technical structuring of information and documentation called IEC 61346-1: 1996 (withdrawn). Another standard from the same era replaced the term document with *document-based information* and record with *authentic electronic document-based information* (ISO/TR 18492: 2005). So, the alleged difference is that the document, unlike the record, may be not authentic.

The ISO/IEC standards for records management show the same trend. The first version of the standard ISO 15489 (2001) has the term “document” defined as *recorded information or object which can be treated as a unit*. Same approach in the ISO standard known as ISO 30300 Series-Management systems for records. The first version of 2011 defines the document as recorded information or object which can be treated as a unit, exactly like the first version of ISO 15489. Because the standard was setting the fundamentals and vocabulary for management systems for records, the definition was continued in other ISO/IEC standards for records until the ISO 15486 was revised.

The revised standard (ISO 15489-1: 2016) simply discarded the term document. Although in the text it used the word document as “information in the form of document” (5.1) and maintained for itself the word document, the definition of document was nowhere to be found in the Terms and definitions of the revised standard.

The same approach is present in the 2020 revised version of ISO 30300. The terms document was discarded and replaced with “documented information” at 3.2.5, with the definition: *[information](#) (3.2.7) required to be controlled and maintained by an [organization](#)*

¹ A list of records management standards was published by the Archives of Manitoba, Canada as “Recordkeeping Standards” https://www.gov.mb.ca/chc/archives/gro/recordkeeping/docs/recordkeeping_standards_fact_sheet.pdf.

(3.1.19) and the medium on which it is contained. But according to Note 1 inserted below the definition, documented information is not a document, is a type of record. In this definition, the document is amalgamated with documentation and the result said to be a type of record because it is ...information. And a further note 4 informs that "This term is part of the high-level structure's core terms and definitions for management systems stated in ISO/IEC Directives, Part 1:2019, Annex L (normative). This specific Annex is dedicated to "Selection criteria for people leading the technical work"².

The cancelling does not end there. The term record is erased too. In the standard for Controlled Management Systems (ISO 9001- 2015), the terms document and record are eliminated and replaced with the term *documented information*, defined as *information, meaningful data, where data are facts about an object, that an organisation is required to control and maintain, and the medium on which it is contained*. The technical committee ISO/TC 176/SC 2 made a deliberate effort to remove the words document and record and replace them with the umbrella term "documented information", which covers everything information in whatever support. Yet, it could not get away in full from the terms document and record. Clause 7 of the standard mentions documented information that should be maintained is defined in the previous version of 2008 as documents, and documented information that should be retained, as records.

The approach of erasing the terms document and record is also taken by the Information Governance ISO 24143:2022 standard, where both terms are missing and replaced with *information asset*, defined (3.1.4) as information that has value to the relevant stakeholder. The standard does not mention who are the relevant stakeholders.

2.2 Data instead of Documents (and Records)

The cancelation of the document and record terms came not only from ISO/IEC standards but also from a piece of European legislation, the GDPR (The General Data Protection Regulation 2018). It can be argued that the disappearance of the term document and its replacement with "data" in various ISO/IEC standards is the side effect of the GDPR. As Marie-Anne Chabin observed, in all 99 articles of the GDPR, the word document no longer designates a documenting object containing personal data. The question that archivists should ask would be: if the document no longer exists and is replaced with data, what exactly will archive the archivists of tomorrow (M.-A. Chabin 2021)?

The disappearance of the term document is also visible in the ISO 27000 group of Information Security Management Systems, which has been linked to the GDPR as a compliance tool. The definitions of the document and record are non-existent in ISO/IEC 27000 but the term *documented information* is included, and defined as in the ISO 9001: 2015. The vanishing of both document and record terms was accompanied by the rise of Information Security and Cybersecurity experts as advisors on matter pertaining records management of personal data, move endorsed by the IAPP (International Association of Privacy Professionals). The IAPP Magazine went as far as to publish an article in which it stated that IT people and Data Protection officers should manage corporate retention and deletion. Records Managers and Archivists were not even mentioned. The article cited a corporate "data retention policy", yet the data to be deleted turned to be documents and records³. The article raised a lot of concerns from record management professionals, one response being an LinkedIn article titled: IAPP, please

² More: https://www.iso.org/sites/directives/current/part1/index.xhtml#_idTextAnchor502.

