

**BRAZILIAN UNIVERSITIES AND
THE MANAGEMENT OF
ARCHIVES:
IN SEARCH OF A NEW APPROACH**

**Thesis submitted in accordance with the
requirements of the University of Liverpool for
the degree of Doctor in Philosophy**

by

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ABSTRACT

This study is a critical examination of the archival programmes undertaken at Brazilian universities from a fourfold point of view: a) an analysis of the development of higher education in Brazil; b) an analysis of the Brazilian legislation on records and archives; c) an analysis of the relevant literature; d) an analysis of the management of records at Brazilian universities. The method of research used to study the archival programmes was a survey, and the population considered was the 89 universities affiliated to the Council of Rectors of Brazilian Universities. It was found that several bodies have been created within university structures to carry out archival programmes. Besides university libraries and archival units, other bodies involved with archival activities are "documentation centres", "study centres", "memory centres" and "historical archives". The obvious consequence of this proliferation of archival or archive-related units in the university setting is the duplication of resources. Bearing in mind the prescriptions of the National Law on Archives, the characteristics of Brazilian institutions of higher education, the relevant archival literature, and the results of the survey, some suggestions are made to call the attention of Brazilian universities to a new approach on the management of archives. The basic idea in this approach is to propose the work in partnership between universities and public archival institutions. Suggestions are also made for ways of locating information units in the university structure.

I dedicate this work to

Laura and Sílvia

and

to my family.

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LIST OF UNIVERSITIES SURVEYED

FUEL	FUNDAÇÃO UNIVERSIDADE ESTADUAL DE LONDRINA
FUEM	FUNDAÇÃO UNIVERSIDADE ESTADUAL DE MARINGÁ
FUE-PG	FUNDAÇÃO UNIVERSIDADE ESTADUAL DE PONTA GROSSA
FUFMS	FUNDAÇÃO UNIVERSIDADE FEDERAL DE MATO GROSSO DO SUL
FURB	UNIVERSIDADE REGIONAL DE BLUMENAU
FURG	FUNDAÇÃO UNIVERSIDADE DO RIO GRANDE
FURRN	FUNDAÇÃO UNIVERSIDADE REGIONAL DO RIO GRANDE DO NORTE
IPE	INSTITUTOS PARAIBANOS DE EDUCAÇÃO
PUC-MG	PONTIFÍCIA UNIVERSIDADE CATÓLICA DE MINAS GERAIS
PUC-RJ	PONTIFÍCIA UNIVERSIDADE CATÓLICA DO RIO DE JANEIRO
PUC-RS	PONTIFÍCIA UNIVERSIDADE CATÓLICA DO RIO GRANDE DO SUL
PUC-SP	PONTIFÍCIA UNIVERSIDADE CATÓLICA DE SÃO PAULO
PUCCAMP	PONTIFÍCIA UNIVERSIDADE CATÓLICA DE CAMPINAS
UCG	UNIVERSIDADE CATÓLICA DE GOIÁS
UCP	UNIVERSIDADE CATÓLICA DE PETRÓPOLIS
UCPEL	UNIVERSIDADE CATÓLICA DE PELOTAS
UCS	UNIVERSIDADE DE CAXIAS DO SUL
UCSAL	UNIVERSIDADE CATÓLICA DO SALVADOR
UEFS	UNIVERSIDADE ESTADUAL DE FEIRA DE SANTANA
UEPb	UNIVERSIDADE ESTADUAL DA PARAÍBA
UERJ	UNIVERSIDADE DO ESTADO DO RIO DE JANEIRO
UFAL	UNIVERSIDADE FEDERAL DE ALAGOAS
UFBA	UNIVERSIDADE FEDERAL DA BAHIA
UFC	UNIVERSIDADE FEDERAL DO CEARÁ
UFES	UNIVERSIDADE FEDERAL DO ESPÍRITO SANTO
UFF	UNIVERSIDADE FEDERAL FLUMINENSE
UFG	UNIVERSIDADE FEDERAL DE GOIÁS
UFJF	UNIVERSIDADE FEDERAL DE JUIZ DE FORA
UFMA	UNIVERSIDADE FEDERAL DO MARANHÃO
UFMG	UNIVERSIDADE FEDERAL DE MINAS GERAIS
UFOP	UNIVERSIDADE FEDERAL DE OURO PRETO
UFPA	UNIVERSIDADE FEDERAL DO PARÁ
UFPb	UNIVERSIDADE FEDERAL DA PARAÍBA
UFPE	UNIVERSIDADE FEDERAL DE PERNAMBUCO
UFPeI	FUNDAÇÃO UNIVERSIDADE FEDERAL DE PELOTAS
UFPI	UNIVERSIDADE FEDERAL DO PIAUÍ
UFPR	UNIVERSIDADE FEDERAL DO PARANÁ
UFRGS	UNIVERSIDADE FEDERAL DO RIO GRANDE DO SUL

UFRJ	UNIVERSIDADE FEDERAL DO RIO DE JANEIRO
UFRN	UNIVERSIDADE FEDERAL DO RIO GRANDE DO NORTE
UFRRJ	UNIVERSIDADE FEDERAL RURAL DO RIO DE JANEIRO
UFS	UNIVERSIDADE FEDERAL DE SERGIPE
UFSC	UNIVERSIDADE FEDERAL DE SANTA CATARINA
UFSCAR	UNIVERSIDADE FEDERAL DE SÃO CARLOS
UFSM	UNIVERSIDADE FEDERAL DE SANTA MARIA
UFU	UNIVERSIDADE FEDERAL DE UBERLÂNDIA
UFV	UNIVERSIDADE FEDERAL DE VIÇOSA
UNESP	UNIVERSIDADE ESTADUAL PAULISTA "JÚLIO DE MESQUITA FILHO"
UNICAMP	UNIVERSIDADE ESTADUAL DE CAMPINAS
UNIFENAS	UNIVERSIDADE DE ALFENAS
UNIFOR	UNIVERSIDADE DE FORTALEZA
UNIJUI	UNIVERSIDADE DE IJUÍ
UNIMEP	UNIVERSIDADE METODISTA DE PIRACICABA
UNIR	FUNDAÇÃO UNIVERSIDADE FEDERAL DE RONDÔNIA
UNI-RIO	FUNDAÇÃO UNIVERSIDADE DO RIO DE JANEIRO
UNISANTOS	UNIVERSIDADE CATÓLICA DE SANTOS
UNISINOS	UNIVERSIDADE DO VALE DO RIO DOS SINOS
UNISUL	UNIVERSIDADE DO SUL DE SANTA CATARINA
UNITAU	UNIVERSIDADE DE TAUBATÉ
UNOESTE	UNIVERSIDADE DO OESTE PAULISTA
UPF	UNIVERSIDADE DE PASSO FUNDO
USF	UNIVERSIDADE SÃO FRANCISCO
USP	UNIVERSIDADE DE SÃO PAULO
USU	UNIVERSIDADE SANTA ÚRSULA

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CHAPTER 1

INTRODUCTION

1.1 ORIGIN OF THE STUDY

The origin of this study goes back to 1990. I was teaching Records Management at the Librarianship School of the Federal University of Minas Gerais (UFMG) Brazil, when the central administration of the University asked our help on a project for the organisation of the University's records and archives.

A working party was set up for the elaboration of this project and as soon as the first readings and discussions were initiated, we realized the complexity of the work.

Problems of different kinds led to the breakup of the working party, while it was still in the initial stage. But my interest in the subject remained or rather increased, since various points of view emerged from the initial discussions.

On that occasion, I was already thinking of my Ph.D. programme. I really wanted to choose a theme for research in the archives field, but I was not sure which way to go. Therefore, as the reading and discussion raised my interest on university archives, I did not hesitate to decide this would be the theme of my research.

1.2 PROBLEM STATEMENT

1.2.1 University archives in Brazil

When the working party was established in 1990 at the Librarianship School of UFMG, we made informal contact with some Brazilian universities to find out what was their approach to the management of records and archives. We found that several universities had not established an archives service nor had appointed a proper professional archivist to undertake the duties of the records and archives management programme.

On the other hand, we also found that some universities had already started archival programmes related mainly to their own records. The Federal University of Santa Catarina (UFSC), Federal University of Acre (UFAC) and Federal University of Pará (UFPA) may be quoted as examples here. These programmes seemed to be in an early stage at that time.

One of the practices noted was to develop archival programmes both in the university library and in a separate archives, in the same university. The

Federal University of Minas Gerais (UFMG) can be quoted as an example of this practice. An archives service was located under the Division of Administrative Communications, which reported to the Department of General Services and was responsible for some records of the central administration, such as student, personnel and financial records.

The University Library reported directly to the central administration and was in charge of the archives which were considered the "Intellectual Memory of UFMG". This collection included materials such as theses and dissertations submitted to UFMG, publications of the University, archives of student organizations, and also the archives of the University Council, the major decision-making body of the Institution. It is worth observing that the records of the University Council had been separated from the central administration group of records which were in the charge of the Archives, and had been considered instead as part of the "Intellectual Memory of UFMG".

The UFMG University Library was also the custodian of private archives of prominent writers from the State of Minas Gerais.

1.2.2 Assumptions

I considered this situation quite worrying, given that, within the same institution, archival programmes were being developed by both the university library and a separate archives. I also considered that other universities might have been developing similar practices. Furthermore, I presumed that other academic or administrative units might have been involved with archival programmes, or that other practices might have been carried out throughout the country.

The lack of a clear concept of the role of university archives in Brazil could be crucially damaging to their development. This appeared to me more fundamental than other constraints, such as the lack of financial resources.

1.2.3 The research problem

The purpose of this research is therefore to suggest a new approach to the management of archives at Brazilian universities in the light of:

- a) an analysis of the overall situation of the management of archives in Brazilian universities;
- b) an analysis of the relevant archival literature;

- c) an analysis of the development of higher education in Brazil and of the actual administration of universities;
- d) an analysis of Brazilian records and archival legislation.

1.2.3.1 Questions concerning the analysis of the Brazilian situation

The following group of questions appear most relevant:

a) Questions related to the present situation of Brazilian university archival programmes:

- Which Brazilian universities have already established archival programmes and how have they been carried out in terms of collecting policies, human and financial resources and technical treatment of holdings?
- When were these programmes established and how have they developed? What kind of problems have they faced over time?
- What is the nature of their holdings?
- Have Brazilian universities concentrated on the management of their own archives or have they also been involved with the collection and management of other people's archives?

b) Questions related to an understanding of the ideal concept and role for university archives in Brazil:

- What should be the concept and role of university archives in Brazil?
- Is there a role for Brazilian universities in the field of archives management?

1.2.3.2 Questions related to the development of higher education in Brazil and to the administration of universities

The following questions appear most relevant:

- How has higher education developed in Brazil?
- How were the universities created and how have they been administered?

1.2.3.3 Questions concerning the archival legislation in Brazil

The following questions appear most relevant:

- What is the nature of the legislation on records and archives in Brazil?
- How has it evolved?

1.2.3.4 Delimitation

As mentioned before, this study is intended to be focused on the management of archives. The field research, however, showed that some universities had developed records management services. Considering the relevance of these findings for the object of this study, they will be taken into consideration. Nevertheless, it should be said that there was no intention to cover records management activities in depth.

1.3 METHODOLOGY

The method of research I used to study the actual picture of the management of archives at Brazilian universities (item 1.2.3.1) was a survey.

The 89 universities affiliated to the Conselho de Reitores das Universidades Brasileiras - CRUB (Council of Rectors of Brazilian Universities) were taken as the population to be surveyed.¹

I considered the questionnaire the most appropriate instrument of data collection for the field research. I also came to the conclusion that two questionnaires should be drawn up: one to get the data from university library's activities on archival programmes (questionnaire **A**) and the other to gather the data from archival units (questionnaire **B**). A copy of these questionnaires are enclosed at appendix 1.

The best strategy to distribute the questionnaires was another issue to be analysed carefully, because I knew that some universities had not created archival units. I decided therefore to address both questionnaires to the university librarian, and ask his or her help to forward questionnaire **B** to the proper archival unit.

¹ The universities which responded the questionnaire are listed in the initial pages of this work.

The questionnaires were tested at the university library and the archival unit of the Federal University of Minas Gerais (UFMG).

The first distribution of the questionnaires was concluded by May 1993. A second was concluded on July the same year, when I visited Brazil with the intention of completing the activities of data collection. During this visit, it was necessary to make contact with several universities (by post or telephone) to clarify answers given to the questionnaire. An analysis of the response rate of questionnaires is included at section 1.3.2.

Data concerning the development of higher education in Brazil (section 1.2.3.2) and the archival legislation in Brazil (section 1.2.3.3) were also obtained during my visit to the country.

In Brasília, I visited the Ministry of Education and the body in charge of the development of post-graduate education in Brazil (CAPES) in order to gather data concerning the implementation and functioning of Brazilian universities.

During my stay in Brazil, I also had the opportunity to study the archival programmes of the University of Campinas - UNICAMP.

1.3.1 Description of universities surveyed

The 89 universities surveyed are described in the next figures (1.1, 1.2 e 1.3), in terms of geographical location and sector, number of students and date of creation.

TABLE 1.1
LOCATION OF BRAZILIAN UNIVERSITIES ACCORDING TO SECTOR

REGIONS	SECTOR				TOTAL	
	State freq*	Federal freq	Private freq	Municipal freq	freq	%
North	-	4	-	-	4	4.5
Northeast	5	10	4	-	19	21.3
Centrewest	-	4	2	-	6	6.7
Southeast	4	11	20	1	36	40.4
South	4	6	11	3	24	27.0
TOTAL	13	35	37	4	89	
%	14.6	39.3	41.6	4.5		100

* Frequency

As demonstrated by table 1.1, the most developed Regions in the country hold 67.4% of Brazilian universities. The first in rank is Southeast Region (40.4%); followed by South Region (27.0%). In both cases private universities predominate in considerable proportion of nearly 50.0% in relation to the federal institutions, that is, 20 and 11 private universities in the Southeast and South, respectively, against 11 and 6 federal.

State universities follow the federal in global numbers - 4 in each of these Regions, and 5 in the Northeast. The proportion of State universities in the population surveyed is 14.6%.

Municipalities have the smallest proportion (4.5%) in the higher education system in Brazil and are present only in the Southeast and South Regions - 1 and 3 institutions, respectively.

The scenario is quite different in the less developed Regions. Private enterprise decreases or even disappears, while the Government presence not only predominates, but at least in one case - the North Region - is the only one. In the Centrewest, the federal proportion is twice as bigger as the private; in the Northeast it is even bigger than private and State universities together. States do not participate in the higher education system in the North and Centrewest at all; the same is true for the municipalities in the North, Northeast and Centrewest, and for the private enterprise in the North.

In terms of global numbers, private universities are first in rank (41.6%), followed closely by federal (39.3%). States participate in the ratio of 14.6%, and municipalities share the smallest proportion of 4.5%.

TABLE 1.2
BRAZILIAN UNIVERSITIES ACCORDING TO NUMBER OF STUDENTS*

SECTOR	NUMBER OF STUDENTS					TOTAL	
	Up to 5000	5001- 10000	10001- 15000	15001 20000	>20000	freq	%
State	3	3	3	2	2	13	14.6
Federal	6	11	7	7	4	35	39.3
Private	9	10	11	5	2	37	41.6
Municipal	1	1	2	-	-	4	4.5
TOTAL	19	25	23	14	8	89	
%	21.3	28.1	25.8	15.7	9.0		100.0

* SOURCE: CRUB. Sistema de Informações sobre as Universidades Brasileiras, 1991

When ranked by number of students, the categories 5001-10000 and 10001-15000 got close percentages and, at the same time, the highest. If these categories are placed together, one may see that a considerable proportion of Brazilian universities (53.9%) have between 5001 and 15000 students.

The category of up to 5000 students is third in rank (21.3%) This seems quite a significant proportion, if the criterion of number of students is adopted to classify universities by size. The smaller universities form a considerable fraction - about one fifth.

These results are meaningful, if we consider the three first categories in the rank together. In this case, the percentage obtained is 75.2% - a significant proportion which includes universities with up to 15000 students. Around three fourths of Brazilian institutions surveyed can be considered from small to medium size.

A significant proportion of Brazilian Universities (24.7%) may be considered big, as they have more than 15000 students. 9.0% of this segment have even more than 20000 students. Examples are the Federal Universities of Rio de Janeiro and Minas Gerais, whose number of students is near to 30000. The University of São Paulo is the biggest Brazilian university. As a multi-campus institution, it has around 55000 students.

A picture of Brazilian universities according to date of foundation is given in table 1.3.

TABLE 1.3
BRAZILIAN UNIVERSITIES ACCORDING TO DATE OF FOUNDATION*

DATE OF FOUNDATION	SECTOR				TOTAL	
	State	Federal	Private	Municipal	freq.	%
1910s	-	1	-	-	1	1.1
1920s	-	2	1	-	3	3.4
1930s	1	1	-	-	2	2.2
1940s	-	4	3	-	7	7.9
1950s	1	3	5	-	9	10.1
1960s	6	19	10	2	37	41.6
1970s	5	4	8	2	19	21.3
1980s	-	1	10	-	11	12.4
TOTAL	13	35	37	4	89	
%	14.6	39.3	41.6	4.5		100.0

* SOURCE: CRUB. Levantamento das Instituições de Ensino Superior por ordem cronológica de sua criação. 1991.

This table demonstrates that up to the 50s, only 24.7% of Brazilian universities had been established. At this time, the proportion of federal and private universities was quite balanced - 11 and 9, respectively - and there were only two state funded universities.

The 60s decade saw the largest expansion of universities in Brazil - the most visible consequence of the expansion of the educational system aimed by the University Reform conducted in this decade. This aspect will be discussed in my chapter 2. Whereas 24.7% of existing universities had been established in the five previous decades, those founded in the 60s reached the proportion of 41.6%. The federal system of universities was significantly expanded: 19 out of the 35 existing federal universities were created in that decade.

The same expansion can be observed in the private sector. Ten private universities were created in the 60s, whereas the five previous decades together saw the creation of 9. Considering also the 70s and 80s (8 and 9, respectively) there was an amazing rate of nearly one private university being established in Brazil per year, in these decades.

In the decades of the 70s and 80s the Government reduced its commitment and the private universities proliferated.

The 4 municipal universities were also established during the period of the University Reform. 2 were created in the 60s and 2 in the 70s.

1.3.2 Rate of response of questionnaires

As mentioned before, two questionnaires were designed to collect data concerning the participation of Brazilian universities in the field of archives: questionnaire A was designed to get data related to the activity of university libraries and questionnaire B had the intention of a) finding out if the university had an archive unit and b) collecting data on the functions and activities undertaken by the existing units. Both questionnaires were addressed to the Librarian, a strategy considered most appropriate to make the questionnaires reach the person most likely to reply.

58 libraries out of the 89 universities surveyed answered questionnaire A, which makes a response rate of 65%. Besides being statistically satisfactory, this rate of response is considered encouraging. One is always insecure about the reactions surveys might provoke, since they always demand extra time of respondents to provide the data. In this case, the questionnaire was quite time consuming, as most questions were non-structured and quite a few sought for opinions on specific matters.

Therefore, the rate of response obtained may be interpreted as showing that there is a real concern felt by Librarians on the matter. Many Librarians welcomed the survey and demonstrated their interest in the results. A copy of this thesis was asked for by several libraries which have started archival programmes, and others stated their need to get literature on the subject.

A more detailed picture of the libraries' response rate is given at table 1.4.

TABLE 1.4
QUESTIONNAIRE A: RESPONSE RATE

SECTOR	POPULATION SURVEYED		RESPONSE RATE	
	freq	%	freq	%
Private	37	41.6	20	54.0
Federal	35	39.3	27	77.1
State	13	14.6	8	61.5
Municipal	4	4.5	3	75.0
TOTAL	89	100.0	58	65.0

Federal universities present the highest response rate, followed closely by municipal and then, by state. The lowest proportion of responses was by the private institutions, although these are the leading category in terms of population.