³ More on Data deletion Day: [Data Deletion Day \(iapp.org\)](https://www.iapp.org/).

don't erase Records Managers and Archivists! (Stefan, IAPP, please don't erase Records Managers and Archivists! 2018).

2.3 Documents instead of Records

Foreign archival literature frequently is, as Schellenberg once said, unintelligible unless the conditions under which the public records have been created and maintained are fully understood. In other words, historical conditions, language, cultural and bureaucratic traditions shaped the archival concepts (Ketelaar 1997). As a result, terminology is difficult to translate from one language to another for two different reasons. One is the absence of concepts and terms either in the source or in target language, the other being the different meanings the same word has in different languages. Records managers and archivists who worked in international organisations or took part in the translations of records management international standards are well aware of the translation problems presented by terminology. To solve the problem of terminology, the International Council on Archives (ICA) created a terminology database led by Luciana Duranti and hosted by the Centre for the International Study of Contemporary Records and Archives CISCRA⁴

One of the most difficult terms to translate in other languages is that of *record*. The word “record” has a precise meaning in English. However, the term record is understood differently by IT people, archivists and librarians. To complicate the matters, the word document is occasionally used to mean record.

As many languages have no specific word for record, the word document is used to mean record. The “document engageant” was proposed for corporate record by Marie-Anne Chabin (M. Chabin 2010). Other terms like *documents d'archive* and *documents archivés* (documents that have been archived) are also used. The word document still remains the main word for record in French and most European languages, including in Acts and other legislation of the European Union. A search in EUR-Lex⁵ (the collection of European Union legislation) for the word “record” gave *recordings, health records, criminal records etc.*, but no mention of record as an act or evidence holding item. The word document with the meaning of record is used at the European Commission in the e-Domec toolkit (Electronic Archiving and Document Management at the European Commission). Document” remains the word used for both documents and records.

Other European languages also use the word document with the meaning of records as they do not have word with the exact meaning of record..

⁴ More: <http://www.ciscra.org/mat/>.

⁵ More: <https://eur-lex.europa.eu/homepage.html>.

3 Defining the document

After witnessing the disappearance of the term document in the last 15 years and the confusion with the record, is any wonder that the definition is not clear and commonly accepted? So, what are documents and why they matter?

3.1 Document as a noun

According to the Dictionary of Archival Terms created by the Society of American Archivists (SAA)⁶, the document can be defined as:

1. Any written or printed work; a writing.
2. Information or data fixed in some media.
3. Information or data fixed in some media, but which is not part of the official record; a nonrecord.
4. A written or printed work of a legal or official nature that may be used as evidence or proof; a record.

The definition 3 and 4 are contradictory (nonrecord versus record) but they confirm the usage of the word document instead of record, as stated at section 2.3. Also, information and data seem to be interchangeable but they are not. The Notes following the definitions are an interesting read.

At the National Archives of UK, the document was defined as: *Recorded information, stored on a physical medium, which can be interpreted in an application context and treated as a unit.* Note: A document may be on paper, microform, magnetic or another electronic medium. It may include any combination of text, data, graphics, sound, moving pictures or any other forms of information. A single document may consist of one or several components (Requirements for Electronic Records Management Systems, 3. Reference Document, 2002).

Moreq2 standard used almost verbatim this definition but added another Note: documents differ from records in several important respects. "MoReq2 uses the term document to mean information that has not been captured as a record, i.e., classified, registered and locked against change. The word "recorded" in the definition does not imply the characteristics of a *record*. However, note that some documents become *records*". Moreq2010 is following the newer trend by omitting the term document in the Glossary of Terms⁷

Other definitions of the term follow more or less the definitions above. Yet for most people, the document is a text conveying information on a support although nowadays an audio or video file is treated as a document. Also, document can be a physical object if observing it provides information, as shown by Suzanne Briet. She also mentioned that a document is important because it provides evidence (Briet 1951). As a librarian and documentalist, Briet was stressing the importance of documents as testimony, not only as textual information. A document that serves as evidence is a *record*, but the French language doesn't have a specific word for record so it uses the word document, as shown at 2.3. It can be argued that Briet had in mind a record, not an ordinary document for documents with evidential role.

⁶ More: <https://dictionary.archivists.org/entry/document.html>.

⁷ More: https://moreq.info/files/moreq2010_vol1_v1_1_en.pdf.

3.2 Document as opposed to Record

Some of the definitions of document mentioned at section 3.1 put an emphasis on the opposition between the record and the document. The relationship between the document and record is seen as a Boolean exclusive disjunction namely either one, but not both, nor none. Being a record excludes being a document; the relation between document and record could being mutually exclusive, as shown in the Fig.1 (Stefan, Introduction to Records Management 2014):

Document	Record
<ul style="list-style-type: none"> • Content and Metadata: VARIABLE ✓ Content editable/changeable ✓ Versioning ✓ Metadata can be altered • Lifecycle not managed • Not required to have specific properties • May provide information role but not evidence • Not retained beyond its usefulness • Can be destroyed any time 	<ul style="list-style-type: none"> • Content and Metadata: FIXED ✓ Content is final/aproved ✓ Cannot be altered or edited ✓ Metadata fixed • Whole lifecycle managed • Required to be authentic, complete, reliable and useable • Main role as evidence • Maintained according to a specific retention schedule • Cannot be destroyed unless as part of controlled destruction

Figure 1: Document versus Record

But is this Boolean relation true?

Many definitions of the record indicate that records can start as documents then later on, captured or declared as records. In this evolutionary view, the document is a precursor of the record, an entity that has the potential to become a record but not always. As a matter of fact, most documents remain in document status, never being formally declared or tacitly recognised as records. Potentially, all created document can become records.

The transition from document status to record status is represented in the Figure 2 (JISC InfoNet 2006):

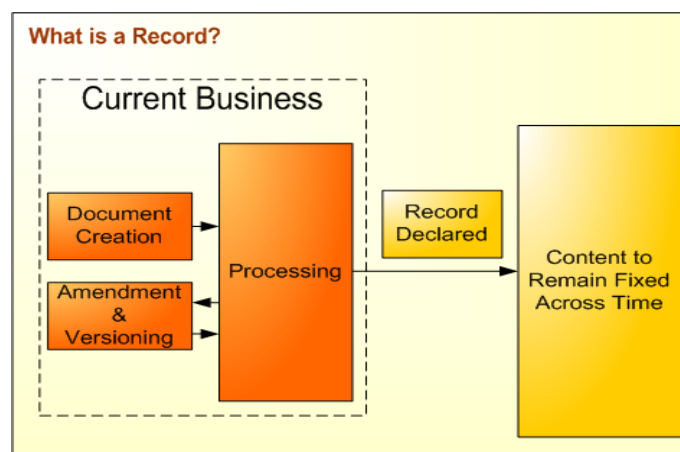


Figure 2 What is a Record?

3.3 The Three Models of Records Management

To understand the relation between document and record, it is important to consider the records management models in use in corporate and state archives. In records management there are three major models, each one developed on a different continent and trying to solve local archiving issues.

The *Lifecycle model* proposed by Theodore Schellenberg in the USA, in the late 50s⁸, remains the major record management model in the Anglo-Saxon world. It is built around the record and the concept of lifecycle. Records have a life span which starts with creation or capturing, continues with use and circulation and ends with destruction or permanent archiving). It is dynamic evolutionary model, in which records unfold in time, The time is represented as a linear axis, with a beginning and an end, and with time points called events, which change the status of records and trigger actions on them.