Questionnaire B (table 1.5), received responses under two perspectives. Twenty eight (31.5%) out of the 89 universities surveyed provided the data requested, as they declared the existence of an archival unit in the university structure. A considerable proportion, 23.6% (21 universities) declared the absence of such a unit. Taking these two perspectives together, the response rate is 55.1%, which can also be considered statistically satisfactory.

A more detailed picture of response by archives services might be given if they are displayed according to the population surveyed.

TABLE 1.5
QUESTIONNAIRE B: RESPONSE RATE

SECTOR	POPULATION SURVEYED		RESPONSE RATE			
	freq	%	YES oriented	NO oriented	freq	%
Private	37	41.6	4	10	14	37.8
Federal	35	39.3	20	5	25	71.3
State	13	14.6	4	3	7	53.7
Municipal	4	4.5	-	3	3	75.0
TOTAL	89	100.0	28	21	49	
%			31.4	23.5	55.1	

Both negative and positive answers are useful for this study. 10 out of the 14 private respondent universities replied that they do not have an archival unit. The response rate of State universities is also significantly affected by "no" answers, since 3 out of 7 state respondent universities declared they do not have an archival unit. Although they gave the highest response rate, all the municipal sector replies were "no".

The opposite is true of federal institutions, whose responses were strongly positive. 20 (57.1%) out of the 35 federal universities existing in the country replied that they have an archival unit, against 5 which gave a negative response. Therefore, federal universities' response rate is highly "yes" oriented, in contrast to private, state and municipal funded institutions which had their rates highly focused on negative answers.

These results lead to some inferences.

Federal universities have assumed the leadership in the establishment of university archival units in the country, most probably due to the existence of Governmental legislation on the subject, as will be demonstrated in chapter 3. Even so, it is possible to say that the role of legislation in the establishment of archival units seems of limited importance. As demonstrated by figure 1.5, 5 federal respondent universities have not established archival units yet. In addition to this, 10 federal universities did not reply to the questionnaire at all - some of them, most probably, because they do not have an archival unit. With these data in mind, one may infer that legislation is not the only, nor perhaps the most important component for the setting up of university archives. Therefore, an effort will be made throughout this study to identify other influences which might be affecting the setting up of university archives in Brazil.

At the first glimpse, one may find that the proportion of universities which have implemented archives (31.4%) is disappointing. Nevertheless, as

noted in the literature, archives, like other institutional units, undergo a maturing process during which they need opportunities to evolve.²

An example reported in the literature that illustrates this aspect is the implementation of Harvard University Archives. Although this university began collecting and keeping materials in 1851, it was only in 1939 that an official archive was set up on a statutory basis.³

With this in mind, one might realize that the proportion of Brazilian universities which have established their archives can be considered encouraging, especially when taking into consideration that Brazilian institutions of higher education are quite young; most of them are only some 30 years old, as demonstrated at table 1.3.

Another important inference is that the data to be taken into account for this part of the study are strongly focused on federal institutions, since they constitute 71.0% of the group which have implemented archives.

In most cases, universities which replied that they do not have an archival unit did not indicate what kind of treatment is given to their records and archives. In some cases, however, some additional information was given on this matter. The librarians of two private universities (one in the Southeast and one in the South) said that each faculty or department was responsible for the management of their own records. The answer given by the librarian of a federal Southeast university followed this line, but with additional comments:

"So far, each department has been keeping its own records, but as mere deposits. A proposal was made recently to train an officer to organize the records of the University. In my opinion, this is not enough. More investment is needed in the area."

The Librarian of a South federal institution, pointed out:

² W. J. Maher. "The Management of College and University Archives." Metuchen: Scarecrow, 1992. p. 13.

³ E. Posner. "The College and University Archives in the United States." In: Society of American Archivists. *Colleges and University Archives: Selected Readings*. Chicago: Society of American Archivists, 1979. p. 80.

"According to the internal rules of the University Library, the collection, preservation of and access to, archival material should be directed by this Library, as a strategy for the creation of an archives unit, as part of the responsibilities of the Central Library. This is the idea we have proposed to the Central Administration".

One private university in the South reported that the library was developing a project to implement an archival system in the university. The same was indicated by a federal university in the Southeast.

These remarks make clear that librarians have been concerned with the archival problems in the university setting and, in some cases, have taken initiatives in establishing archival programmes. The participation of libraries in archives administration will be discussed at chapter 5.

1.3.3 A critical analysis of the methodology

Both questionnaires were addressed to the Librarian, who was asked to forward questionnaire B to the archival unit. There is some indication that the librarians' perception of nature of archival matters or even of the archival activities in his or her own university setting might have affected the response rate of questionnaires.

The following facts give the base for this suspicion.

5.6% of universities surveyed (two state and two federal in the Southeast and one federal in the North) only replied to questionnaire B. Since libraries obviously received their own questionnaire A one may question why they did not reply to it. The Librarian of one of the state universities wrote a letter stating that, as coordinator of the system of libraries of that university, she was not able to provide the data because the coordinating body had no responsibilities in collecting archives. At the same time, she reported that questionnaire B was being forwarded to the proper body.

Perhaps the remaining four libraries had similar reasons, that is, they had no information to provide and merely forwarded questionnaire B to the appropriate body. Or, perhaps, they did not reply because there is some tension between the two organisms.

This interpretation is borne out by the replies of both the library and the archival unit in a Southern private university, which seems to reflect such a tension. The archival unit, labelled Museu Regional e Arquivo Histórico

("Regional Museum and Historic Archive") declared its responsibility for administering both either university's archives and also local history collections. An observation added to the questionnaire underlined:

"We are late in replying because the questionnaire was forwarded to us with delay. As it was first addressed to the Library, they did not know what to do and forwarded it to the General Secretariat. Luckily, someone there knew about our existence and finally sent it to us."

On the other hand, the Librarian reported that "this University does not have a central archive". What might have happened here is that the Librarian's concept of a 'central archive' might have affected his or her decision concerning the appropriate body to forward questionnaire B.

In some cases, the opposite happened. Some librarians replied: "we have reproduced the questionnaire concerning the archives situation and forwarded it to the existing units in this university which are involved with archival activities". Thus, quite a few data were obtained from units such as museums, historical archives, documentation centres, etc. The data gathered from these bodies will be presented at section 6.10.

Therefore, not only the librarians' idea of a "central archive" but also his or her perception of the archival activities carried out in the university setting, might have affected his or her decision on the destination of questionnaire B. In some cases, this perception might have damaged the data collection and, in other situations, might have favoured it.

These remarks seem to be the most serious criticisms on the field research methodology. Obviously, they must be taken into account in data analysis and for the methodology design of future studies.

1.4 BASIC CONCEPTS

- **Records** are generally defined "as recorded information (regardless of form or medium), created, received and maintained by an agency, institution, organization or individual in pursuance of its legal obligations or in the transaction of business. [...] They are used to justify official actions; to record proceedings; to explain and record policy decisions; and to establish and maintain rights under the law for citizens, corporations and governments". **Archives** "are the official or organized records of governments, public and private institutions and organizations, groups of people and individuals, whatever their date, form and material appearance, which are no longer needed to conduct

current business, but are preserved , either as evidence of origins , structures, functions, and activities or because of the value of the information they contain, whether or not they have been transferred to an archival institution".⁴ The term **archives** is also used to designate the buildings or units within organizations where archives are kept.

- **Manuscript** is any document which is handwritten or (by extension) typewritten, but the word is usually associated with a distinct category of document which is worth collecting and keeping, in view of the information it contains, or for some historical reason. Manuscripts may be either individual documents or arbitrary collections of documents kept for the purpose of research but do not have the character of records and archives - that is, they are not the product of a continuing activity or business. Manuscripts are usually collected by an archival institution, a library or any interested person for the benefit of research, whereas records and archives must always keep a relationship with the organisation which brought them into existence and for whose reference they were once kept. Manuscripts are usually thought of as "collections". Archives and records management are considered "services".⁵

- **Records management** has been defined as "that area of general administrative management concerned with achieving economy and efficiency in the creation, maintenance, use and disposal of records; i.e. during their life cycle".⁶ Records management activities have been grouped in four major areas:

1. "Records creation, including subordinate aspects of management for correspondence, forms, reports, and directives.
2. Information access and retrieval systems to ensure that information necessary for administrative operations is readily available for use. This includes work in files management, mail management and indexing systems.
3. Records protection, focused on identifying and protecting (by microfilm and off-site storage of duplicates) those records that are vital to the ongoing operations and continued existence of the parent institution.

⁴ J. G. Bradsher. "Managing Archives and Archival Institutions." London: Mansell, 1988, p.2-3.

⁵ M. Cook. "Archives Administration; a Manual for Intermediate and Smaller Organizations and for Local Government." Folkstone: Dawson, 1977. p. 2.

⁶ INTERNATIONAL COUNCIL ON ARCHIVES. "Dictionary of Archival Terminology." Saur: Munich, 1984. p. 139.

4. Records disposition, involving the ultimate fate of records, normally including such options as office retention, transfer to records centres, preservation in an ultimate format such as microfilm, and archival transfer and preservation. ⁷

Special collections: term adopted to designate miscellaneous library materials, which are not standard books in current use, such as photographs, incunabula, rare books and pamphlets, historical and literary manuscripts. These materials have traditionally been administered by existing methods of librarianship in separate units specifically created to deal with them.⁸

1.5 THE ARCHIVES FIELD IN BRAZIL

Latin American archival institutions were created as a result of the independence movement which led to the formation of modern states in the region. In these circumstances, archival institutions were considered repositories of the emergent national identity and concentrated their activities on the collection of "historical records".⁹ The National Archives of Brazil followed this tendency: it was created in 1838 thus only sixteen years after the independence of the country.

Although the principal archival institution of the country has existed for more than a hundred and fifty years, archives - as a discipline - may be considered in a early stage of development in Brazil.

It was only in the middle of this century that international archival literature began to be disseminated in Brazil. In the year 1960, when the National Archives was under the direction of José Honório Rodrigues, T. R. Schellenberg, an eminent American archivist, was invited to visit the country. Following the presentation of Schellenberg's final report entitled "Archival problems of the Brazilian Government", the National Archives produced the document "O Preparo de Listas de Documentos" (Preparation of Record Lists).¹⁰ A year before his visit (1959) the National Archives published two books: "A Avaliação dos Documentos Públicos Modernos" (Evaluation of Modern Public Records)¹¹ and "Manual de

⁷ W. J. Maher, *op. cit.*, p. 283-284.

⁸ R. C. Berner. "Manuscript Collections, Archives, and Special Collections: their Relationships." *Library and Archival Security*, 5(4), 1983. p. 9.

⁹ J. M. Jardim. "Políticas Públicas de Arquivos no Brasil." Niterói: EDUF, 1995. p. 58.

¹⁰ T. R. Schellenberg. "O Preparo de Listas de Documentos." Rio de Janeiro, Arquivo Nacional, 1960.

¹¹ T. R. Schellenberg. "Avaliação de Documentos Públicos Modernos." Rio de Janeiro, Arquivo Nacional, 1959.

Arquivos" (Archives Manual).¹² In 1973, Schellenberg's book "Modern Archives: Principles and Techniques" was translated into Portuguese language under the title "Arquivos Modernos: Princípios e Técnicas".¹³

Another important event in the history of archives in Brazil was the creation of the Associação dos Arquivistas Brasileiros - (AAB) (Association of Brazilian Archivists) in 1971, by a group of professionals linked to governmental bodies. The headquarters of the AAB was housed in the premises of the National Archives (Rio de Janeiro) up to the end of the 70s. For this reason, Jardim calls attention to the "visceral relation [of AAB] with the State" during the first years of its existence.¹⁴

The AAB had an important role in expanding the archives field in Brazil. In 1971 the Association started the publication of the first Brazilian periodical in the field (Arquivo e Administração).¹⁵ In 1972 it started the promotion of national congresses on archives and in 1974 it spearheaded efforts aimed at regulating undergraduate training in Archives. Legislation passed in 1978 established a "minimum curriculum" for undergraduate courses.¹⁶ Other work by the AAB was concerned with the regulation of the profession. The legislation passed in 1978 established the conditions for the exercise of the professions of archivist and archive clerk¹⁷. According to this law, the completion of an undergraduate archives course is required for the exercise of the profession of archivist, while an archive clerk may be trained by specific programmes subject to the approval of the Ministry of Education.

The first undergraduate courses were set up in the second half of the 70s - two in the State of Rio de Janeiro (Southeast) and one in the State of Rio Grande do Sul (South). In the opinion of Jardim, the implementation of these courses was a "hurried process", considering the "weakness" of the archives field in Brazil in that time. He also argues that the problems of archival teaching and research faced nowadays in Brazilian universities may be rooted back to the way archives teaching was initiated in the country.¹⁸ Jardim extends his criticism to the regulation of the professions of archivist and archive clerk which in his opinion "was not less hurried".¹⁹

¹² T. R. Schellenberg. "Manual de Arquivos." Rio de Janeiro, Arquivo Nacional, 1959.

¹³ T. R. Schellenberg. "Arquivos Modernos: Princípios e Técnicas." Rio de Janeiro, Fundação Getúlio Vargas, 1973.

¹⁴ J. M. Jardim, op.cit. p. 61.

¹⁵ ASSOCIAÇÃO DOS ARQUIVISTAS BRASILEIROS. *Arquivo e Administração*. São Paulo, 1971-

¹⁶ BRASIL. Conselho Federal de Educação. "Projeto de Currículo Mínimo para o Curso Superior de Arquivo." Brasília, 1974.

¹⁷ LEI no. 6546 de 4 de julho de 1978."Dispõe sobre a Regulamentação das Profissões de Arquivista e de Técnico de Arquivo e dá Outras Providências."

¹⁸ J. M. Jardim, op.cit. p. 61.

¹⁹ J. M. Jardim, op.cit. p. 62.

The creation of another undergraduate course took place at the University of Brasília at the end of the 80's and "specialization"²⁰ courses on archives have been created at other public universities. These courses broadened the possibilities for professional training. Nevertheless, despite what is prescribed in the legislation, people trained in specialization courses and other professionals graduating from related areas (e.g. Administration and History) have been undertaking archival duties.²¹

In the 80s, the National Archives emphasised its leadership role among archival institutions and the professional community in the country. Methodologies developed in the heart of this Institution were disseminated in congresses and seminars and several manuals were published. At the same time, the AAB seemed to lose the vigour it had shown in the 70s. At the end of the 80s the vigour of the National Archives in publishing decreased significantly.²²

In this same period, several public institutions (municipal and state) developed important projects which were presented to the professional community at congresses and in publications.

As Jardim pointed out, it was also in the 80s that some experiences concerning "private records of permanent value were consolidated". He illustrates this point with the "methodological solutions" developed by two bodies: the Centro de Pesquisa e Documentação em História Contemporânea do Brasil (CPDOC), at the Fundação Getúlio Vargas (Rio de Janeiro) and the Arquivo Edgard Leuenroth at University of Campinas (UNICAMP).²³

With respect to research and publishing activities the present situation described by Jardim is not encouraging. He emphasises that, with a few exceptions, research and publishing activities of faculty members is small, as only a few of them have MA or Ph.D. qualifications. In reality, the majority of faculty members is composed by alumni who have just finished their degrees, and many have never had archival experience.²⁴ Considering this picture, one may conclude that the archival training provided by Brazilian universities needs an urgent re-evaluation.

Jardim calls the attention to the suspension of publication of the only periodical in the Archives field: the AAB's Arquivo e Administração had its publication suspended or interrupted in the last years. On the other hand,

²⁰ Corresponding to a diploma course in Britain.

²¹ J. M. Jardim, op.cit. p.62.

²² J. M. Jardim, op.cit. p. 62.

²³ J. M. Jardim, op.cit. p. 63.

²⁴ J. M. Jardim, op.cit. p. 63.

he is enthusiastic about the publication of two manuals in the field²⁵ which reduced existing gaps in the Brazilian archival literature.²⁶

²⁵ M. P. Paes. "Arquivo: Teoria e Prática." Rio de Janeiro: Fundação Getúlio Vargas, 1986.
H.L. Bellotto. ".Arquivos Permanentes: Tratamento Documental." São Paulo: T. A. Queiroz, 1991.

²⁶ I feel that Jardim is too modest. His own book obviously deserves the same praise.
(J.M. Jardim. "Sistemas e Políticas Públicas no Brasil." Niterói: EDUF, 1995)

CHAPTER 2

**THE BRAZILIAN HIGHER
EDUCATION SYSTEM:**

AN OVERVIEW

2.1 INTRODUCTION

In this chapter I shall attempt to provide a summary of the main facts related to the creation of universities in Brazil, to explore the problems which have affected and still affect their development and to outline their present-day organization and structure.

2.2. CONCEPTS

The following concepts are essential for understanding this chapter:

Livre docência/cátedra/catedrático: The concepts of livre docência and cátedra are close to the British concept of chairs. However, the cátedra had a particular characteristic in the Brazilian case. It was considered an individual position, achieved through academic selection process and based on merit. The catedrático (the title of the occupant of a cátedra) considered himself and was considered as the proprietor of his particular area of knowledge, and thus as the owner of the highest status and position in the university. Moreover, the cátedra was considered as a separate unit in which the catedrático was responsible for all decisions concerning curriculum, the academic calendar and even the hiring and training of teaching staff.

Quango: according to Brazilian administrative law, "quango is an autonomous administrative entity, created by specific legislation, with a juridical personality derived from public law, fixed endowment and for the exercise of duties proper to the State." [...] "Quango is a case of administrative decentralization from a service derived from the Central Administration. Therefore, quango should provide only **public services** and not be involved in industrial or economic activities, even if of collective interest."²⁷

²⁷ My translation from H. L. Meirelles. "Direito Administrativo Brasileiro." São Paulo: R.T. 1991, p. 301.

Association is a "non-profit entity in which people participate in pursuit of common objectives and which has juridical personality." [...] "Associations may be characterized as of public utility, when they are created with humanitarian, beneficent, cultural, literary and like aims, thus focusing exclusively on collective welfare." A **foundation** is "a kind of juridical entity, whose internal composition results from someone's donation of an endowment connected to an specific aim. [...] [Foundations] "may only be constituted for religious, moral, cultural or charitable aims." ²⁸

Congregation: a congregation is the highest decision-making body of university colleges and schools. It is the assembly of faculty, staff, and students representatives.

2.3 THE ORIGINS OF THE BRAZILIAN EDUCATIONAL SYSTEM AND THE CREATION OF THE FIRST UNIVERSITY

The origin of the Brazilian educational system dates from the early colonial period and arose from the actions of Jesuits who were sent to Brazil with the first governor-general, in 1549. Charged with the mission of promoting the spiritual, social and educational development of the colony, the Jesuits immediately founded a school in the city of Bahia²⁹. Subsequently, they created other schools in different parts of the colony. These became the only route to formal education.

The Jesuits' monopoly of education was maintained for more than two centuries through an extensive network of colleges and seminaries. When they were expelled from the colony in 1759, following the reforms implemented by Pombal, their philosophy and methods were carried on by students who had attended their institutions and had become teachers in the new secular educational system.³⁰

Some critics of today view the Jesuits' educational system with serious reservations. According to Silva,

²⁸ My translation from H. B. Custódio. "Associações e Fundações de Utilidade Pública." São Paulo: R. T. 1979, p. 34.

²⁹ R. M. da Silva. "Four Centuries of Struggle: the Idea of a Brazilian University and Its History." University of Illinois at Carbondale, 1982. (Dissertation, Ph.D.) p. 26-28.

³⁰ Ibid, p. 178.