In Europe, the bureaucratic traditions of various countries led to a different model, The *Three Ages of Archives model* was developed by the French archivist Yves Pérotin in 1962. This model is static and centred around archives (as collection of records), on a timeline based on usefulness (active, semi-active and inactive archives). Perotin's three ages are the "current archives", "intermediate archives" and "final archives" (archives courantes, intermédiaires et définitives⁹). In organisations, the current archives are located within the business areas, the intermediate archive is usually the corporate archive, while the final archives are the records selected for permanent preservation and transferred to historical archives (national or local). This model is used by archives in France and other European countries, including Romania (Popovici 2013).

If the Lifecycle and the Three Ages of Archives models represent the time as linear and segmented in events or ages, the Records Continuum Model brings a different approach to managing records. The Records Continuum Model was developed at Monash University in Australia in the 1990s by Frank Upward and his colleagues as a new way to manage records. While space is non-existent in the previous models, the Records Continuum introduces a circular space with four dimensions (create, capture, organise and pluralise), organised on four axes representing Evidentiality, Transactionality, Recordkeeping and Identity. The dimension Time is seen as circular space with no end stage for records, just a perpetual transformation, a never-ending movement of records in various dimensions. The circular time leads to abolition of the destruction dimension. There is no destruction/deletion of records dimension in the Records Continuum model.

The term "continuum" is itself subject of confusion, as Viviane Frings-Hessami observed: "The word continuum may be interpreted to imply a continuity, a sequence of actions that follow one another over time, following the Oxford Dictionary definition of the word: *A continuous sequence or dimension in which adjacent points are not noticeably different but the extremes are clearly distinct* (Oxford Dictionary n.d.). The word *continuum* has a similar meaning in French". By contrast in the Australian version of the Records Continuum, the term continuum is used to indicate multidimensional recursive processes through time and space (Frings-Hessami 2021). In this paper, the term *continuum* is used with its accepted meaning of continuity or continuous sequence, as per Oxford dictionary.

⁸ Th. Schellenberg, *Modern Archives*, Chicago, 1956.

⁹ Manuel d'archivistique, Paris, 1970.

4 The Continuum from Document to Record

4.1 Documents in the corporate world

All three records management models start with records being captured at a certain point in time or space. Occasionally, the document is mentioned as a predecessor of the record but that is the only time when is mentioned. If the academics and archivists of historical archives can royally ignore the document or pretend it does not exist, as seen at section 2, in engineering, science, manufacturing and various industries, the document and its management (as documentation) is considered critical. So critical that is included in what is known as Controlled documents.

Documents subject to corporate control are known as controlled documents, quality documents, working documents, etc. They are controlled and managed according to their established lifecycle, as if they were records, even if they never achieve the status of a declared record.

Industry needs documents containing information that is precise, correct, appropriate and delivered at the right moment. By example, the professional associations of information and records managers in the American nuclear industry (NIRMA) distinguishes between controlled documents and records. Controlled documents are editable, subject to change and configuration control and, in certain circumstances, can be defined as records. Records have fixed content, are indexed and located in secured repositories Document control is a complex process, as shown below (NIRMA 2010):