"The Jesuit educational system was an instrument of spiritual and intellectual domination. Within the frame of a classical model, it created a monoculture alienated from the Brazilian reality as a colony. Soon the initial commitment to educate the Indians was put aside; they were catechised, while the sons of the colonists were educated. By allowing the cultivation of only Catholic orthodox ideas, the Jesuits suffocated intellectual spontaneity. Ancient languages were cultivated at the expense of modern ones and the people were isolated from the modern world."⁶¹

This author establishes a relation between the alienation of the students in the colony and the effects it had on Brazilian social structure.

"The Jesuit scholastic approach to education made Brazilian students insensitive to the colony's problems and centred their attention and interest in a foreign model which was unreal and distant from them . This alienation caused a rupture in the Brazilian social structure. The educated developed a certain allegiance to the metropolis and its life style but not to the civil government; they became a dominant force in Brazilian colonial society and played a decisive role as the elite which controlled economic development and orientated the historical process."⁶²

So, according to the analysis of Silva, elitism began in the earliest days of the colonial education. This has hampered educational progress and social development ever since.³³

Notwithstanding his severe criticism of the Jesuits' system of education, Silva attributes the first attempt to create a university in the colony to them. In the year 1583, they presented a petition to the Portuguese crown to grant university status to the College of Bahia. Although the petition was refused, the idea of creating a university became fixed in the minds of people in the Brazilian colony.³⁴

³¹ R. M. da Silva, *op. cit.*, p. 178.

³² R. M. da Silva, *op. cit.*, p. 178.

³³ R. M. da Silva, *op. cit.*, p. 186.

³⁴ R. M. da Silva, *op. cit.*, p. 18-19.

Other initiatives carried out during the colonial period were also rejected by Portugal. Colonial policy was to promote higher education among the elites at European universities. After leaving the Jesuit colleges, students interested in Arts, Law and Ecclesiastical studies were sent to the University of Coimbra or to Montpellier for medical studies.³⁵

When the Portuguese royal family migrated to the colony in 1808, Brazilians were full of new expectations. Nevertheless, all they obtained from D. João VI was the creation of isolated schools of higher education. It is worth mentioning three particular characteristics of these schools: firstly, they were predominantly professional and, secondly, were organised as "public services", with the maintenance and control of the Government. Furthermore, they were aimed at preparing administrative staff for the Court. For this reason, it has always been said that the first schools of higher education in Brazil were of a practical and immediate character.³⁶

To illustrate this point, one may point to the development of military education. In 1808, the Academia Real da Marinha (Royal Navy Academy) was created, followed by the Academia Real Militar (Royal Military Academy), in 1810. These schools had the special aim of preparing officials and engineers, both civil and military, to support the military defence of the Colony, since Brazil had become the centre of the Portuguese Empire. Also in 1808, a course in Surgery was created in Bahia, at the Military Hospital, and courses in Surgery and Anatomy in Rio de Janeiro. One year later, Medicine was added to each of these courses. The primary intention of these courses was to prepare medical doctors and engineers for the army and the navy.

Other courses created in this period were also directed towards the needs of the Court. Starting from Bahia, the following may be listed: a) Agriculture, in 1812 (including Botanical studies) which had the Botanical Garden annexed to it); b) Chemistry, in 1817, including Industrial Chemistry, Geology and Mineralogy; c) Industrial Design, in 1818; d) Economy, in 1808. The Laboratory of Chemistry was founded in Rio de Janeiro in 1812, and a course in Agriculture was implemented in 1814. Afterwards, the Escola Real de Ciências, Artes e Ofícios (Royal School of Science, Arts and Workmanship) was created in 1816. In 1820 this School was transformed into the Real Academia de Pintura, Escultura e Arquitetura Civil (Royal Academy of Painting, Sculpture and Civil Architecture).³⁷

³⁵ M. L. A. Fávero. "A Universidade Brasileira em Busca de sua Identidade." Petrópolis: Vozes, 1977. p. 18.

³⁶ Ibid., p. 21.

³⁷ Ibid., p. 21.

There is no doubt that the migration of the royal family to Brazil was a milestone in the history of Brazilian education. However, most of the courses created by the King were marked by a utilitarian and practical character. It is not thought that founding these schools was inspired by a preoccupation with the development of a Brazilian culture.³⁸ Only a few courses had non-utilitarian or practical character - advanced Mathematics, in Pernambuco (1819); Design and History in Vila Rica (1817) and Rhetoric and Philosophy in Paracatu, Minas Gerais.

During the empire period, efforts at creating a full scale university met with no success. It seems that there was a policy of controlling all initiatives which could lead the colony towards cultural independence. Directives of court suppressed rather than stimulated such efforts.³⁹

So, by the time of Independence (1822), only a few professional schools had been created in the country. During this new period, the fight of Brazilians for a university was, again, unsuccessful and this situation continued until the proclamation of the Republic, in 1889.

With the establishment of the Republic, attentions were focused on the consolidation of the new political structure and government, the development of an economic strategy for the nation, and the modernisation of the country. The educational plan developed by republicans challenging the monarchy was centred on elementary education. Although the idea of creating an university was brought up in parliament, nothing happened for the rest of the century.⁴⁰

Ironically, the creation of the first Brazilian university took place without debates and discussions, despite all the efforts of so many who had concerned themselves with this issue over the centuries. In 1920, a presidential Decree created the University of Rio de Janeiro.

According to the critics of that time, the University of Rio de Janeiro was created as part of the celebration of the first centenary of independence, which included the visit of King Albert of Belgium. A homage prepared for the king was the granting of the title Doctor honoris causa, which had to be awarded by a university. The creation of a university was, thus, justified, even though it existed only in name.^{41, 42}

³⁸ R. M. da Silva, op.cit. p.103.

³⁹ M. L. A Fávero, op.cit. p.26.

⁴⁰ R. M. da Silva, op.cit. p. 183.

⁴¹ R. M. da Silva, op.cit. p. 166.

⁴² M. L. A. Fávero, op. cit. p. 28.

The University of Rio de Janeiro was created by bringing together three professional schools (medicine, engineering and law) which had been created during the empire and this was another aspect strongly criticised. Although created by an official act, it did not seem possible that the forced union could succeed. Silva comments:

"[The three schools] had been created during the 19th century, during the empire. As independent and autonomous institutions, they had developed a tradition of their own [...]. The advent of the university disregarded their traditions, terminated their autonomy, and augmented rivalry among them because the dean of one of the schools was to be chosen as university president. Thus, the creation of the university was at the same time an insult and a humiliation to the existing schools and colleges, and this feeling was aggravated by the fact that no previous consultation had been held with them."⁴³

The words of its first Rector,⁴⁴ Dr. Benjamin Galvão, follow this same line of criticism:

"I will not be mistaken by saying that the University of Rio de Janeiro has been created in name, and thus is far from satisfying the purpose of its statutes. [...] [the schools] do not even have a common or close location; the three institutes are apart from each other and are strange to each other, without any connecting link besides the University Council, which is made up of members of the three schools."⁴⁵

In spite of all the criticisms aimed at the University of Rio de Janeiro, the Government decided not only to retain the way it had been organized, but determined that other universities should be created in the country following the same model. In a single legal instrument the Government indicated the states which should be granted this privilege: Pernambuco, Bahia, São Paulo, Minas Gerais and Rio Grande do Sul⁴⁶.

⁴³ R. M. da Silva, *op. cit.* p. 166.

⁴⁴ In the Portuguese language, rector is the correspondent term for vice-chancellors in Britain.

⁴⁵ Words of Dr. Galvão quoted by R. M. da Silva, *op. cit.*, p. 166.

⁴⁶ Decreto 16782-A de 13 de janeiro de 1925.

However, there was one merit in the creation of the University of Rio de Janeiro: it reopened the debates around the matter of higher education in 50Brazil. In the opinion of Fávero, this is an aspect which cannot be overlooked.⁴⁷

The 20s are marked by two national conferences and two inquiries which were organized to investigate the educational system of the Republic. The first conference was held in 1922 and addressed both secondary education and the teaching offered in the schools of higher education. The second one, held in 1927, addressed a specific matter: the reorganization of the University of Rio de Janeiro. This moment marks the beginning of an awareness of the need to adapt the existing courses to the requirements of the modern world.⁴⁸

The inquiries were held in 1926 and 1928 - both in Rio de Janeiro. Concerning the university question, these inquiries came to the following conclusions: a) universities should be created according to local needs in different parts of the country, aiming at the transmission of knowledge, development of research and professional education; b) a single model of university was deemed unacceptable; c) teaching staff should be prepared both for secondary and for higher education; d) universities should be integrated with the research institutions of the country; e) the full time regime for teaching staff should be instituted as the only basis for university activities.⁴⁹

2.4 THE UNIVERSITY REFORMS

2.4.1 The university reform of the 30s

In 1930, there was a liberal revolution in the country, as a result of a revolutionary movement originating in the previous decade. The new Government issued a wide-ranging reform of secondary and higher

⁴⁷ M. L. A. Fávero, op. cit. p. 30.

⁴⁸ Lourenço Filho, quoted by M. L. A. Fávero, op. cit., p. 31.

⁴⁹ M. L. A. Fávero, op.cit., p. 31.

education⁵⁰, in which the social functions of the university were specially highlighted. However, the existing institutions of higher education had "hierarchical, rigid and elitist characteristics with little communication with the community to which they belonged."⁵¹

This reform also considered other significant issues. The final aim of the university was seen as the promotion of research and the development of pure sciences. Universities should also "encourage independent thinking in order to stimulate the scientific research fundamental for the formation of national culture."⁵² As regards structural and academic aspects, the following measures were included⁵³:

- a) at least three schools of higher education were needed to constitute a university (Medicine, Law and Engineering or two of these and a Faculty of Education, Sciences and Letters).
- b) a relative administrative and teaching autonomy was conceded to the universities, as a gradual preparation for full autonomy.
- c) the direction of universities was the duty of a Rector and a University Council; the direction of colleges and schools was delegated to a Director, an Administrative Council and the Congregation.
- d) introduction of selection process for the admission of new faculty members. For academic effects, the regimes of livre docência and cátedra were considered equivalent.
- e) concerning the regime of cátedra, the reform granted lifetime tenure to the catedrático, after 10 years. They could only be removed if they abandoned the position or if they were judicially sentenced;
- f) introduction of some measures relating to academic organization: diversification of teaching methodologies and evaluation activities, and creation of other types of higher education courses. Teaching should be organized in a way that provided for the participation of students through observation and practice.
- g) The university should play an active role in the whole community. The organization of specific associations for faculty members and students was proposed as well as the development of means of communication between the university and other institutions. Meetings to debate the

⁵⁰ The measures concerning higher education were set up through three Decrees, signed up on the same date:

Decreto 19850 de 11 de abril de 1931. "Institui o Conselho Nacional de Educação e define sua função."

Decreto 19851 de 11 de abril de 1931. "Regula a organização das universidades brasileiras."

Decreto 19852 de 11 de abril de 1931. "Regula a reorganização da Universidade do Rio de Janeiro e a educação superior no país."

⁵¹ M. L. A. Fávero, op.cit., p. 34.

⁵² M. Campos, quoted by M. L. A. Fávero, op. cit. p. 34.

⁵³ M. L. A. Fávero, op.cit., p. 34-36.

university's role and the provision of services to the public were also suggested.

- h) The structural model of the University of Rio de Janeiro should be followed by other universities. However, some measures were proposed for the reorganization of this University, including a single university campus locating all the academic units at one site.

One may conclude these measures were rather advanced for the time. There can be no doubt that they reflected the influences of what was happening in other countries.

These reforms have been criticised, but it seems clear that it was only with their advent that the idea of a modern university begins to take shape. As a whole, these reforms reflect the uncertainty of an historical moment: one may note the dubious character of some statements and the reinforcement of the idea of a humanist and elitist education. On the other hand, they clearly opened new perspectives and emphasized essential aspects of higher education.

By the beginning of the 30s, there were nearly twenty schools of higher education and six universities in the country. This period has been considered critical in the history of Brazilian education - it was the turning-point from the "isolated schools of higher education era" to the "university era".

In 1934 and in 1935 the first experiment of universities as active, integrated and organic institutions took place with the creation of the universities of São Paulo and of the Federal District (Rio de Janeiro) as an initiative of their respective state governments.

The University of São Paulo was created by grouping a few existing isolated schools of higher education: Law, Polytechnic, Medicine, the Institute of Education and Luiz de Queiroz School, plus the newly created Faculty of Philosophy, Sciences and Letters. This Faculty was designed to cultivate knowledge, as well to promote the teaching of non-utilitarian subjects, to develop scientific research of all kinds and studies for their own sake. In addition, it was to be responsible for the basic courses which were common to all colleges and schools.⁵⁴

The Government itself was convinced that, bearing in mind the special character of the Faculty of Philosophy, special care had to be taken concerning its organization. A Commission was set up to elaborate the statutes of the University and, at the same time, a number of faculty

⁵⁴ M. L. A. Fávero, op.cit. p.38-39.

members were brought in from France, Italy and Germany to work in the new Faculty.

Unfortunately serious difficulties arose in the very first meeting of the University Council. The professional schools did not accept the centralization of their basic courses in the Faculty of Philosophy, despite that the objectives of this measure were aimed at developing a university ideal and avoiding the duplication of resources. After two years of debates, there was no agreement and each school re-assumed its respective basic core course subjects. It seemed that the Faculty of Philosophy could hardly accomplish its role in a country which had an anti-university tradition. By the end of 1938, this faculty too became a professional school, assuming the same character as most pre-existing schools in the country. From this year onwards, it took on the role of preparing teachers for secondary schools. One external factor also affected the project of the Faculty of Philosophy: the political regime implemented in 1937 issued regulations on the formulation of university's curriculum. The Faculty of Philosophy had to obey the new directives.⁵⁵

The University of the Federal District was also designed with the aim of being an integrated institution, rather than a mere union of isolated schools. This University was constituted of four Faculties (Philosophy and Letters, Sciences, Economy and Law, and Education) and one Institute (Arts). It came to life in the midst of the social and political disturbances which characterized the 30s, in particular the military insurrection of 1935. Since its creation, the new centre of higher education was seen as 'suspicious' and, for this reason, was always threatened with extinction. Finally, in 1938, it was dissolved by the Federal Government.⁵⁶

Thus, the aim of creating "organic and integrated" institutions did not succeed, either with the University of São Paulo or the Federal District. Even so, there is no doubt that these experiences are a milestone in the history of Brazilian universities.

In the decades of the 40s and 50s there were no substantial measures concerning higher education. The pattern of formation of Brazilian universities retained its two basic characteristics: the institutions were based on the concept of cátedra and were constituted by uniting the pre-existing isolated schools of higher education.

In the beginning of the 60s, the Government issued the Lei de Diretrizes e Bases da Educação Nacional -(LDB) (Law of Directives and Basis of

⁵⁵ M. L. A. Fávero, op.cit., p. 40.

⁵⁶ M. L. A. Fávero, op.cit., p. 41.

National Education) ⁵⁷ which set out educational policies for the country. This legislation did not introduce any changes in the organization of Brazilian universities. Rather than innovating, LDB maintained old and stereotyped structures: universities were still seen as a mere union of isolated establishments, although linked to each other through a central administration - the Rectorate. The system of cátedra was also maintained.⁵⁸

On the other hand, one aspect of particular importance was clarified by this legislation: the mechanism for the accreditation of universities, which involved a programme for the supervision and evaluation of higher education in the country. The Government has recently revised this mechanism⁵⁹, in order to correct some distortions which became apparent during the intervening years.

However, the regulations which were in force during the period covered by this study were the ones issued in the first version of LDB. In short, as established by this Law, the Ministry of Education exercised the duties of the federal Public Authority in educational matters, and was responsible for formulating and evaluating national policy on education, and for overseeing the quality of teaching and the observance of the relevant legislation.

In carrying out its functions, the Ministry of Education was helped by the Conselho Federal de Educação (Federal Council of Education), which had been assigned the fundamental responsibility for accrediting institutions of higher education, and supervising them up to the point of dissolution, if necessary.⁶⁰ No matter what their juridical status (public or private), all universities were subject to the scrutiny of the Federal Government. This is another important characteristic.⁶¹

⁵⁷ Lei das Diretrizes e Bases da Educação Nacional; n. 4024 de 20/12/61.

⁵⁸ M. L. A. Fávero, op. cit., p. 53.

⁵⁹ For the new directives concerning the mechanism of accreditation of universities in Brazil, refer to: Medida Provisória n. 938 de 16 de março de 1995. "Altera dispositivos da Lei n. 4024 de 20/12/68 e da Lei 5540 de 28/11/68 e dá outras providências."

⁶⁰ The Conselho Federal de Educação has been replaced by the Conselho Nacional de Educação. The functions of these bodies are much alike; the changes introduced refer basically to the procedures of accreditation of universities.

⁶¹ According to Medida Provisória n. 938/95, the mechanism of accreditation of universities "may be delegated to the States". This might indicate a tendency of the Federal Government to delegate the federal system of universities to the States, in the near future.

2.4.2 The university reform of the 60s

An accelerated pace of development started in Brazil in the 50s, caused by the industrialization process and economy growth. The economic and socio-cultural changes that took place soon led to an awareness of the stagnation of Brazilian universities. One may see the origins of this awareness in the 20s, when the first debates around the reformulation of Brazilian higher education were held. However, it was only in the 60s that the discussions took the shape of a national movement led by educators and students.

Initially confined within the university walls, the discussions soon reached the public forum. Voices from different sectors of the nation joined the debates on the crisis of Brazilian universities and clamoured for reform. At the end of the 60s, the movement in favour of university reform reached unprecedented proportions, most probably influenced not only by European movements, but also by the experience of Latin-American countries which had already fought for structural and functional modifications of their universities.⁶²

In this debate, old wounds were reopened. Besides the structure and organization of Brazilian universities, issues like the role of the university within developing societies, increasing student admissions and the expansion of courses appeared in every debate. The abolition of the system of cátedra was one of the most common demands of the movement.

The participation of students in the movement in favour of university reform was crucial. In the early 60s, the national and regional seminars which were organized to debate the matter had important repercussions. Among other aspects, the students demanded that universities should be committed to fulfilling the needs of society, that there should be a democratization of the teaching process and that the universities should be open to the general public. Students also demanded university autonomy, an expansion in the number of admissions, especially in the technological areas, and reformulation of the curriculum. In their declarations, students always associated reform of teaching with reform of society at large and other broader political issues.

In April 1964, the country was shaken by a military take-over. From this date to 1967, the student movement was transformed and became a fight on two central issues:

⁶² M. L. A. Fávero, op.cit., p. 44.

- a) the agreement made between the Ministry of Education and the United States Agency for International Development - termed the MEC-USAID Agreement⁶³ and
- b) the legislation issued by the new regime to control the functioning of student associations and the way they should participate in university life. With the promulgation of the Act no. 5, in December 1968⁶⁴, all demonstrations in the university sector were prohibited.

Thus, just as Brazilians in general were becoming actively involved in the reconstruction of the universities, they were prevented from doing so by an oppressive regime.⁶⁵

Between 1964 and 1968, the measures set out by the new regime were only partial and did not reflect the demands put forward by the reform movement.

It was only in the mid-1968, when the mobilization of students reached its most serious extent, that the Government reacted with a long-term response. On the 2nd of July, the Government set up a Working Party to investigate, "as a matter of urgency", the measures to be taken by the State to resolve the "university crisis".⁶⁶

The report of this Working Party suggested immediate measures to rationalize academic administration, to optimize resources and to democratize teaching. It also suggested that there should be simple administrative structures: the system of *cátedra* should be abolished and replaced by a departmental structure, based on the principle of co-responsibility of all members. Other measures were also suggested in the academic sphere, such as the creation of a first cycle of basic subjects for undergraduate courses, the implementation of a system of credits, establishment of courses of short duration to train an intermediate level of professionals, creation of graduate courses, etc. The measures mentioned above were translated into the text of the Law 5540 of the 28th November 1968, which was the final outcome of the reform movement in Brazil.

⁶³ Signed in 23/06/65, MEC/USAID Agreement provided for the assistance of American consultants to Brazilian specialists who were responsible for the reconstruction of higher education. In the reform movement, this Agreement was seriously criticized. It seemed to be a declaration of the incompetence of Brazil in this area, and to be a certificate of cultural dependence.

⁶⁴ The military regime assumed its most dramatic form with the promulgation of the Act no. 5: the regime arrogated to itself the power of revoking parliamentary mandates and the political rights of citizens, suspended the institute of *habeas corpus* for political crimes, suspended the National Congress and excluded from judicial cognizance any action directed against the Act no. 5 and others complementary to it.

⁶⁵ A comprehensive view of the reform movement of Brazilian university can be seen in: L. A. Cunha. "A Universidade Reformanda." Rio de Janeiro: Francisco Alves, 1988.

⁶⁶ M. L. A. Fávero, *op.cit.*, p. 65.

What is the essence of Law 5540/68?

According to this legal instrument, higher education includes among its aims research; the development of sciences, letters and arts; and the training of professionals at university level. Higher education should not be dissociated from research and should be normally based in universities and, only in exceptional cases, in specialised or isolated institutions. Universities and other institutions of higher education should be organized as public or private entities. Public ones should be legally constituted as quangos or when private, as foundations or associations.

One of the most fundamental changes introduced by this legislation was the abolition of the system of cátedra and the establishment of departments as the basic units of the university structure. The departmental structure was based on the principle of non-duplication of resources for obtaining identical or equivalent objectives, as explained by Sucupira:

"[The new departmental structure] implies the substitution of stagnant and parallel academic units by a teaching and administrative structure capable of eliminating the duplication of human and material resources. Faculty working in a same area of knowledge should be united in the same Department to serve the whole university."⁶⁷

Another principle of the University Reform Law falls in the academic sphere - the integration of teaching, research and public service. These two principles were intended to correct the situation that existed prior to the reform.

The university reform of the 60s provoked an enormous expansion of the higher education system in Brazil. In the process of modernization stimulated by the military regime, new universities were created in almost every state of the country. A serious consequence of this policy was that the Government has not been able to cope financially with the maintenance of this network of universities.⁶⁸

The 70s were characterized by the reorganization of universities according to the requirements of the new legislation. The implementation of a departmental structure met several difficulties. According to Fávero these

⁶⁷ Sucupira, quoted by Favero, op.cit., p. 69. (My translation)

⁶⁸ O. Dulci; S. de Azevedo. "A Crise da Universidade Pública e a Reforma do Sistema Federal de Ensino Superior." *Educação Brasileira*, 14(29):17-42, 1992.

difficulties were to be expected, since the reform constituted an imposition of a hard line military regime. Many difficulties were caused by the vices which had been inherited from the system of cátedra.⁶⁹

The implementation of the departmental structure continued to face problems in the 80s⁷⁰ and the idea of a university as an organic, integrated and autonomous institution seems to be a goal yet to be reached in Brazil. As can be seen in the words of Dulci and Azevedo, the shadow of old ideas and structures still seems to affect the Brazilian University of the 90s:

" [...] a few cases of effective management may be identified in federal universities. [...] In the present system, academic units seem to seek for individual and immediate objectives without much notion of the whole. "71

2.5 CONCLUSIONS

Bearing in mind this overview of the origin and present situation of the Brazilian higher education system, some ideas seem central to the development of this study.

Firstly, I conclude that, because they are agents of higher education on behalf of public authority, both private and public universities bear the same responsibilities to society. I believe this is particularly true where the management of their records and archives is concerned. Therefore, despite their character as private institutions, I am convinced that the management of the records of private universities should be subject to the relevant archival legislation.

Secondly, bearing in mind the opinions of Brazilian scholars on higher education, one may notice that most of the criticisms made of the colonial and republican systems of education were still valid for the university reforms of the 30s, the 60s and, at least to some extent, they continue to be valid up to the present day. In summary, these criticisms refer to the elitism

⁶⁹ M. L. A. Fávero, op. cit., p. 70.

⁷⁰ L. Zajdsznajder. A Organização Universitária Brasileira: Análise Crítica e Propostas Quase Utópicas. *RBAE*, 2(2):128-40, jul./dez. 1984.

E. F. Jaguaribe. "A Estrutura Departamental da Universidade Brasileira: Algumas Considerações Críticas." *RBAE*, 2(2):144-54, jul./dez. 1984.

⁷¹ O. Dulci; S. de Azevedo, op. cit., p. 21. (My translation)

of higher education, to the lack of autonomy of universities and to the lack of integration between the units.

As noted by Fávero in the 70s and Silva in the 80s, it seems that the Brazilian university of the 90s is still in a process of change; is still searching for a identity.

To what extension the characteristics of the old system of education and the traditional model for the constitution of Brazilian universities may have influenced archival programmes at Brazilian universities is an important question.

Among other aspects, the next chapters will seek to address these questions.

CHAPTER 3

BRAZILIAN LEGISLATION ON RECORDS AND ARCHIVES

3.1 INTRODUCTION

One of the most fundamental aspects to be taken into account when the establishment of archival programmes is being considered in a given country is the guidance given by existing legislation on records and archives.

The distinction between legislation and regulations proposed by Ktelaar is recognized throughout this study.

"Legislation is the product of the highest legislative authority of a nation (or, in a federal structure, a state) in a form appropriate to the constitution. Regulations may be regarded as embracing all measures concerned with the enforcement of legislation strictu sensu, i. e., those enactments established by the legislature (Parliament with the collaboration of the executive body). Regulations, however, may be enacted by any administrative authority with regulatory powers."⁷²

This chapter will be centred on the federal legislation concerning policies on records and archives. It also covers a regulation issued by the Ministry of Education, which deals specially with the organization of records and archives in universities.

An analysis of previously binding legislation will provide a basis for explaining archival activities carried out in the country. However, current legislation must be the basis for assessing any future developments in the archival field.

3.2 CONCEPTS

The following concepts are essential for understanding this chapter:

Archival system: a body of records and archives connected to a given sphere of government or private entity, which, whatever the position occupied within their respective administrative structures, function in an integrated manner in pursuit of common technical objectives.⁷³

⁷² E. Ktelaar. "Archival and Records Management Legislation and Regulations: a RAMP Study with Guidelines." Paris: UNESCO, 1985. (PGI-85/WS/9) p. 4.

⁷³ ASSOCIAÇÃO DOS ARQUIVISTAS BRASILEIROS. "Dicionário Brasileiro de Terminologia Arquivística." São Paulo: CENADEM, 1990, p. 99. (Translated by D.C. Libby)

Central archive: the unit responsible for the control of archives accumulated by the various administrative sectors and for records processing and decisions as to final destination.⁷⁴

3.3 EARLY LEGISLATION

Following the establishment of the National Archives of Brazil⁷⁵, subsequent acts concerning archival matters issued by the federal government were limited to the organization and functioning of this Institution. The earliest legislation promoting general policies on records and archives appeared in the mid-70s.

Decree 75,657/75 was issued on the 24th of April 1975 to regulate the System of General Services - SISG, which included the management of current records as part of its responsibilities. This Decree was valid until March, 1994, when the a new version of SISG was issued.

The second legal instrument was Decree 82308 issued on the 25th of September 1978 and dealt with the first version of the National System of Archives - SINAR. Decree 82,308/78 was in force until May, 1994, when the new version of SINAR issued.

Although no longer valid, these legal instruments are particularly important for this study, as they were in vigour during the period most universities set up their archival units. It is important to remember that at the time they were issued, the country was under the military regime installed in 1964.

3.3.1 Decree 75,657/75 - Regulates the System of General Services - SISG of civil bodies of the direct federal administration and of federal semi-autonomous bodies (quangos) and provides other measures.

Although not specifically intended to regulate the management of records, Decree 75,657/75 has played a fundamental role in the organization of these activities, at least in governmental bodies. This Decree established the Sistema de Serviços Gerais - SISG, which included the management of current records, as follows:

"Art. 1 - Under the generic title of General Services, and organized as a System, are the administration of public

⁷⁴ ASSOCIAÇÃO DOS ARQUIVISTAS BRASILEIROS, *ibid*, p. 17. (Translated by D.C. Libby)

⁷⁵ Regimento N. 2 de 2 de janeiro de 1838.

buildings, residential properties, material, transport and registry, as well as of movement of files, current records and transmission and reception of messages. [bold mine]

§ 1st. - Aggregated with the SISG are the bodies and units of the direct Federal Administration and semi-autonomous bodies specifically charged with activities with which this article is concerned."

The idea of regulating current records activities as one of a whole range of administrative activities, may be considered seriously damaging to the management of records and archives in Brazil. Although dealing with the management of records, Decree 75,657/75 ignored the authority of the National Archives on the matter, which might be seen as a reflection of the attitudes of the authoritarian regime.

SISG structure comprised a central body, which had the responsibility of managing the System, and the executing bodies. These were:

"Art. 2 - The SISG comprises:

I - The central body, responsible for administration, formulation of directives, orientation, coordination, supervision, control and specific inspection of matters relating to the System;

II - Sectorial bodies, comprising the departments, divisions or other units specifically charged with activities of concern to SISG in the ministries and associated bodies of the Presidency of the Republic; and

III - Sectional bodies, comprising the departments, divisions or other units in charge of specific activities of concern to SISG in semi-autonomous bodies."

As will be demonstrated in my chapter 5 (Surveying the management of archives at Brazilian universities) the structure of university archives were deeply affected by the structure of SISG, in particular in the federal setting. As federal universities assume the legal character of *quangos*, they obviously had to follow the prescriptions of this legal instrument.

The Departamento Administrativo do Serviço Público - DASP (Administrative Department of Civil Service) was designated the central body of SISG. The responsibilities assigned to DASP had a wide range, as follows:

"Art. 4 - The following tasks are assigned to the central body of the SISG, within the provisions of relevant laws and regulations:

[...]

"IV - Relating to registry, movement of files, records and transmission and reception of messages:

a) issuing standards governing the registration of records when generated, transmitted or despatched;

b) issuing standards governing the use, protection, conservation, reproduction and incineration of records; and

c) issuing standards governing the transmission and reception of messages.

[...]

Art. 9 - DASP will be the central body of SISG, without affecting its activities as a direct advisory body of the President of the Republic, and as the central body of the system for civil servants of the federal administration." [bold mine]

Again, the authority of the major archival institution in the country on records and archives management activities was not recognized. As can be seen, the National Archives was not participating in crucial decisions affecting activities like "registry", "movement of files", "protection, conservation, reproduction and incineration of records" of federal bodies.

3.3.2 Decree 82,308/78 - Institutes the Sistema Nacional de Arquivos SINAR (National System of Archives)

The second legal instrument produced during the military regime was Decree 82,308 of the 25th of September 1978.

Decree 82,308/78 set up the Sistema Nacional de Arquivos - SINAR (National System of Archives), whose concept and functioning was totally centred on the participation of the National Archives. The National Archives was given responsibilities concerning intermediate and permanent records, as follows:

"Art. 1 - The SINAR is created to assure the preservation of the public authority records and archives, bearing in mind their historical value or the best interests of the community.

Art. 2 - Associated with the National System of Archives are the bodies of the direct and indirect federal administration

*charged with activities concerning **intermediate and permanent records.***" [bold mine]

Following the same pattern of SISG, SINAR had a central body to which were given management duties and the executing bodies in the direct administration (ministries) and in semi-autonomous bodies (quangos).

"Art. 3 - The structure of SINAR comprises:

I - The central body: the National Archives of the Ministry of Justice;

II - Sectorial bodies, comprising the units charged with the activities of intermediate records in the direct administration;

III - Sectional bodies, comprising the units charged with the activities of intermediate records in semi-autonomous bodies."

The range of action left to the National Archives was restricted to operational issues, as no responsibility was delegated on strategic matters, in particular on records appraisal. This is quite clear through items I to VII of article 4:

"Art. 4 - The National Archives (central body) duties are:

I - establishing principles, directives, standards and methods concerning the organisation and functioning of intermediate records centres and archives;

II - orientating the preparation and organization of records to be transferred to records centres and to the archives;

III - supervising the conservation of records and archives under custody;

IV - making decisions concerning the location and installation of records centres;

V - stimulating documentary research;

VI - promoting technical cooperation and interchange activities with national and international institutions;

VII - promoting training courses in order to provide continuous updating of the activities of SINAR."

A National Commission of Archives was also instituted, with the following duties:

"Art. 7 - Attached to the central body, will be the National Commission on Archives, with the following duties:

- I - To examine the standards issued by the central body;*
- II - To advise the central body on technical, legal, historical and cultural matters;*
- III - To make recommendations to the central body regarding the improvement of SINAR;*
- IV - To make recommendations to promote the integrated administration of records and archives;*
- V - Elaborate its internal rules, to be approved by the Ministry of Justice."*

One may notice the only mention of records throughout the whole text of Decree 82,308/78 is given at item IV and is limited to the "integrated administration" of records and archives.

The National Commission of Archives reported to the National Archives and had the following composition:

"Art. 8 - The National Commission of Archives is made up of:

- I - the director-general of the National Archives who will preside over the Commission;*
- II - a representative of the Planning Secretariat of the Presidency of the Republic;*
- III - a representative of the Administrative Department of Civil Service - DASP;*
- IV - a representative of the General Staff of the Armed Forces;*
- V - a representative of the Ministry of Education and Culture;*
- VI - a representative of the Association of Brazilian Archivists;*
- VII - two members to be nominated by the National Archives."*

3.3.3 Some remarks on Decrees 75,657/75 and 82,308/78

SINAR and SISG were simultaneously in force for sixteen years, that is, from 1978 to 1994, when they were revised.

Thus, the legal instruments which regulate archives administration in Brazil failed for nearly twenty years to provide an integrated approach based on the life cycle of records, since the responsibilities concerning the management of current records were given to SISG and the administration of intermediate and permanent records were under the responsibility of the National Archives. Even with the reinstallation of the democratic system in 1985, it took nearly another ten years to correct the distortions imposed on records and archives management by Decrees 75,756/75 and 82,308/78.

As Jardim pointed out, neither DASP's duties on current records management nor the SINAR were actually implemented.⁷⁶ However, the legislation covering SISG and SINAR was in vigour at least on paper and had a significant impact on the management of the records and archives of institutions of higher education.

The version of SINAR which is in force today was issued through Decree 1,173/94 . This legal instrument will be analysed at section 3.4.2.

3.4 ARCHIVAL LEGISLATION CURRENTLY IN FORCE IN BRAZIL

The Brazilian Federal Constitution of 1988 guaranteed the access by citizens to information, as stated at Article 5, items XIV and XXXIII:

"XIV - it is guaranteed to everyone that access to information and the secrecy of sources will be protected, when necessary for the exercise of a profession;

XXXIII - everyone has the right to receive from public bodies information of particular interest to them or to the general public, which will be supplied within a legally defined time. If the information is not given, the responsibility will fall to the public body. Exception is made for information whose secrecy is essential to the security of society and the State;"

These constitutional principles were validated through the Law 8,159 of the 8th January 1991 - the National Law of Archives - issued for the purpose of setting out national policy on public and private archives.

Law 8,159/91 institutes the National Council of Archives (CONARQ) which has the duty of defining the national policy on archives and of acting as the central body of the National System of Archives (SINAR).

The competence, organisation and functioning of CONARQ and SINAR were regulated by the Decree 1,173 of the 29th of June 1994.

Law 8,159/91 and Decree 1,173/94 constitute the core of existing archival legislation in Brazil. Bearing in mind the role of this legislation for the purpose of this study, they will be commented on at greater length in the following sections.

⁷⁶ J. M. Jardim, *op. cit.*, p. 73.

3.4.1 The National Law of Archives - Law 8,159/91

Aside from assigning to the public authority the management and protection of records, Law 8,159/91 establishes basic archival concepts and regulates the organisation and administration of public archival institutions together with other basic issues concerning the functioning of archives services in society.

The Law is divided into five chapters, as follows:

- Chapter I - General Provisions
- Chapter II - Public Archives
- Chapter III - Private Archives
- Chapter IV - Organisation and Administration of Public Archival Institutions
- Chapter V - Access to and Secrecy of Public Records
- Final Provisions.

Each chapter will be commented on separately and aspects which are of special relevance to the university setting will be highlighted.

Most of the text in Chapter I - "General Provisions" refers to the principles of the right to information and to the parallel aspect, restriction of information. The concepts of records and records management are also included in this chapter.

Chapter I - General Provisions

"Art. 1 - The management of records and the protection of records and archives, as instruments of support to administration, culture and scientific development and as a provision for evidence and information, is the duty of the Public Authority.

Art.2 - For the purpose of this Law records are defined as recorded information produced and received by public bodies, institutions of public character and private entities, in the course of their specific duties, and by individuals, regardless of the medium or the physical character.

Art. 3 - Records management is defined as covering the procedures and technical operations relating to the production, movement, use, appraisal and filing of records in their current and intermediate phases, with the aim of either their destruction or transfer to permanent storage.

Art. 4 - Every person has the right to receive from public bodies information which is of specific interest to them or to the general public, which may be contained in records and archives. This will be supplied within a legally defined time. If this information is not given, the responsibility for the failure will fall on the public body. Exception is made for those records whose secrecy is indispensable to society and to the security of the State, or which affect the inviolability of people's private lives, honour and reputation.

Art. 5 - The public authority will make provision for the consultation of public records and archives according to the Law.

Art. 6 - The right to monetary compensation is guaranteed in the case of physical or moral damage resulting from the violation of secrecy, without prejudice to the right to criminal, civil or administrative action."

Comments on Chapter I will be made along with Chapter II - "Public Records", as they have complementary implications on the university setting.

*"Art. 7 - **Public records** are those which are produced and received, in the exercise of their duties, by **public bodies (federal, state, municipal and the Federal District)** in the course of their administrative, legislative or judicial activities.*

*§ 1 - Also considered as **public** are those records produced and received by **institutions of public character** and **private entities charged in their mandates with the management of public services.***

§ 2 - When public institutions and institutions of public character are dissolved, their records and archives must be transferred to a public archival institution or to their successor institution.

Art. 8. - Public records are identified as current, intermediate and permanent.

1 - Current records are those still in use and those which, although administratively inactive, are subject of frequent consultation.

2 - Intermediate records are those no longer pertinent to administrative activities and which will, according to proper records management procedures, either be disposed of or transferred to an archives."

3 - Permanent records are those which must be indefinitely preserved due to their historical, evidential and cultural value.

Art. 9 - Destruction of records produced by public institutions and bodies of public character will be carried out under the authority of the relevant public archival institution.

Art. 10 - Records of permanent value are inalienable and imprescriptible." [bold mine]

I believe that the principles set out above directly affect the management of records and archives of public and private universities. As demonstrated in chapter two of this study, public universities have the legal character of semi-autonomous bodies (quangos) and, therefore, are "institutions of public character". Private universities have the legal character of foundations or associations, a prerogative of institutions created with humanitarian, beneficent, cultural or charitable aims, among others. Both public and private universities are "entities charged with the management of public services in their mandates." That is, they are charged with the provision of education by the Federal Government, which will exercise a scrutiny over their activities. Therefore, under the perspective of Chapter II of the Law 8159/91, the records and archives of Brazilian universities - public and private - are considered public. For this reason, it may be inferred that they are equally subject to the principles established in Chapter I, concerning the right to, and restriction of information. This last aspect deserves special attention, bearing in mind that the great bulk of a university's records relate to people (students and staff), and they are entitled to the right of privacy .