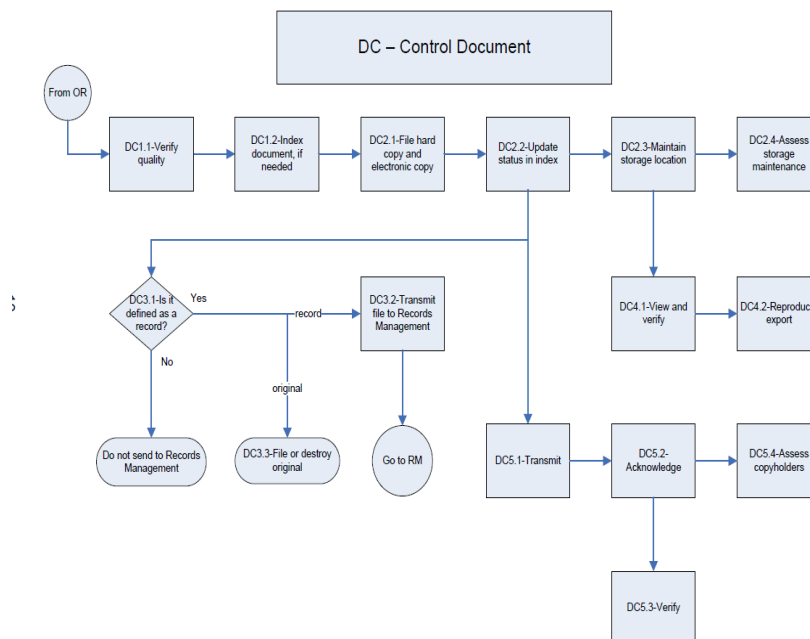


Figure 3 Document Control according to NIRMA

The space industry creates a large number of documents that need to be categorised, managed and delivered to all parties in the project at the right moment. Mission-critical versions are tracked to ensure that participants have the latest approved version. Documents are stored and archived in secured repositories. In this industry, Document management is part of the Configuration management.

Not surprisingly, the archival model known as OAIS Reference model (ISO 14721:2012) has been created by the space industry, not Academia. Same can be said by the Document Management standard mentioned at 2.1. It was created by the IEC (the International Electrotechnical Commission) and has never been reviewed.

4.2 The Document-to-Record Continuum

The control and management of documents implies that the relation between documents and records is not a Boolean one (see 3.2) but a relation of continuity. There is no strict separation between the documents and records but a continuum of states between the ephemeral document and the trustworthy record. This continuum document-to-record is independent and not connected to the Records Continuum Model described at 3.3.

Not all corporate documents become fully declared records, most of them will remain as completed documents only. These finalised documents have a certain amount of recordness, namely they meet some of the requirements to be a record as per ISO 15489, but not in full. As highlighted by the work of Inter-Pares project: “the requirements for authenticity are cumulative: the higher the number of satisfied requirements, and the greater the degree to which an individual requirement has been satisfied, the stronger the presumption of authenticity” (Authenticity Task Force 2001). The same could be said to a large extent about the other characteristics of a record: reliability, usability and integrity. They all are cumulative. So *recordness* can be defined as a number of satisfied records requirements, each one to a different degree. Those documents who satisfy the largest number of conditions to the highest degree have the highest recordness. Trustworthy records have the maximum recordness. Documents with a high degree of recordness mean they are records, even if they were not formally declared as records. Documents that contain personal data as per GDPR would be considered as having a high degree of recordness, therefore they are records.

If the recordness is low or medium, documents are either simple documents or quasi-records but not records. They exist in intermediary states on a continuum line that starts with the simple (ephemeral) document and ends with the trustworthy record. Recordness can be represented as a linear axis from zero to a maximum value. A document near the zero on the axis would be an ephemeral document while one near the maxim recordness a trustworthy record. On the recordness line there is a cut point where documents are formally recognised or captured as records. Near the cut off point for records but not getting there is the place of the *quasi-records*, known in corporate world as working documents, controlled documents, quality documents, documentation as per ISO 9001 or under other ad-hoc names. These quasi-records are valuable enough for the business, to justify the management and the control of their lifecycle, but they are not records, as defined by the archival theory, and not managed as records.

Similarly, records are not all equal. Richard Blake mentioned the existence of low value records which should be marked for early disposal (Blake 2005). This implies another criterion for documents and records, their value for the organisation. Value varies in time, hitting a maximum when documents (and records) are finalised or captured and descending slowly to zero after a certain period of time. The variation of value in time has huge implications in the management of records and documents.