It may also be inferred that Brazilian university records and archives are also affected by the rules concerning the transfer of records and archives wherever there occurs a dissolution of public or semi-public institutions or the possible destruction of the records they produce. According to paragraph 2 of article 7, when a public body is dissolved, "the public archival institution" (federal, state, municipal and the Federal District) or their respective successors, are the designated receiving bodies for the records and archives. Destruction of records, should occur, according to article 9, "under the authorization of the relevant public archival institution". In the case of public university records, the relevant archival institutions are the National Archives, or state, or the Federal District, or municipal archives. In the case of private

universities, whose records are also public, one may argue that the relevant archival institution might be municipal or state archival institutions.

Public records are identified as current, intermediate or permanent, according to article 8, chapter II. This issue seems misplaced in this chapter, as this identification is also extended to private records. Perhaps it would have been more appropriate if this matter had been treated as a complementary to the "general dispositions" - Chapter I.

The final aspects of Chapter II (art. 10) concern the inalienability and imprescriptibility of public records. Again, university records are also affected by these principles.

The rules set out in Chapter III - Private records and archives - seem to relate specially to public universities.

"Art. 11 - Private records are defined as those produced or received by individuals or legal entities in the course of their activities.

*Art. 12 - Private archives can be identified by **the Public Authority as of public and social interest**, provided they are considered as sources of information relevant to the national history or scientific development.*

Art. 13 - Private archives designated as being of public and social interest may not be dispersed or transferred in such a way as to lose their integrity, nor can they be taken abroad.

*# When the ownership of private archives is transferred, the **Public Authority will have the first option in acquiring them.***

[...]

Art. 15 - Private archives defined as being of public and social interest can be deposited under a revocable agreement, or donated to public archival institutions." [bold mine]

As part of the Public Authority, public universities may fulfil an invaluable role, along with public archival institutions, in carrying out the duty of identifying private archives of public and social interest. As will be demonstrated in my chapter 5 (Surveying the Management of Archives at Brazilian Universities), they have been quite active in the collection and management of private archives and/or regional collections. Surely, universities are among the institutions best capable of identifying "sources of information relevant to national history or scientific development."

One of the most significant effects of the National Law of Archives on university records and archives management derives from the rules on the "Organization and Administration of Public Archival Institutions", stated in Chapter IV.

“Art. 17 - The administration of public or public character documentation is the responsibility of the federal, state, Federal District and municipal archival institutions.

§ 1 - Federal archives are: the National Archives of the Executive, and the archives of the Legislature and the Judicature.

[...]

§ 2 - State archives are: the archives of the Executive, the archives of the Legislature and the Judicature.

§ 3 - Archives of the Federal District are: the archives of the Executive, the archives of the Legislature and the archives of the Judicature.

§ 4 - Municipal archives are: the archives of Executive and the archives of the Legislature.

§ 5 - Public archives of the Territories are organised in accordance with their politico-judicial structure.

Art. 18 - The National Archives are responsible for the management of records and archives of the Federal Executive, as well as preserving and facilitating access to archives in its keeping and complying with and implementing the national archival policy.

For the complete exercise of its responsibilities, the National Archives may set up regional units.

[...]

Art. 21 - Legislation issued by States, Federal District and municipalities will define the criteria for the organization and lines of command for state and municipal archives, as well as for the management of and access to records and archives , whilst observing the precepts of the Federal Constitution and this Law.” [bold mine]

As demonstrated above, the structure of public archives in Brazil follows the political-administrative organization of the Federal Republic of Brazil, establishing public archival institutions at federal, state, the Federal District (Brasília) and municipal levels. (figure 3.1)

**FIGURE 3.1
STRUCTURE OF BRAZILIAN PUBLIC ARCHIVAL INSTITUTIONS
ACCORDING TO LAW 8,159/91**

Political-Administrative structure of the Federate Republic of Brazil	<u>Archival Institution</u>
<u>Federal</u> Executive Legislative* Judicature*	National Archives
<u>State</u> Executive Legislative Judicature	State Archives
<u>Federal District</u> Executive Legislative Judicature	Federal District Archives
<u>Municipal</u> Executive Legislative	Municipal Archives

* Federal Legislature and Judicature are responsible for the management of their own records and archives.

Therefore, considering the public character of university records and archives, it is possible to infer that the archives of federal, state and municipal universities will fall under the jurisdiction of federal, state, Federal District or municipal governments, respectively. Archives of private universities, on the other hand, may fall under the responsibility of municipal or state archival institutions.

Also considering their public character, university records and archives are fully subject to the legal dispositions established in Chapter V - "Access to and secrecy of public records", which are as follows:

"Art. 22 - The right of full access to public records is assured.

Art. 23 - A specific Decree will establish the categories of secrecy to be followed by public bodies in the classification of records they produce.

§ 1 - Records whose disclosure puts at risk the security of society or the State, as well as those deemed necessary for the protection of an individual's inviolable right to privacy, honour, and reputation, are secret by their nature.

§ 2 - Access to secret records bearing on the security of society or the State will be restricted for a maximum term of 30 (thirty) years from the date of their completion. That term may be extended once by a term of equal length.

§ 3 - Access to secret records bearing on the honour and reputation of persons will be restricted for a maximum term of 100 (one hundred) years, from the date of their completion.

Art. 24 - The Judicature may, in any case, determine the restricted access to secret records, whenever this may be essential to the defence of the rights of individuals, or concerns information on the personal situation of parties in litigation.

No administrative regulation may be interpreted in a way that infringes in any way the principles of this article."

Because of the provisions above, university archives must be aware of the implications concerning the enforcement of the Law on full access to public records and the occasions when full restriction or restricted access are prescribed. Therefore, paragraphs 1 and 3 of article 23 and article 24 seem to be of special concern in the university setting, bearing in mind the quantity of records they hold concerning people.⁷⁷

"Final Provisions" deals with aspects of the physical protection of records and with the institution of the National Council of Archives - CONARQ. University archives are also subject to these dispositions.

⁷⁷ The aspect of access to records in a university setting dealt with Portaria 255/90 of the Ministry of Education, as can be seen at section 3.6. As will be demonstrated, this contradicts the dispositions of Law 8159/91.

“Art. 25 - Whosoever disfigures or destroys records of permanent value or those considered to be of public and social interest will face penal, civil and administrative sanctions in a form to be determined by the governing laws.

Art. 26 - The National Council of Archives (CONARQ) is established as a body linked to the National Archives, and will define national archival policies, and act as the central body of a National System of Archives (SINAR).

§ 1 - The National Council of Archives will be presided over by the Director-General of the National Archives and will be joined by representatives of archival, academic, public and private institutions.

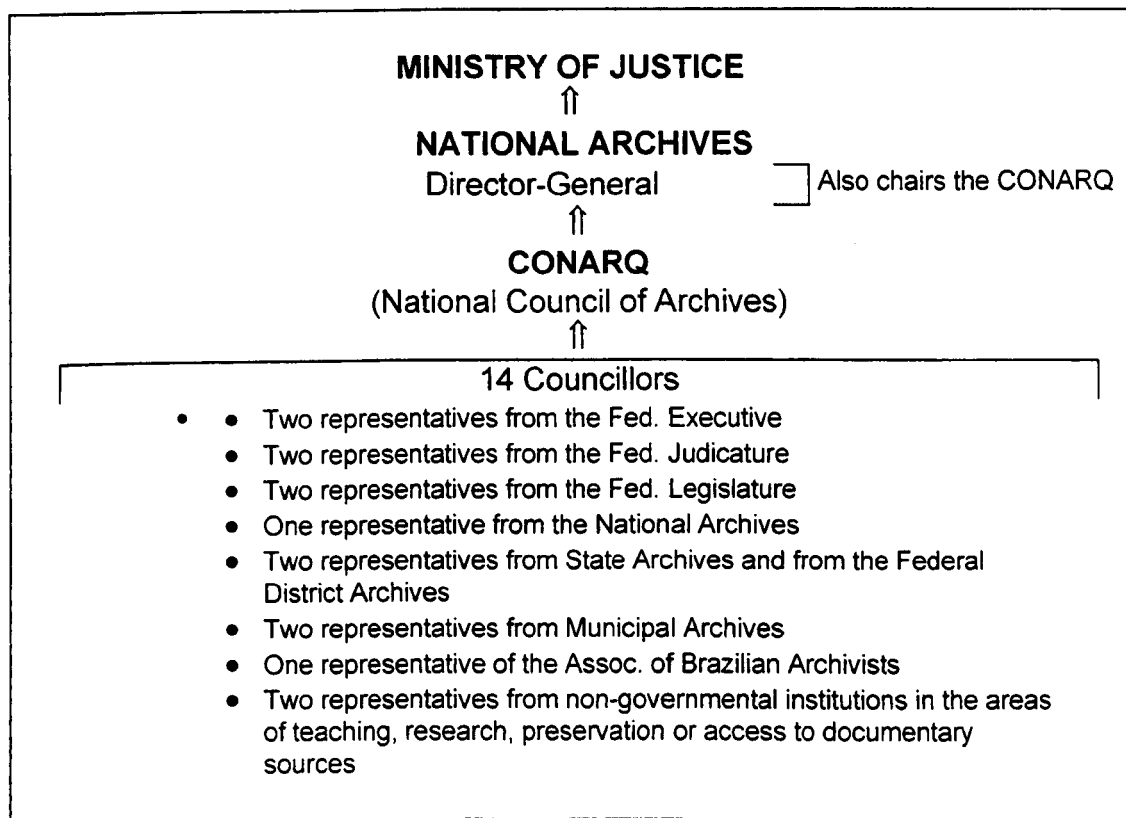
§ 2 - The structure and functioning of the Council created by this article will be determined by regulation.”

3.4.2 Decree 1,173/94 - Regulates the competence, organization and functioning of the National Council of Archives (CONARQ) and the National System of Archives (SINAR) and makes other provisions.

This Decree was issued, following what was determined in the National Law of Archives, to regulate the competence and functioning of CONARQ and SINAR. According to Decree 1,173/94, these bodies have been assigned complementary roles. CONARQ, as the central body of SINAR, sets standards, whereas SINAR is the executive body.

CONARQ was designed as a collective body, linked to the National Archives and presided over by its Director-General. It has a membership of fourteen councillors who are appointed by different parts of the Federal Government and representatives of Brazilian society. The structure of CONARQ is represented at figure 3.2.

**FIGURE 3.2
STRUCTURE AND COMPOSITION OF CONARQ
ACCORDING TO DECREE 1,173/94**



As can be seen from article 2, CONARQ has been given a wide range of powers on records and archives management. Besides being in charge of drawing up the national archival policy, it establishes and oversees the activities of SINAR.

“Art. 2 - CONARQ’s duties:

I - Establishing directives for the functioning of SINAR as regards records management and preservation of, and access to archives;

II - Promoting relations between public and private archives with a view to inter-change and systematising the integration of archival activities;

III - Proposing to the Ministry of State for Justice the legal provisions necessary for the refinement and implementation of public and private national archival policy;

IV - To monitor the effect of constitutional and legal provisions which orientate the functioning of, access to, public archives;

V - To stimulate programmes of records management and preservation of public records produced or received during the course of executive, legislative or judicial functions, in federal, state and municipal bodies;

VI - To support the elaboration of national development plans, suggesting aims and priorities for public and private national archival policy;

VII - To stimulate the implementation of archival systems in Executive, Legislative and Judicial Authorities, as well as those at state, Federal District and municipal levels;

VIII - To stimulate the integration and modernization of public and private archives;

IX - To declare as being of public and social interest those private archives which contain sources of relevance to national history and development, as defined by art. 12 of Law 8159/91;

X - To stimulate the training of human resources which develop archival activities in the institutions within SINAR;

XI - To recommend provisions for discovering and remedying any acts harmful to the national policy on public and private archives;

XII - To promote the development of a register of the national public and private archives, as well as conducting archival surveys;

XIII - To maintain relations with other councils and institutions whose objectives are related or complementary to its own, in order to supply or receive information or advice, coordinate efforts and unite actions;

XIV - To interact with other public policy-making bodies in the areas of education, culture, science, technology, information and informatics.”

Although CONARQ has been assigned with records management duties, it is subject to definitions issued by a different body on aspects of "use, supply, recycling, standardization, reproduction and acquisition of papers and forms", since the new version of the SISG⁷⁸ has been assigned this duty.

Decree 1,173/94 fails to establish a concept of "archival system". Instead, it enunciates the participants of SINAR and nominates the CONARQ as the "central body" of the archival system, thus, following the same pattern of the early legislation on records and archives - Decrees 75,657/75 and 82,308/78.

"Art. 11 - The SINAR has CONARQ as its central body.

"Art. 12 - SINAR is made up of:

I - The National Archives;

II - The archives of the Federal Executive;

III - The archives of the Federal Legislature;

IV - The Federal Judicature archives;

V - The archives of the States (Executive, Legislative and Judicial Authorities);

VI - The archives of the Federal District (Executive, Legislative and Judicial Authorities);

VII - The archives of municipalities (Executive and Legislative Authorities).

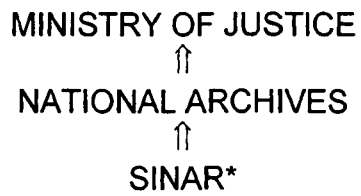
§ 1 - The archives referred to in paragraphs II to VII, when organized under the system approach, become integrated within SINAR, via their central bodies.

§ 2 - The archives of individuals and legal entities with private rights, may be integrated into the System by agreement with the Central Body."

An attempt will be made to represent SINAR according to Decree 1,173/94 in figures 3.3 and 3.4. As mentioned above, aside from state, municipal and the Federal District archives, the structure of SINAR comprises the National Archives and the federal archives (federal executive, legislature and judicature). This seems a redundancy, as the National Archives itself is made up by the federal archives.

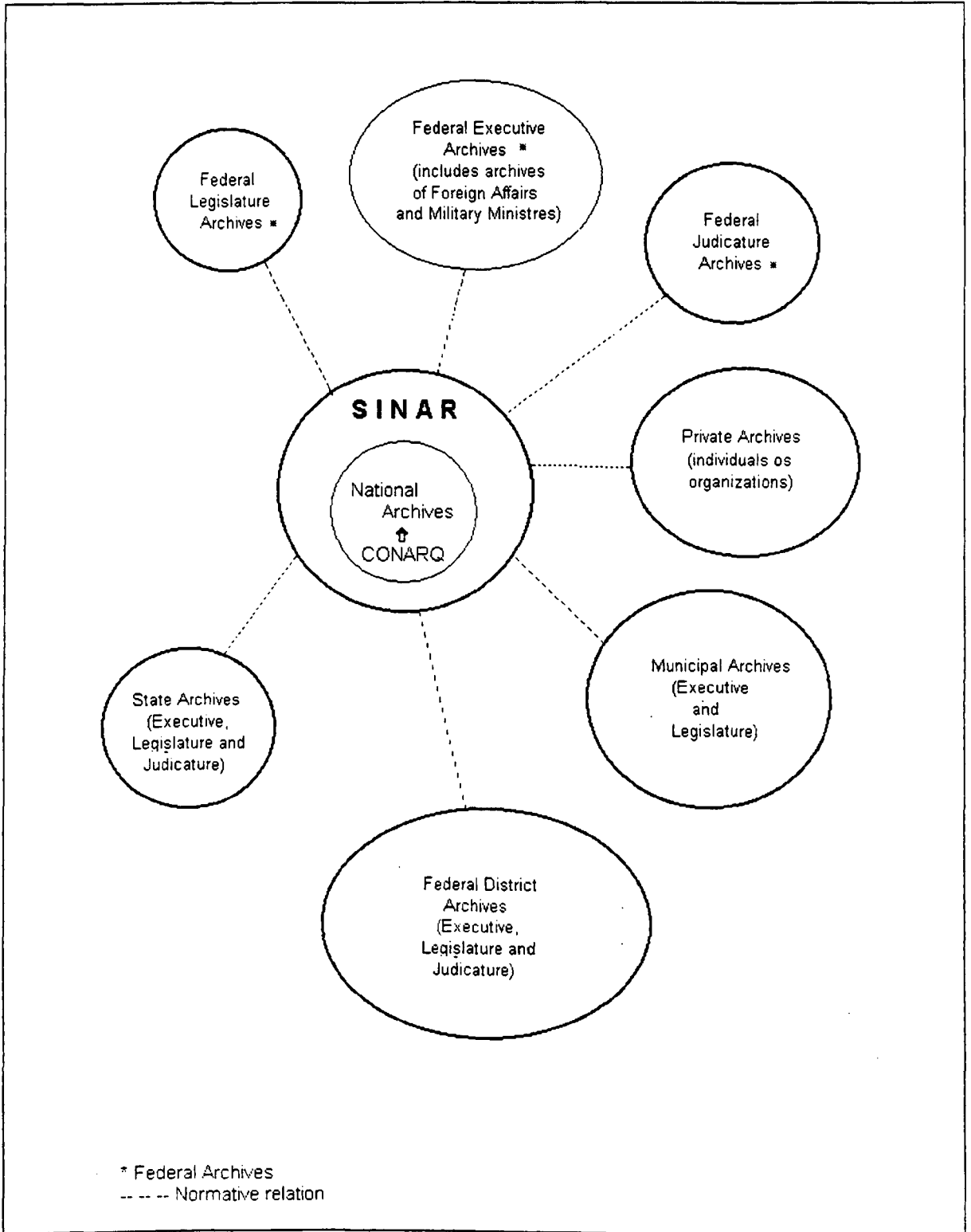
⁷⁸ Decreto 1094, de 23 de março de 1994. "Dispõe sobre o Sistema de Serviços Gerais dos órgãos civis da administração direta, das autarquias federais e fundações públicas e dá outras providências."

**FIGURE 3.3
REPORTING LINE OF SINAR ACCORDING TO
DECREE 1,173/94**



* CONARQ is the central body of SINAR

FIGURE 3.4
THE NATIONAL ARCHIVAL SYSTEM - SINAR
ACCORDING TO DECREE 1,173/94



The structure of SINAR does not seem clearly consistent as stated. The National Archives, as the superior body of CONARQ, cannot be subject to the policies dictated by this body, because the CONARQ is actually under the jurisdiction of the National Archives. I understand that, if the relation of CONARQ with the National Archives is one of subordination, as the Law prescribes, the National Archives obviously becomes the central body, not CONARQ. On the other hand, one might agree with CONARQ acting as the central body of SINAR, if its administrative relation with the National Archives acquires a different character, for example, that of an advisory body. In this case, CONARQ would have a superior hierarchical position, perhaps linked to the Ministry of Justice.

There is another crucial issue which is obscured in the legislation. As established in paragraph 1 of article 12, when organized under the "system approach", the participants become integrated within SINAR, through "their central bodies". The legislation, however, fails to provide the meaning of "central bodies", in this case, a central archive, another basic concept for the understanding of the SINAR's structure. The functions of a central body, are not defined nor is placement within the overall system clear.

For the development of this study, however, I will consider the concepts of "archival system" and "central archive" as stated in the beginning of this chapter because they seem consistent with the idea of the SINAR.

3.5 RELATED LEGISLATION: Decree 1,048 of the 21 of January 1994 and Decree 1,094 of the 23 of March 1994.

There are at least two other legal instruments which should be mentioned given their relevance to records and archives management in the Governmental area.

The first one is Decree 1,048 of the 21 of January 1994⁷⁹ which sets up the Sistema de Administração dos Recursos de Informação e Informática - SISP (System of Administration of Information and Informatics Resources) is responsible for the management of the informational and informatics resources of bodies connected to federal public administration, including semi-autonomous bodies (quangos) and foundations.

The second legal instrument to be mentioned is Decree 1,094 of the 23rd of March 1994, which revised the SISG⁸⁰. In the new version, SISG had the responsibilities

⁷⁹ Decreto n. 1048 de 21 de janeiro de 1994. "Dispõe sobre o Sistema de Administração dos Recursos de Informação e Informática -SISP da Administração Pública Federal e dá outras providências."

⁸⁰ Decreto n. 1094 de 23 de março de 1994. "Dispõe sobre o Sistema de Serviços Gerais - SISG dos órgãos civis da Administração Federal Direta, das autarquias federais e fundações públicas, e

retaling to current records withdrawn, but, on the other hand, it has been charged with issuing norms concerning "the use, supply, recycling, standardization, reproduction and acquisition of paper and forms".

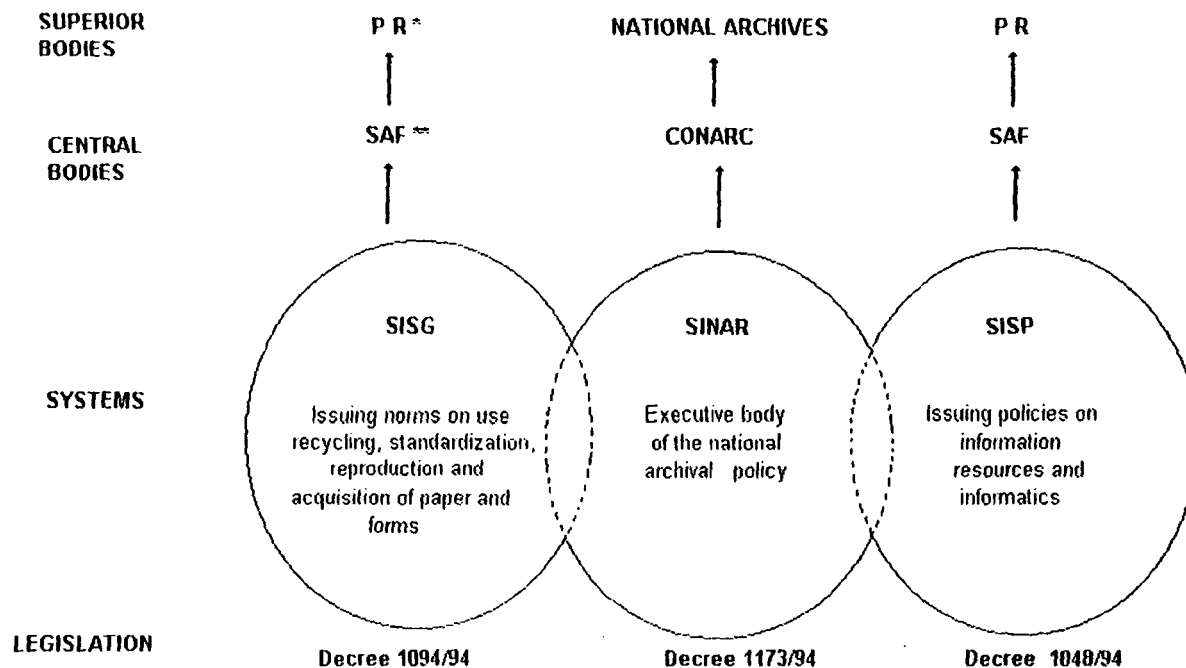
Both systems - SISP and SISG - affect the national policy on archives.

Policies issued by SISP will have a direct influence on the actions of SINAR concerning the automation of archives. Therefore, a continuous and proactive relationship between these bodies will be crucial to assure that both systems carry out their responsibilities effectively.

Nevertheless, records management activities remain split up between two different bodies: although CONARQ has been formally charged with records management, a significant aspect of the matter (use, supply, recycling, standardization, reproduction and acquisition of paper and forms) has been assigned to SISG.

The interconnections among SINAR, SISG and SISP are shown in figure 3.5.

**FIGURE 3.5
INTERCONNECTIONS AMONG SINAR, SISG AND SISP**



^{*} Presidency of the Republic
^{**} Secretariat of Federal Administration

3.6 THE MINISTRY OF EDUCATION REGULATION ON UNIVERSITY'S RECORDS: Portaria 255 of the 20th of December 1990.

The only specific regulation concerning the management of archives in Brazilian universities is the Portaria 255/90 of the Ministry of Education.

This Ministerial provision was issued as a response to inquiries by federal and private institutions of higher education on matters concerning "filing and destruction of records". A remark is also made in the regulation on the need to keep the "**filing of books and records regarding the activities of institutions of higher education in a rigorous fashion.**" [bold mine]

However, rather than giving a broad coverage of records management in the university setting, as it suggests, this regulation is restricted to specific bodies of records: it deals essentially with student records, which might reflect the central concern of the inquiries presented to the Ministry and, on a smaller scale, with minute books of councils, departments, and faculty records.

The organisation of the "school records and archives" is looked at from two points of view: "records in movement" comprising "books and records" in process of compilation and "definitive records" comprising the completed files. While delegating the responsibility of "records in movement" to the secretary of the institution, no provision of responsibility is made for the "definitive records."

Another term employed in the regulation is "perpetual records" which is recommended for the following records: minute books of councils and departments, student transcriptions and records concerning teaching activities. One may question whether "definitive" and "perpetual" records have been employed with the same meaning and whether they might be associated with the archival unit of the institution.

Bellotto argued that, although reflecting the thoughts of the Federal Government on the function of archives in universities, the approach to the subject in this regulation is only partial and, "in some ways, devoid of modern archival terminology."⁸¹

Bellotto's point of view may be accepted, except for the use of the expression "in some ways". As demonstrated above, all the basic terms concerning records and archives management were ignored, which demonstrates the isolated character of this legal provision. There is no acceptable reason why a legal document dating from the 90s should adopt the terms mentioned above.

⁸¹ H. L. Bellotto. "Por uma política de arquivos para a universidade brasileira." *Atas do I Seminário Nacional de Arquivos Universitários*. Campinas, 1991. p. 21.

As to this last aspect, Bellotto pointedly notes:

*"The perpetual filing is required only for the minute books of Councils and Departments, alumni transcriptions, no matter whether the courses were concluded or not, and the documentation relating to teaching activities. Bearing in mind the **sweeping nature of the last item as opposed to the specificity of the rest**, and the lack of reference to the activities of research and public service, one may conclude this regulation is far from covering all the documentation produced/accumulated in the universities." [my translation, bold mine]*

I believe that the expression "teaching activities" is employed not in a wide sense, but in the sense of a given series of records. To be consistent with "minute books" and "student transcriptions", this expression might be referring to the series "faculty case files". If this is so, the functions of research and public service would not be entirely left out. Nevertheless, the vagueness of the expression is undeniable.

In practice, Portaria 255/90 has not had a significant impact on the structure of university archival programmes. As will be demonstrated later, the responsibility for student records has been traditionally given to the Secretary in some universities, while the organization of other university records has been affected by Decree 75,657/75, which issued the first version of the System of General Services - SISG.

Portaria 255/90 and the National Law on Archives (Law 8,159/91) had a gap of only eighteen days between them. It is important to note that the prescriptions of the Ministerial Regulation on matters such as the destruction of records and transferring them when institutions are dissolved (art. 8 to 10) contradict what is prescribed in the National Law on Archives. Where there is conflict, the prescriptions of the highest legal disposition on records and archives management in the country will prevail over any other regulating act.

Most probably, if work on archival legislation had been properly coordinated in Brazil, the conceptual mistakes of the Ministerial Regulation could have been avoided, or perhaps it might have not been issued at all.

On the other hand, the strong point of Portaria 255/90 is that it elucidates the public character of university records and archives, which is in accordance with the principles of the Federal Constitution and Law 8,159/91. As stated in the introductory paragraphs of Portaria 255/90 "school records and archives of teaching institutions authorized by the public authority are part of the heritage

of the Union." This idea must be central to any archival activity in the university setting.

3.7 CONCLUSIONS

The archival legislation in force in Brazil dates from the 90s. Bearing in mind the distortions inherited from the legislation issued by the military regime, the actual legislation is an achievement in the sense that the National Archives is officially recognized as the highest authority on archival matters in the country. It also recognizes the administration of archives according to the life cycle of records, thus correcting distortions in the early legislation.

However, in spite of these achievements, the actual legislation is contradictory in some aspects and obscure in others. Focusing on the structural aspects of SINAR, I conclude that the National Archives is the actual central body of the SINAR and not CONARQ, as stated in the legislation. Another aspect not elucidated in the legislation is the function of the central bodies of SINAR's participants and their placement within the overall System.

Two other systems are involved in the implementation of the national policy of archives - SISP and SISG. SINAR must interact with SISP on issues concerning the management of informational and informatics resources. However, the interaction of SINAR with SISG on matters related to the management of paper and forms is a distortion in the legislation which ought to be urgently reviewed. These responsibilities have been considered as part of records management⁸², which, in the Brazilian case, have been delegated to CONARQ and SINAR.

- b) university archives which combine the tasks of managing both institutional and non-institutional materials;
- c) university archives centred in the administration of non-institutional archives.

The analysis of the Brazilian legislation has also demonstrated the public character of university records and archives. For this reason, it may be argued that university records and archives are already subject to provisions in the legislation which should be taken into account in planning and administration. This argument is fundamental for the logic of this study.

⁸² This view may be seen at:

M. Cook. "Information Management and Archival Data." London: Library Association Publishing, 1993. P. 29.

CHAPTER 4

**THE LITERATURE ON
UNIVERSITY ARCHIVES:**

A REVIEW

4.1 INTRODUCTION

The management of university archives relies on the basic principles of general archival practice. These principles are set out in several manuals published on the subject, whose dates of publication vary from the end of the last century to this decade.⁸³

The distinctiveness of university archives literature arises, however, from the application of established archival theories and practices to higher education. It seems clear, from the bibliographical search undertaken in this review, that this distinctive character can be seen in the literature since the 50s. Therefore, it is this subset of the general literature which will be taken into account to review the concept, role and administrative aspects of university archives. The main aim of this chapter is to extract and make clear the models of university archives as described in the literature.

4.2 CONCEPTS

New terms are being introduced in this chapter with the following meaning:

Institutional records and/or archives : this category includes records and archives accumulated as a result of the academic and administrative activities of the university, as well as records and archives accumulated by bodies connected with the university (e.g. student, staff and faculty associations) or by faculty, staff and students as a result of their relations with the university.

Non-institutional records and/or archives: records and archives produced elsewhere and collected and administered by the university. This term is being employed interchangeably in this study with the term "other people's archives".

⁸³ A selection is as follows:

- S. Muller, J. A. Feith and R. Fruin. *Manual for the Arrangement and Description of Archives*. New York: Wilson, 1968. (Original edition in Dutch, 1898)
- H. Jenkinson. *A Manual of Archive Administration*. London: Percy Lund, 1965. (First edition, 1922)
- T. R. Schellenberg. *Modern Archives: Principles and Techniques*. Chicago: The University of Chicago Press, 1956.
- M. Cook. *Archives Administration: a Manual for Intermediate and Smaller Organizations and for Local Government*. Folkstone: Dawson, 1977.
- J. G. Bradsher, ed. *Managing Archives and Archival Institutions*. London: Mansell, 1988.
- M. Cook. *Information Management and Archival Data*. London: Library Association Publishing, 1993.

Record offices: this term is used in Britain to designate local government archives services.⁸⁴

4.3 UNIVERSITY ARCHIVES: CONCEPT, ROLE AND CHARACTERISTICS

An interesting way to make an initial approach to the literature on university archives is, possibly, through the findings of surveys. These surveys provide an illuminating view of the characteristics of university archives and the principal issues raised by them.

The most recent survey reported in the literature was conducted in Britain with the sponsorship of the Society of Archivists and Standing Conference on National and University Libraries-SCONUL.⁸⁵ The data was obtained by questionnaire, which was circulated between March and May 1987 to "all known heads of established records repositories within universities or university colleges, whether the repository so identified formed an independent section within the institution, part of the administration, the library or an academic department."⁸⁶ As can be seen, this survey was intended to cover the British university scene in a comprehensive way.

The report was based on 137 responses which were considered usable, but unfortunately the response rate was not stated. It must be noted that the term "university repository" was adopted in Britain and, for the purpose of the survey, it was broadly defined as

"... any individual or section having a specific responsibility for any body of records, archives or manuscripts howsoever defined. It includes universities and colleges which have only the care of their own records and also libraries and academic departments (a small minority) which have accepted material on a one off basis and which have no definable collecting policy."⁸⁷

⁸⁴ The origin of this term is explained in detail by M. Cook, "Information Management...", p. 4-5.

⁸⁵ Society of Archivists and Standing Conference of National and University Libraries-SCONUL. "The Role and Resources of University Repositories: report and discussion document." 1989.

⁸⁶ *Ibid.*, p. 6.

⁸⁷ *Ibid.*, p. 5-6.

The SCONUL report demonstrated that the actual situation had not changed significantly since a study made by McLaren⁸⁸ in the mid-70s: the organization and structure of British university repositories continue to be quite diverse in terms of their holdings, and collecting policies and their approach to their own records.

The variety of materials collected by British university repositories is clearly stressed in the report::

"Virtually infinite in their variety, they range from examples of the earliest written texts in English and many other languages to the records⁸⁹ of modern industry and science sometimes less than a decade old. In addition to recording the birth and development of higher education in this country they also include records reflecting the work of the nation's great statesmen, soldiers, scientists, scholars, philanthropists and authors and the lives of many ordinary working people [...]"⁹⁰

It may be inferred from this quotation that university repositories are involved not only with the collection of universities' own records and archives, but with materials of different origins. Indeed, the variety of non-institutional records goes beyond the materials listed above.

"University repositories also provide a home for the records of several Anglican dioceses, for the principal records of the Methodist Church and for a substantial number of missionary records. By virtue of their historic foundation and endowment a number of the older colleges of the Universities of Oxford and Cambridge hold manorial records and major estate records dating from the medieval times. A number of university repositories are recognized as places for the deposit of public records, ecclesiastical records and specified Foreign Office and Ministry of Defence records. University repositories are also among those considered to be appropriate places of deposit for records accepted by the nation in lieu of tax."⁹¹

⁸⁸ C. A. McLaren. "Records Repositories in British Universities." *American Archivist*, 38:181-90, Apr. 1975.

⁸⁹ In Britain, the terms "records" and "archives" are used interchangeably, as explained in detail by: M. Cook. "Information Management ...", p. 4-5.

⁹⁰ Society of Archivists/SCONUL, *op. cit.*, p. 1.

⁹¹ Society of Archivists/SCONUL, *op. cit.*, p. 1.

It is also stressed that the reason why records and archives have been collected and continue to be collected by universities is fundamental to their major purpose: the pursuit of research. Where collection policies have been established, they have evolved as a reflection of the work of faculties and departments which have gained recognition as centres of excellence in their fields. Over the years, these repositories have been able to attract substantial grant aid, from either the public or the private sector, to fund a variety of activities, such as surveying, cataloguing and conservation. Hence, they have provided an important contribution to both scholarship and the preservation of the national heritage.⁹²

The report also provides an interesting insight into administrative aspects of British university repositories.

University repositories have most commonly been placed under the library, either when the holdings are non-institutional or both non-institutional and institutional. This location is reported by over half of the respondents. The other existing lines of subordination are mostly to the central administration, to an academic department or jointly by central administration and library. Within the library, however, holdings may constitute a separate department of archives and manuscripts, may be part of one or more special collections or they may even be placed together with reserve books. Special collections, on the other hand, may be held by an academic department or other separate unit, even when administrative responsibility has been given to the library.⁹³

With regard to resources and budget allocations, a significant characteristic was pointed out: most university repositories are linked to larger units and do not tend to be treated as cost centres by their parent body. For this reason, only a few professionals in charge of archive and manuscript collections had control of their own budgets or were in a position to give precise information on the matter. In view of that, the survey focused on the particular problem of cuts in funding faced by British universities in the five previous years (1981-86) and, at the same time, made inquiries about the expectations for future years. Another inquiry related to the uses made of external funding and of income generated by the repositories themselves.⁹⁴

A difficulty in the analysis of financial data arose from the fact that most of respondent repositories were extremely small. It was argued that their expenditure was already minimal and that the effects of overall cost-cuttings would hardly appear. Another aspect considered was that "it would be misleading to make direct comparisons between the largest and smallest repositories."⁹⁵

⁹² Society of Archivists/SCONUL, op.cit., p. 1.

⁹³ Society of Archivists/SCONUL, op.cit., p.9.

⁹⁴ Society of Archivists/SCONUL, op.cit., p.13.

⁹⁵ Society of Archivists/SCONUL, op.cit., p.13.

The area most affected by spending cuts was staffing. Almost a quarter of all respondents reported that reduction of staff had resulted in growing cataloguing backlogs. Other areas affected were conservation, purchasing and funding for improvement of space and accommodation. Some repositories declared their expansion plans had to be abandoned.⁹⁶

On the other hand, a considerable share of earmarked grants from external sources were used for hiring temporary staff for work on specific projects. Money was also obtained for conservation, supplies and equipment, surveys, microfilming, software, research, and publication.

An important trend was identified concerning permanent staffing. Professional posts disappeared with early retirement, while senior posts were downgraded as their holders left. Repositories of all sizes were not able to increase staff to meet their workload. Part-time archivists were unable to extend their hours to full-time work.⁹⁷

Many repositories reported that the income generated by the repository itself was "insignificant" or "small". In some cases, this kind of income had been used to benefit the parent institution as a whole. Over 20% of repositories declared that income could be used by the repository itself, "to help offset the costs of purchases, publications, conservation and support staff."⁹⁸

It should be pointed out that the basic characteristics of British university repositories and the main problems concerning their administration are in many ways similar to findings obtained in other countries in the same decade. The reference here is to a series of surveys which covered the situation in the United States, Canada⁹⁹ and Australia.¹⁰⁰ The holdings of university archives in those countries fall within the same categories encountered in Britain: universities' own records and/or archives, and non-institutional archives.

⁹⁶ Society of Archivists/SCONUL, *op.cit.*, p.13-14.

⁹⁷ Society of Archivists/SCONUL, *op.cit.*, p.14.

⁹⁸ Society of Archivists/SCONUL, *op.cit.*, p. 14.

⁹⁹ D. H. Wilson. "Report of the Committee on College and University Archives." *American Archivist*, 13:62-64, Jan. 1950.

P. M. Manson. "College and University Archives: 1962." *American Archivist*, 26:161-65, Apr. 1963.

R. M. Warner. "The Status of College and University Archives." *American Archivist*, 31:235-37, July, 1968.

N. C. Burckel and J. F. Cook. "A Profile of College and University Archives in the United States." *American Archivist*, 45:410-28.

I. E. Wilson. Canadian University Archives. In: Society of American Archivists. *College and University Archives; Selected Readings*. Chicago, 1979. p. 166-74.

As quoted by N. C. Burckel and J. F. Cook. Consultive Group on Canadian Archives. "Canadian Archives: Report to the Social Sciences and Humanities Council of Canada. Ottawa, The Council, 1980.

¹⁰⁰ N. Allen. "University Archives: the Australian Scene." *College and Research Libraries*, 50:657-64, Nov. 1989.

However, what seems to be the distinguishing mark of British university repositories is the active role they play in seeking out non-institutional archives to add to their collections. Also, the wide diversity of material they collect is noticeable. I consider this active approach in Britain as a model to be emulated elsewhere. This is the basic reason why the British survey was taken as a starting point for this review.

It is also noteworthy that the same sort of problems in the administrative sphere have been identified in different countries. In this too, the British scene seems to be quite like the situation reported in the United States, Canada and Australia. In all these countries during the past decades, the debate on the best location for the university archives persists and problems concerning the lack of human and financial resources are continuously reported.

This is another reason why the British survey was taken as a reference point for this review. As the most such recent survey reported in the literature, it demonstrates that the principal issues concerning the management of university archives are still very much the same in different parts of the world.