The recognition of the quasi-records as documents with records qualities in varying degrees but not enough to qualify as records has implications in the management of both documents and records. It requires the development of a new theoretical model to include the continuum from document to record. The digital continuity starts with the document

creation and ends the final disposition of the record (destruction or permanent preservation in historical archives). This new theoretical approach should close the gaps between the document management and records management domains and allow corporate records managers and archivists to be involved in the management of documents and records of the organisation.

4.3 Management of Controlled Documents (Quasi-records) Principles

The analysis of the three records management models described at section 3.3 shows that only the Lifecycle model is suitable to manage controlled documents in businesses. The Records Continuum is lacking the destruction dimension which is critical for the functioning of a company, as space for storing is limited. The Three Age model probably could work if adapted to the needs of the business but is not by any better than the Lifecycle model currently in use for records. The management of the quasi-records in corporation should be guided by the following principles:

Existence of Controlled Documents

Controlled/Working Documents exists as an intermediary status between simple documents and formally recognised records. They have a certain degree of recordness and value and as such they should be managed and maintained as long they are useful but no longer.

Ownership of Controlled Documents

Each controlled/working document has an Owner who is responsible for the document during its entire lifecycle. The Owner can be either the Author or a Creator (organisation). The Owner works with all parties involved in the creation, development, management, and maintenance of the document according to corporate and professional standards. The Owners can delegate some of responsibilities to other roles.

The Lifecycle of Controlled Documents

Controlled Documents have a lifecycle that should be managed from creation until disposal. The lifecycle of quasi-records has a lifecycle based on the linear time concept, with a start point and an end point. The Controlled document lifecycle starts with document creation or capture into a system (entry point), and ends with their departure from the system, through destruction or migration to other systems (exit point). During the lifecycle, it is subject to various processes and workflows.

Retention Period of Controlled Documents

Controlled Documents should not be retained longer than is necessary as they are not subject to mandatory retention for compliance. The Retention periods of controlled documents should be shorter than the retentions assigned to corporate records, and the only action to be taken at the end of retention period should be the deletion/destruction of the controlled document. If there is a need to archive it for a longer period, it is a record, not a controlled document. This criterion is very important in recognising records from controlled documents.

5 Conclusion

It is important to recognise that the document remains the main carrier of information around the world. Erasing the terms document and the record from Information and Records Management does not help, or solve any problem, but add new one like the confusion between structured and structured data or the confusion of information with data.

Furthermore, it is necessary to develop a new theoretical approach to the management of documents. It would start by recognising the existence of this category of documents, the quasi records known as controlled documents, working documents or quality documents. These quasi-records (controlled documents) are valuable enough for the business, to justify the management and the control of their lifecycle, but they are not records, as defined by the archival theory, and not managed as such. This theoretical approach should be continued with the creation of an ISO/IEC standard for the management of controlled documents. The standard should be based on the document lifecycle. Academia should include the document issues in their research.

Managing the controlled documents according to principles mentioned above would solve one of the biggest corporate problems: the accumulation of huge volumes of obsolete documents in corporate networks and platforms in the last 30+ years of computing. These obsolete, useless documents have been stored and forgotten on large corporate drives as the archival and records management mantra was and still is, documents are not managed, only the records. It is time to start to manage corporate documents according in a proper way, supported by this theoretical approach. No new technology can solve the document overload and chaos, which is a management problem, not a technical one.

6 Glossary of Terms

Axis of recordness: a fixed reference line for the measurement of the amount of record qualities. It takes values from zero to a maximum of recordness

Continuum: a continuous sequence in which adjacent elements are not perceptibly different from each other, but the extremes quite distinct.

Data: A collection of discrete values on a support. Datum, or data item, defines a single value.

Information: Meaning obtained after processing data.

Document: Recorded information on a digital or physical support, which conveys information, and can be treated as a single unit.

Document (controlled, working, quality): documents subject to corporate control due to their corporate value.

Document (simple): document of low value, which becomes obsolete in a short interval of time and are not subject to corporate control.

Quasi-records: Controlled documents who have records qualities but their amount is too low to qualify them, or be recognised as records.

Record: information created, received and maintained as evidence and as an asset by an organization or person, in pursuit of legal obligations or in the transaction of business.

Recordness: a number of satisfied records requirements, each one to a different degree.

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POVZETEK

MODEL KONTINUITETE ZAPISOV IN NJEGOV VPLIV NA UPRAVLJANJE Z DOKUMENTI IN ZAPISI

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Najbolj razširjen element nestrukturirane vsebine v poslovnem svetu je elektronski zapis. Elektronski dokumenti so povsod, na omrežnih diskih, kot priponke v e-pošti, v sistemih za upravljanje vsebine in dokumentov itd. Čeprav poslovni in arhivski zapisi temeljijo na obsežnem znanju, tako akademskem kot postopkovnem, so dokumenti slabo opredeljeni in slabo razumljeni, z njimi se upravlja pomanjkljivo ali – še pogosteje – sploh ne.

Ta članek bo dokazal, da ni stroge ločitve med dokumenti in arhivskimi zapisi, temveč obstaja več stanj na črti kontinuite od kratkotrajnega dokumenta do zaupanja vrednega arhivskega zapisa. Vsi ustvarjeni dokumenti ne bodo postali popolni arhivski zapisi, večina jih bo ostala le dokončan dokument. Ti dokumenti imajo določeno količino značilnosti arhivskega zapisa, saj izpolnjujejo zahteve za arhivski zapis v skladu s standardom ISO 15489, vendar ne v celoti. Kot je opozoril projekt Inter-Pares (2003), so "zahteve za verodostojnost /.../ kumulativne: večje kot je število izpolnjenih zahtev in večja kot je stopnja, do katere je bila izpolnjena posamezna zahteva, močnejša je domneva o verodostojnosti". Enako velja v veliki meri tudi za druge značilnosti arhivskega zapisa: zanesljivost, uporabnost in celovitost. Tako se lahko arhivska vrednost dokumenta določa kot število izpolnjenih zahtev, vsako z različno stopnjo. Dokumenti, ki izpolnjujejo največ pogojev, in to z zelo visoko stopnjo, imajo največjo arhivsko vrednost. Visoka arhivska vrednost pomeni, da so taki dokumenti arhivski zapisi, četudi niso bili formalno razglašeni kot takšni. Za dokumente z visoko stopnjo arhivske vrednosti bi npr. veljali dokumenti, ki vsebujejo osebne podatke v skladu z GDPR.

Če je stopnja arhivske vrednosti nizka ali srednja, so ti dokumenti bodisi preprosti dokumenti bodisi kvazidokumenti, ne pa arhivski zapisi. Obstajajo nekje vmes na črti kontinuitete, ki se začne s kratkotrajnim dokumentom in konča z zaupanja vrednim zapisom (najvišja stopnja arhivske vrednosti). Ti skoraj zapisi ali kvazizapisi so znani v poslovnem svetu kot delovni dokumenti, dokumenti kakovosti oziroma kakovostna dokumentacija v skladu s standardom ISO 9001 ali pod drugimi ad hoc imeni. Kvazizapisi imajo zadostno vrednost za poslovni proces, da upravičujejo upravljanje njihovega življenjskega ciklusa in nadzor nad njim, vendar pa niso zapisi, kakor jih opredeljuje arhivska teorija, in zato tudi ne upravljani kot taki. Ostanjejo nekje združeni in jih ne upravljamo skupaj s preprostimi dokumenti. Avtorica bo predstavila tudi koherenten način za ocenjevanje arhivske vrednosti in upravljanje kvazizapisov.

Rezultat priznanja kontinuitete od dokumenta do zapisa je nov pristop k upravljanju vsebin, dokumentov in zapisov. Vsi bodo upravljani skupaj med celotnim življenjskim ciklusom, na koherenten in enoten način, pa vendar različno glede na njihovo stopnjo arhivske vrednosti.