The literature also reveals that university archives fulfil two basic roles: they may emphasise the collection of the university's records and/or archives or they may emphasise the collection of non-institutional archives. These roles are not always mutually exclusive, as will be demonstrated in the next section, where they will be examined in greater length.

4.3.1 Collecting and administering institutional records and/or archives

For some authors the collection and management of institutional records and archives should be the essential concern of university archives. Browne¹⁰¹ was probably one of the first authors to bring this idea out in the literature, when in 1953 he described the Archives of the Catholic University of America. To some extent, this idea is also reflected in two manuals published recently on university archives.¹⁰² Although both manuals have acknowledged the role of universities in the collection of non-institutional archives, it is on the management of institutional records and archives that they concentrate.

¹⁰¹ H. J. Browne. "An Appeal for Archives in Institutions of Higher Education." *American Archivist*, 16:213-26, July, 1953.

¹⁰² H. W. Samuels. "Varsity Letters; Documenting Modern Colleges and Universities." Metuchen: Scarecrow, 1992.

W. J. Maher. "The Management of College and University Archives." Metuchen: Scarecrow, 1992.

This same emphasis was advocated by two other authors in the second half of the 70s. Describing the Canadian scene, Wilson stated that "the involvement of most Canadian university archives in soliciting and acquiring private papers and records of individuals or organizations not directly connected to the university, is controversial", which implies that such an aspect is not the proper concern of traditionally defined archives.¹⁰³

A similar position is reflected in an American study. In 1979, Straus¹⁰⁴ analyzed three decades of development of college and university archives in the United States. Also based on the traditional concept of archives as "the non-current records of an organization or institution preserved because of their continuing value", the author states:

*"In college and university archives, one thus expects to find administrative records of various kinds: students, faculty and departmental records, records of campus societies and clubs, etc."*¹⁰⁵

As the author continues, it becomes clear that these are considered the "official" records, thus a subset of what is being considered in this study as the institutional records.

*"The activity of a college or a university, however, is not only reflected in the **official** records but also in material generated by individuals in their interaction with and work for the institution: the presidents' correspondence, research manuscripts and lecture notes of faculty, student notebooks and reports, campus publications, and memorabilia. **It is in the combination of these two broad types of material that many institutions today see the true college and university archives.**"*¹⁰⁶
[bold mine]

To stress her point of view, Straus is reluctant to extend her concept of university archives any further:

¹⁰³ I. E. Wilson, *op. cit.*, p. 171.

¹⁰⁴ A. Straus. "College and University Archives: three decades of development." *College and Research Libraries*, 40:432-439, Sept. 1979.

¹⁰⁵ *Ibid.*, p. 432.

¹⁰⁶ *Ibid.*, p. 432.

"In others [institutions], the archives also contain regional history collections or special collections, which tend to obscure the direct relationship that the institution should have with its archive."¹⁰⁷

Ideas on records management also differ. In some institutions, it has been through the provision of records management that the creation of the university archives has been justified. The creation of Harvard University Archives is an example to be quoted here. As emphasised by Shipton¹⁰⁸, it was through the provision of a records management service that the creation of the university archives was justified. It was also the way to justify "a good appropriation."

Other authors, on the other hand, manifest a concern about the implications of a records management programme in an archives service. Although recognizing the advantages of a records management programme, Brichford stated in an article published in 1970:

*"Many new university archival programs have been established to provide relief for crowded offices and storage areas. While records management often provides an immediate administrative justification for an archival program, **it places heavy demands on the archivist's time and can delay effective archival work.**"¹⁰⁹ [bold mine]*

This is a point of view to bear in mind. However, in spite of these implications, records management has been considered a crucial service in present days.

This view is clearly reflected in the British survey. Nearly 80% of British university repositories declare they hold institutional archives. However, their situation seems quite worrying where semi-current records are concerned. Some universities have centred their preoccupation on transferring and preserving the institutional archives, but have not given the same attention to the semi-current records. Others, which keep special collections, have made no arrangement for their own continuing records. Nevertheless, there is evidence that the existence of special collections staffed by professional archivists provides the focus for work to begin on institutional records.¹¹⁰ Thus,

¹⁰⁷ *Ibid.*, p. 432.

¹⁰⁸ C. K. Shipton. "College Archives and Academic Research." *American Archivist*, 27:395, July, 1964. P. 395-400.

¹⁰⁹ M. Brichford. "The Illiarch." In: Society of American Archivists. *College and University Archives: Selected Readings*, p. 24.

¹¹⁰ Society of Archivists/SCONUL, *op. cit.*, p. 10.

one may note that the provision of archives services may be the way to start a records management programme.

The conclusion of the British survey concerning records management in the university setting is specially relevant for countries where these services are still in a planning stage. It is considered "unfortunate" that records management has made little progress in British universities, in spite of the growing requirement for managerial efficiency in university administration.¹¹¹ The explanation for this is connected with the fact that library and archive staff are already fully occupied in sustaining current services to a increased number of readers. In view of that, heads of departments are reluctant or feel unable to undertake the duty of records management. To undertake the work and on-going responsibility, an appropriate increase of staff and funding is a basic condition. However, this possibility seems remote, as additional income has been directed to other priorities:

*"Such allocations are unlikely to be made from administrative budgets where resources are equally under pressure and where additional income has tended to be earmarked for establishing computerized information handling systems. Valuable though such systems are they are not a substitute for records management and it is to be regretted that despite the growth of cost centre analysis in universities and larger London colleges, systems so far developed are apparently not structured to quantify its benefits."*¹¹² [bold mine]

This criticism is more accentuated when the position of universities is seen as a "marked contrast" to business and government - the areas where the benefits of efficient records keeping and disposition have been understood and quantified in terms of cost.¹¹³

A number of examples of archival programmes centred only on the collection of institutional records and/or archives may be found in the literature of different countries.¹¹⁴

¹¹¹ Society of Archivists/SCONUL, *op.cit.*, p. 10.

¹¹² Society of Archivists/SCONUL, *op.cit.*, p. 10.

¹¹³ Society of Archivist/SCONUL, *op.cit.*, p. 10.

¹¹⁴ D. M. Tweedale. "Procurement and Evaluation of Materials for a University Archives." *College and Research Libraries*, 26:517-524, Nov. 1965.

W. K. Hackman. "Small College Archives: Problems and Solutions." *American Archivist*, 31:271-275, July, 1968.

Society of Archivists. College and University Archives Committee. "Forms Manual." 1973.

J. Drew. "The University Archives in Retrospect and Prospect." *Jagger Journal*, :42-45, Dec. 1981.

Two conceptual approaches to the collection and management of institutional records may be picked out from the literature. However, they do not restrict the scope of the programme to the institutions' boundaries. In the next sections these two approaches will be commented on in further details.

4.3.1.1 The Society of American Archivists' Approach

The "Guidelines for Colleges and University Archives",¹¹⁵ published by the Committee on College and University Archives of the Society of American Archivists in 1970 is one of the first systematic treatment of the management of records and archives at institutions of higher education.

That publication starts with an acknowledgement of the considerable change, growth and development which had occurred in the field of college and university archives in the previous years. It was also pointed out that, during this period, archivists had broadened their view of records and archives' role in an academic community. Therefore, in order to channel the developments along common lines, the Committee felt the need for a statement outlining goals, guidelines and standards for these archives.

The publication is organized in seven main headings: core mission, administration, service, personnel, facilities and equipment, supporting services and records management. This section will focus on the aspect of core mission. Other aspects will be commented on appropriate sections of this review.

The core mission of university archives as proposed in the Guidelines is set out in figure 4.1.

G. Ackland. "The Establishment of an Archive: University of Queensland." *Archives and Manuscripts*, 10:28-35, May, 1982.

C. Shervington. "The Establishment of University Archives: the Western Australian Experience." *Archives and Manuscripts*, 10:20-27, May, 1982.

D. N. Rao. "University Archives: How they Work and Help." *The Library Scientist*, 10:148-151, 1983.

S. K. Sammis. "Building an Archives in a Medical Library." *Bulletin of the Medical Library Association*, 72:270-273, July, 1984.

S. Kirk. "The University of Leicester Archival Project." *Journal of the Society of Archivists*, 8:120-23, Oct. 1986.

¹¹⁵ Society of American Archivists. Committee on College and University Archives. *Guidelines for College and University Archives*. 1979.

FIGURE 4.1
CORE MISSION OF UNIVERSITY ARCHIVES
ACCORDING TO THE SOCIETY OF AMERICAN ARCHIVISTS

College and university archives share the following core mission:

- a) To appraise, collect, organize, describe, make available, and preserve records of historical, legal, fiscal, and/or administrative value to their institution.**
- b) To provide adequate facilities for the retention and preservation of such records.**
- c) To provide information services that will assist the operation of the institution.**
- d) To serve as a resource and laboratory to stimulate and nourish creative teaching and learning.**
- e) To serve research and scholarship by making available and encouraging the use of its collections by members of the institution and the community at large.**
- f) To promote knowledge and understanding of the origins, aims, programs, and goals of its institution, and the development of these aims, goals, and programs.**
- g) To facilitate efficient records management.**

Source: Society of American Archivists. Committee on College and University Archives. Guidelines for College and University Archives. Chicago, 1979. p. 2.

A detailed checklist (figure 4.2) of appropriate documentation to be collected by university archives is also part of the document. It is also made clear that the importance of documents may vary from institution to institution. At the same time, it is pointed out that the documentation may go beyond the areas covered in the list and that the archivist should adapt it to the particular needs of an institution. Therefore, if necessary for the development of educational programmes, it is possible to infer that the list may include the collection of archives produced elsewhere.

FIGURE 4.2
SUGGESTED LIST OF APPROPRIATE RECORDS FOR A
COLLEGE AND UNIVERSITY ARCHIVES
ACCORDING TO THE SOCIETY OF AMERICAN ARCHIVISTS

- a) Minutes, memoranda, correspondence, and reports of the governing board of the university.
- b) Records of the office of the chief executive including correspondence, administrative subject files, and reports.
- c) Correspondence, subject files, and reports of the office of the chief academic affairs officer.
- d) Correspondence, subject files, and reports of the chief administrative officer.
- e) Correspondence, subject files, and reports of the chief officer of units of the school operating with a high degree of independence, such as medical and law schools and major research institutes.
- f) Minutes, memoranda, and reports of all major academic and administrative committees, including the faculty senate and its committees.
- g) Correspondence, subject files, and reports of the office of the chief student affairs officer.
- h) Accreditation reports and supporting documentation.
- i) Annual budgets and audit reports.
- j) Departmental records, including minutes, reports, syllabi, and sample test questions.
- k) Personnel records of retired, resigned or deceased faculty.
- l) Records of the registrar including timetables and class schedules, non current students transcripts, enrolment reports, graduation rosters, and the other reports issued on a regular basis.
- m) Alumni records including minutes of the alumni association.
- n) Reports of the admissions office.
- o) Reports of the office of institutional research.
- p) Reports of the university development office.
- q) Records of student organizations.
- r) All publications, newsletters, or booklets distributed in the name of the university, including: catalogues, special bulletins, yearbooks, student newspapers, university directories and faculty/staff rosters, faculty and university newsletters, alumni magazines, and ephemeral materials.
- s) Audio-visual materials documenting the development of the institution such as still photographs and negatives, motion picture films, oral history interviews, and audio and video tapes.
- t) Security copies of microfilm produced by any campus vital records program.
- u) Maps and plot plans documenting physical growth and development.
- v) Reports of research projects, including grant records.
- w) Artefacts relating to the history of the institution if there is no museum affiliated with the school.

Source: Society of American Archivists. Committee on College and University Archives. Guidelines for College and University Archives. Chicago, 1979. p. 3-4.

4.3.1.2 Maher's Approach

Maher's view of college and university archives seems to be developed alongside the lines of the Society of American Archivist. He shares with this body similar ideas concerning mission and holdings, as can be seen from his definition of university archives.

*"A college or university archives is a program consisting of policy, personnel, holdings, and facilities structured to preserve and make accessible the documentary heritage of an institution of higher education. The documents are selected and handled in a systematic way based on archival theory and technique. **The basic goal of the archives is to aid the institution in its survival and growth, especially by making sure that the institution's roots in the past are not severed. At the same time, the academic archives contributes to the institution's educational mission by enriching the lives of the campus community. The archives should support teaching and learning and assist scholars and the general public in using documents to understand and explain the past.**"*¹¹⁶ [bold mine]

In the view of Maher it seems clear that the key role for university archives is documenting the institution itself. However, one may infer that a broader role is also envisaged in his definition. If the archive is seen as one of the means through which the institution's educational mission may be accomplished, then its role must necessarily be broadened.

In this way, it is very important to point out that, although one may think of an archives programme with strong connection with its own institution, it seems quite difficult to limit its goals within the institutions' own boundaries, specially when the institution in the case is a university. A university's commitment to research will always broaden the perspective of the archives based within it.

Maher himself considers this broader role "a critical responsibility", which is associated with the commitment of university archives to the preservation of documentary heritage.

¹¹⁶ W. J. Maher, op. cit., p. 17-18.

"The academic archives"¹¹⁷ will hold records, papers, and other documents from individuals and organizations with little or no direct connection to the institution. These manuscript and regional history collections have become a critical responsibility, allowing academic archives to contribute substantially to the preservation and accessibility of the documentary heritage of society beyond academe."¹¹⁸

The extreme variety of university archives programmes is another aspect underlined by Maher. Given how closely archival practice is tied to the administration of an institution, the author associates this variety with the character of the parent institution. Therefore, variables of different kinds such as the age and size of the institution, its status (government-supported versus private), geographic location (especially urban versus small town) or even the administrative location or reporting line of the archive can significantly affect the configuration of a programme. In view of that, the author doubts whether there could ever be a single model, or even "a handful of models" of what an academic archives should be.¹¹⁹

On the other hand, he argues, there is a common base on which academic archivists can build. This base is composed of the common goals of colleges and universities (to communicate and advance knowledge); common incidental effects of these institutions (socialization and acculturation of youth); common functioning in an environment where archival survival and growth must be articulated in terms of educational and knowledge-based goals; and common benefit to be gained from the theory and practice developed by the archival profession.¹²⁰

4.3.2 The collection of non-institutional archives

Although the collection of non-institutional archives has been a common practice world-wide, there is not much material covering this aspect, specially works reflecting a more analytical and critical view.

Most of the works registered in the literature demonstrate that the role of collecting archives produced elsewhere has been usually combined with the

¹¹⁷ The term "academic archives" is used by Maher as a shorthand term which means records and archival programmes of colleges and universities. For this explanation, refer to W. J. Maher, *op.cit.*, p. 4.

¹¹⁸ W. J. Maher, *op.cit.*, p. 10.

¹¹⁹ W. J. Maher, *op.cit.*, p. 10

¹²⁰ W. J. Maher, *op.cit.*, p. 9.

role of collecting and managing the university's records and archives¹²¹. However, it seems clear that some programmes emphasise the collection of non-institutional archives, rather than the collection of institutional records.¹²² It must be noted that some programmes may be focused on the collection of non-institutional archives only.¹²³

British literature has extensively discussed the aspect of collecting non-institutional archives. Besides some articles published in specialised periodicals¹²⁴, it is important to note that in the last decade at least two events were organized to debate the subject¹²⁵ and in 1993, it was chosen as one of the themes to be debated at the Annual Conference of the Society of Archivists.¹²⁶ It seems clear that this interest reflects the strong emphasis British university repositories have traditionally placed on the collection of non-

¹²¹ K. C. Cooke. "Massey University Gathers its Archive." *Archifacts*, :657-664, Mar. 1987.

D. V. Koch. "The University Archives of Southern Illinois University at Carbondale." *Illinois Library*, 69(8):598-600, Oct. 1987.

G. Gildemeister. "The Earl W. Hayter Regional History Center." *Illinois Libraries*, 69(8):593-594, Oct. 1987.

K. DeGraff. "DePaul University Archives." *Illinois Libraries*, 69(8):576, Oct. 1987.

P. D. Cloud. "The Northwestern University Archives." *Illinois Libraries*, 69(8):595-597, Oct. 1987.

T. J. Wood. "Archives and Manuscript Collections at Sangamon State University." *Illinois Libraries*, 69(8):597-598, Oct. 1987.

G. B. Valerie. "Loyola University of Chicago Archives." *Illinois Libraries*, 69(8):587-588, Oct. 1987.

W. J. Maher. "The Illinois Archives in the 1980s." *Illinois Libraries*, 69(8):584-587, Oct. 1987.

J. K. Evans. "Developing an Archival Collection in a Research Library." *College & Research Libraries News*, 51(7):655-656, July/Aug. 1990.

¹²² J. Auld. "Providing a Home for Other People's Archives: On a Regional Basis." In: Society of Archivists. *Proceedings of One Day Seminar*, Liverpool, 1987. P. 9-18.

P. Methven. "Providing a Home for Other People's Archives: On a Subject Basis." In: Society of Archivists. *Proceedings of One Day Seminar*. Liverpool, 1987. P. 19-25.

M. McCollum. "Providing a Home for Other People's Archives: in a Long-established Repository." In: Society of Archivists. *Proceedings of One Day Seminar*. Liverpool, 1987. P. 26-32.

¹²³ For an illustration of such a programme refer to: R. Storey. "Modern Record Centre, University of Warwick." Society of Archivists/SCONUL, op.cit., p. 53-54).

¹²⁴ F. W. Ratcliffe. "Archival Responsibilities of University Libraries." *Librarianship*, 12:71-83, Apr. 1980.

A. Tough. "The Present Position in University Based Repositories." *Journal of the Society of Archivists*, 9:78-80, Apr. 1988.

B. Dyson. "University Repositories in the 1990's and Beyond." *Archives*, 20:296-305, 1992.

¹²⁵ Society of Archivists. "University Repositories: What Role do They Fulfill and What Role Should They Seek in Future?" (One-day Seminar held at the University of Liverpool, 10 July 1986)

Society of Archivists. "Changes in the Structure and Financing of Universities: the Impact on Archives and Research Collections." (One-day Forum Held at King's College, London, 20 Jan. 1992)

¹²⁶ Society of Archivists. "Archives: Opportunities and Threats." (Annual Conference, Bournemouth University, 1993)

institutional archives. In recent years, this discussion has been stimulated due to the changes introduced in the structure and financing of universities.

In attempting to categorize university repositories, the Society of Archivists has made a distinction between those with a "local" role and those with a "subject" role¹²⁷. University repositories which formulate a collecting policy connected to a given locality or region perform a local role, while a subject role is performed by the repositories which formulate thematic collecting policies.

The papers presented at the University of Liverpool Forum illustrate both views.¹²⁸, ¹²⁹. It was also demonstrated in this Forum that a university repository may act as an academic department in fields of study connected with manuscripts and archives.¹³⁰

An analysis of the participation of British universities in the collection of archives and special collections was made by Harvey¹³¹ and Woolgar¹³² at the 1993 Society of Archivists Conference. These papers are aimed at providing a framework for people who are involved with the planning of university archives. So, although they focus on the British situation, it is worthwhile spending some time on a more detailed examination of these papers.

According to Harvey¹³³, university repositories provide an invaluable complement to record offices in two closely related ways. One relates to the fact that some owners of archives are more prepared to deposit them in a university rather than in a local record office. The other is that, having fewer local obligations than a county record office and less selective criteria for acquisition than a national repository, universities can care for those materials without strong local connections for which a local record office is not easily perceived as an appropriate home. As examples here, the author quotes papers of authors or artists and the various thematic collections of archives maintained by some universities.

Other advantages that university repositories have over the official network of local record offices are also pointed out. Universities are more likely to have a flexibility in the use of resources which is harder for official records office to achieve. An example he quotes here is the acquisition of the Wellington Papers by Southampton University. The archival work undertaken at this University is something which no official record office could have achieved with

¹²⁷ Society of Archivists. "Towards a National Policy for Archives; a Preliminary Draft Statement." 1983.

¹²⁸ J. Auld, op.cit.

¹²⁹ P. Methven, op.cit.

¹³⁰ M. McCollum, op.cit.

¹³¹ P. Harvey. "University Repositories: the Way Ahead." In: Society of Archivists Annual Conference. Bournemouth, 1993.

¹³² C. Woolgar. "No Stranger to Controversy: the Role of Archives in Universities." In: Society of Archivists Annual Conference. Bournemouth, 1993.

¹³³ P. Harvey, op.cit., p. 1.

its own resources. In this case, the university repository is not only doing the best for the archive, but contributing actively to the development of archival techniques in general.

The other aspect pointed out by Harvey is that, universities, as centres of learning, have an special interest in archives and in their preservation. Therefore, it is appropriate that they be active and even take the lead in preserving the primary sources for research. He is emphatic here in asserting:

*"There is - or should be - no risk of competing with other repositories; there is room for all. The potential harvest is vast - the more workers in the field the better, and we see that the university repositories reach parts of the field that in practice are inaccessible to others."*¹³⁴

However, as pointed out by Harvey, this view may lead to a risk of proliferating small repositories "with all the attendant waste of resources and other disadvantages." This is an aspect of particular relevance for countries which are in the early stages of developing university archival programmes and cannot afford a dispersal of precious resources.

At this point, Harvey starts to explain his ideas concerning the potential drawbacks in maintaining university repositories. He is emphatic is stressing what seems his main concern here.

Academics who have identified the need for special collections will have done so because they cover areas of their research, and thus the research of their graduate students. However, departments, faculties, libraries or university senates will see the collections in a different way. They will always be seen as "bait to attract research students: to enhance the research standing of the lecturer, of the department, of the university." And most probably, Harvey argues, this is the way the idea has to be propagated, and there is no other way it possibly could be.

Nevertheless, he continues, at root, the whole operation is flawed

*"... because the records have been acquired not for their sake but for the sake of what can be got out of them - and got out of them intellectually only insofar as this affects what can be got out of them politically in terms of prestige, research students and funding."*¹³⁵

¹³⁴ P. Harvey, *op.cit.*, p. 3.

¹³⁵ P. Harvey, *op.cit.*, p. 5.

The implications of this view go much further. The idea that the records "have a job to do" in the university might even affect acquisitions policy, cataloguing methods and conservation processes. But there are more intricate issues:

*"And what happens when the lecturer who has nurtured the [special collection] retires - or on the basis of his research and the initiative shown in forming the collection - moves to preferment elsewhere? What happens when the more obvious research topics become little used? The archival resource that was the workhorse of one generation can so easily become the white elephant of the next - and a university may reasonably feel that maintaining white elephants is no part of its job. There are real risks here."*¹³⁶

In fact, according to the discussion undertaken at the London Forum, more than a year before Harvey's paper was read in Bournemouth, evidence of these risks had been already pointed out. As shown by Moss¹³⁷, archivists and other curators were under increasing pressure to justify their operations in terms of cost effectiveness. However, Moss argued that given the characteristic use of these collections, they cannot be made self-financing. In his opinion, justification must continue to be derived from their use in scholarly research together with the increased use in undergraduate and graduate teaching which was being brought about by the greater emphasis on sources and evidence and the introduction of information technology. This is another aspect of particular relevance for Brazilian archivists and curators. In the future, they may also be pressed to justify their operations concerning the management of non-institutional archives and regional collections in terms of cost effectiveness, since financial cuts have increasingly affected Brazilian universities. Therefore, to face the risks, it is essential that they work in partnership with other archival institutions in the formation of these collections from the planning stage.

Another important aspect of the use of special collections was pointed out by Woolgar¹³⁸. According to him, for some time it has been apparent to librarians and archivists that there is a considerable mismatch between the research strengths of universities and the collections that they keep. Therefore, it is quite common for a considerable number of readers to come from outside the host institution. The author relates this fact to changes in research interests: "there is a tension between continuity and change in a university's research efforts."¹³⁹ The problem has to be addressed, or it will lend credence to the theory that archive collections in universities tend to become "beached

¹³⁶ P. Harvey, *op.cit.*, p. 6.

¹³⁷ M. Moss. "Why are we here?" In: Society of Archivists. One Day Forum. London, 1992.

¹³⁸ C. Woolgar, *op.cit.*, p. 2.

¹³⁹ C. Woolgar, *op.cit.*, p. 3.

whales".¹⁴⁰ The author continues his argument, adding an important complement to Harvey's point of view:

*"Archives collections represent a substantial investment by a university, made with the view that **they will be of long term value to the scholarly community, usually of the host institution, but not necessarily so.** The investment consists not only of the materials themselves, which may have been purchased, deposited after lengthy negotiations, etc.; but also in the plant and space consumed, the curatorial expertise involved in cataloguing and conserving material, all of which enhances the value of the collection to the academic community."*¹⁴¹ [bold mine]

Woolgar then points out that perhaps one of the most important aspects to be considered when an institution of higher education is considering the administration of archives in a broadened perspective is that:

*"The investment has to be a long-term one, not simply because materials have to be preserved permanently; but also because it takes a long time for academic work to come to fruition (e.g. a scholar in the humanities would expect to complete between four and six major projects in a lifetime)."*¹⁴² [bold mine]

Another aspect emphasized by Woolgar is that research interests change. In view of that, he points out that archivists and curators cannot simply divest themselves of materials because new research topics are seen to displace older ones, especially where they have acquired responsibility for collections. Neither it would be the case of clinging to an outdated list of research topics if they are no longer of interest to a certain community. What archivists must look for, he argues, is "a compromise between continuity and change."¹⁴³

To achieve this, Woolgar calls for continuing dialogue between archivists and researchers. The latter may help archivists to find ways in which the relevance of the existing collections can be reinterpreted in the light of changing research aspirations. Clearly, Woolgar and Moss share a similar point of view concerning ways to approach an enduring role of universities in the keeping of archives.

¹⁴⁰ C. Woolgar, *op. cit.*, p. 3.

¹⁴¹ C. Woolgar, *op. cit.*, p. 3.

¹⁴² C. Woolgar, *op. cit.*, p. 3-4.

¹⁴³ C. Woolgar, *op. cit.*, p. 4.

Harvey calls for another way of approaching the matter.¹⁴⁴ He suggests correcting what he sees as "the flaws" in the approach of universities to archives, or as he puts it, the approach not of the universities as institutions (they will always have their own priorities) but of its members who influence or determine the universities' acquisition of archives.

*"It is all a matter of education - and where better to start than in the universities? Education in what archives are [...] and in all that stems from this in the way of their preservation and management. [...] the simple evangelism of not throwing records away has been well preached and well heeded; the missionary work that is desperately needed now is the hard theology of the principles involved in keeping them."*¹⁴⁵

The use of often repeated principles and advice may be one of the best ways to achieve this, although this is bound to be slow work. Meanwhile, other actions may effectively be undertaken. Some archivists and scholars might be in a position to influence decisions and, most importantly, ways of thinking at early stages of planning.

As Harvey points out, a specialist research centre need not be involved with the collection of records. In this way, he commends a model exemplified by the National Cataloguing Unit for the Archives of Contemporary Scientists at Bath University. This Unit brings specialist expertise to bear on monitoring and cataloguing scientists' papers but then hands them over to others for preservation. It is a pattern like that which must be adopted in other specialist fields. "We need many more units of this kind", he concludes.¹⁴⁶

4.4 THE APPRAISAL PROCESS

Approaching the basic archival literature for the first time, one will certainly notice that appraisal is one of the most fundamental aspects of archival theory and practice. This perception remains valid in modern literature on the subject. Indeed, appraisal has been subject to continuing refinement.

According to Maher, although generally discussed in the context of decisions on what to preserve and what to destroy, appraisal can also be seen in a "macrocosmic sense" as a fundamental component of all other areas of

¹⁴⁴ P. Harvey, *op.cit.*, p. 6.

¹⁴⁵ P. Harvey, *op.cit.*, p. 1.

¹⁴⁶ P. Harvey, *op.cit.*, p. 7.

archival work. Decisions on levels and types of description tools, the type of storage environment and the range of preservation measures will always be based upon the value of a record series, manuscript collection, file or individual document. The broadest and best way of viewing appraisal is to consider it as inherent in the decision-making processes used for all aspects of archival operations.¹⁴⁷

Traditionally, appraisal process has been highly centred on specific sets of records. Archivists' decisions on what to keep and on what to destroy are very much based upon their analysis of existing records. This seems to be a perspective which is also reflected in the general archival literature.

In recent years, some archivists have argued that the complexity and volume of modern records require a re-examination of appraisal theory and practice. An important proposal in this direction has been made recently by Samuels.

Samuels puts forward a basic argument. When conducting the appraisal process, institutional archivists usually start with the consideration of specific sets of records and base their analysis on their knowledge of the parent institution. Traditionally, this knowledge has been obtained by reading historical works, studying organizational charts, and examining existing records. Although supporting this focus on institutions, Samuels argues that the selection process should start with a different set of questions: "focusing first not on the specific history, people, events, structure, or records of an institution, [but rather] on an understanding of what the institution does - what are its functions." A careful analysis of the broad range of the functions provides the context that institutional archivists need in order to formulate their collecting policies and select specific collections. Institutional functional analysis, she argues, is the first step for all institutional archivists.¹⁴⁸

The special feature of Samuels' approach to functional analysis is that it **precedes** the collection process. In this way, as she points out, the method will provide a means to achieve a comprehensive understanding of an institution and its documentation: a knowledge of what is to be documented and the problems that archivists may face in gathering the desired documentation.

Other characteristics of the method must also be pointed out. Firstly, the potential sources include not only archival but also published, visual and artefactual materials. Second, documentary problems are examined not only from the perspective of managing abundant records, but also of considering the situations in which the documentation for some functions are scarce and even absent. In such cases, such specific documentation techniques as oral history and photography must be used.

¹⁴⁷ W. J. Maher, *op.cit.*, p. 37.

¹⁴⁸ H. W. Samuels, *op.cit.*, p. 1-2.

Traditional appraisal practice has also centred its attention on the analysis and collection of records of individual institutions. According to Samuels, this practice must be reviewed, because the internal structures of modern institutions have altered, as have the relationships among institutions. Government, industry and academe - the private and public sectors - are linked though funding and regulations. So, the integration or distribution of functions affect where and how records of activities are created and where they are retained. Another characteristic of functional analysis is that it broadens the analysis on how the functions are carried out - within or outside official structures - thus leading to an understanding of the multiple actors whose activities need to be documented.¹⁴⁹

Therefore, since the emphasis of the method is placed first on what is to be documented, the location of the record (which office or individual actually holds the material) becomes a secondary issue. One must note that this is an innovative approach which has to be considered when documenting institutions is in question.

Samuels' work is of special importance for this research because she chose colleges and universities as a case study to demonstrate her approach on functional analysis. Instead of the three traditional functions of teaching, research and providing public service, Samuels has identified seven functions, which, as she points out, provide a full spectrum of activities that characterise modern institutions of higher education. These functions are summarised in figure 4.3.

¹⁴⁹ H. W. Samuels, op.cit., p. 5-6.

FIGURE 4.3
FUNCTIONS OF COLLEGES AND UNIVERSITIES
ACCORDING TO SAMUELS

1. <u>Confer credentials</u>	Describes the process of recruiting, selecting, and admitting students; providing financial aid and academic advice; and finally, graduating students.
2. <u>Convey knowledge</u>	Covers the formulation and delivery of the curriculum as well as the learning process.
3. <u>Foster socialization</u>	Includes the informal learning that takes place outside the classroom in a planned and unplanned manner through residential life, extracurricular activities, and personal counselling.
4. <u>Conduct research</u>	Describes the endeavour of the faculty and graduate students in the search for new knowledge.
5. <u>Sustain the institution</u>	Covers those areas, including governance, financial and personnel management, and physical plant, that are required to assure the continuity of the institution.
6. <u>Provide public service</u>	Examines those activities, including technical assistance and continuing education, that are primarily directed to outside communities.
7. <u>Promote culture</u>	Explores the role of the institution as collector and disseminator of culture through the operation of museums, libraries and archives.

Source: H. W. Samuels. Varsity Letters: Documenting Modern Colleges and Universities, p.22

Each one of these functions is exhaustively analyzed by Samuels. After describing the scope of the function, she discusses the general documentation issues and the problems which characterise the documentation process.

4.5 ADMINISTRATIVE STRUCTURES AND OTHER ADMINISTRATIVE ASPECTS

4.5.1 Traditional administrative structures

As demonstrated in the British survey, the most common administrative location for the archives is within the library. The same tendency was shown in two other surveys: in 74% of Canadian¹⁵⁰ and 90% of American institutions¹⁵¹ surveyed, the archives are also located in the library.

An interesting fact shown in the American survey is that nearly the same percentage of all respondents not only notes that the archives reports from within the library, but also thinks that is **ideally where it should be**.

Wilson¹⁵² identified a pattern in the Canadian university archives: none of the archives located in the library have developed records management programmes, whereas others which have an independent position have done so. For Wilson, this pattern indicates that the inclusion of archives within university libraries inhibits the development of records management programmes. To conform to library priorities and goals, many university archives become involved in broader manuscript programmes, often at the expense of their responsibilities concerning the university's own records.

It is noteworthy that both the British and American surveys also demonstrate that there is little involvement of the archives with records management. Considering that most of these archives are located under the library, one may ask whether Wilson's interpretation may also be extended to the British situation.

In this respect, the Australian scene differs¹⁵³. As demonstrated in the survey in 1985, 80% of Australian university archives declared their administrative subordination to the Registrar, while in 1987 this proportion dropped to 70%. It is important to note that during this period, two archival units shifted their administrative location to the library.

Although no reference had been made to the provision of records management services, it was pointed out that all the units keep records of the central administration. It is also indicated that the considerable percentage of

¹⁵⁰ I. E. Wilson, op. cit., p. 168.

¹⁵¹ N. C. Burckel and J. F. Cook, op. cit., p. 424.

¹⁵² I. E. Wilson, op. cit., p. 168-69.

¹⁵³ N. Allen, op. cit., p.662.

33% of the archives also collect external non-institutional archives in addition to their own.

It appears, from the findings mentioned above, that the archival units subordinated to libraries have had difficulty in implementing records management programmes precisely because their initial aim was the collection of manuscripts and/or non-institutional archives. This is possibly why it has been more difficult for them to incorporate other duties. The reluctance of British archivists to accept responsibility for records management may illustrate this point of view. Rather than inhibiting the development of records management, what seems clear from the British case is that their present duties are already consuming the resources (especially human) available.

On the other hand, it seems clear that Australian university archives are mostly located under the Registrar because their initial goal was the management of the university's own records. When two units shifted their locations to the library,¹⁵⁴ one may wonder whether it was due to their involvement with the collection of non-institutional archives. It is unfortunate that the real reasons for this shift were not pointed out.

Although the administrative location might affect the provision of records management, as Wilson argues, it seems that it does not affect the scope of the archival programme. University archives have been involved with the collection of both institutional and non-institutional materials, no matter what the administrative location - in the library or in the central administration.

Therefore, the difficulty in finding the appropriate place for the archival unit in the university structure, seems to be basically derived from the fact that the ideal place to accommodate the archive varies from institution to institution.

Maher's analysis of this matter is quite revealing.¹⁵⁵

According to him, no single location may be seen as the most appropriate because the mission of university archives cuts across the programmatic, technical, and disciplinary interests of all the possible parent departments. Thus, he believes that no department can be a fully suitable parent and that archival work is an independent profession requiring autonomy to accomplish its mission. If this perspective is adopted, the archives will certainly have more chance of making the current parent understand why and when they need to go to different departments for direction, authority and resources. Therefore, he argues, the best current home for the archives is where administrative superiors can accept and support the archivist in his endeavour. When this understanding cannot be achieved, efforts to move elsewhere might be appropriate.

¹⁵⁴ N. Allen, *op.cit.*, p. 658.

¹⁵⁵ W. J. Maher, *op.cit.*, p. 22-23.

Another significant aspect pointed out by Maher is that one should always expect a certain amount of tension between the archives and the parent department. After all, he argues, a great deal of divergence is inherent in the archives' core mission and services which are to support administration, research, teaching, preservation, public awareness and to promote understanding of the past. Therefore, it is important that the archivist, regardless of administrative location, ensures that dependence on a parent department does not lead to an overemphasis on any single area (e.g. administrative service, scholarly research, etc.)¹⁵⁶

4.5.2 Modern structures

A new model for the structure of records and archive services within an organization was proposed recently by Cook.¹⁵⁷ Cook developed his model based on the idea that records and archives belong to the general field of information management. This is an innovative idea and seem to have been systematized in the general archival literature for the first time by Cook himself.

Doubtless, Cook's model is of great relevance for planning records and archives services and for this reason it must be examined with special attention.

To define his model, Cook initially concentrates on the concept of information management.

The management of information takes many forms and is described in a variety of ways. In every age, the handling of information has taken place, but the processes involved have had different names. Thus, information management is a recent one, for activities which are ages old, such as gathering data, telling people about decisions taken, issuing instructions or recording precedents.¹⁵⁸

It is usual to analyze information activities into groups which are given different names to describe the various facets of the work. These groups of activities reflect the nature of human concerns, which have to be generated, put through a process and then used or dispersed. A range of different operations characterise each of the groups and they are multi-faceted.

Information has always been perceived as something which is current, up to date or evanescent. There is another important characteristic of information, which is stressed by Cook and that is probably basic to the formulation of his

¹⁵⁶ W. J. Maher, *op.cit.*, p. 23.

¹⁵⁷ M. Cook, "Information Management..." p. 1-22.

¹⁵⁸ M. Cook, *ibid.*, p. 2.

idea that the management of records and archives is "an inescapable part of information management".

"Some kinds of information are like this [current, up to date, evanescent] but many other kinds have much more static, permanent or long-lasting qualities. Every information related activity has a retrospective aspect, and most items of information have two uses: one as related to the present, one as related to conditions which previously existed, in the past a moment ago."¹⁵⁹

Cook continues, arguing that this is true for the materials of all forms of information service and illustrates the point from different kinds of information needs: research scientists need the most current data, politicians or decision-makers need the latest report or the most recent statistical aggregation; letter-writers need a current address.

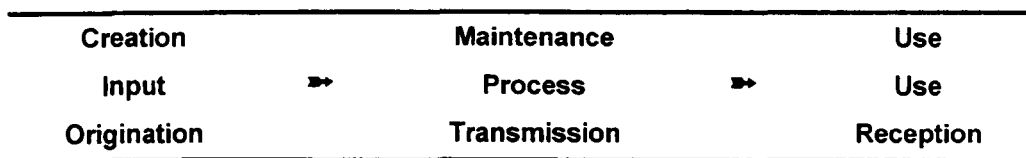
This implies that, in every information service, a similar process has to be carried out: information which passes out of currency must be distinguished from information still current. In a records management or an archives service, the basic functions are to identify data which is not current, to appraise it, and put it somewhere to be disposed of or used in a different way. Every information service has a retrospective function, an archival potential.¹⁶⁰

In the same way, Cook demonstrates that an archives service has an up-to-date aspect, a way in which it can be said to be handling information of current use. Therefore, either when considering the archives as part of the information services in an organization or as an institution in itself, archivists have to consider how the information relevant to them is generated, processed and used. So, like other information services, an archives service can also be analyzed by using a version of the threefold analysis shown at fig. 4.4 which illustrates the sequence of activities carried out in information work. In this way, Cook makes clear that the management of archives must be seen as part of information management.

¹⁵⁹ M. Cook, "Information Management...", p. 2.

¹⁶⁰ M. Cook, *Ibid.*, p. 11.

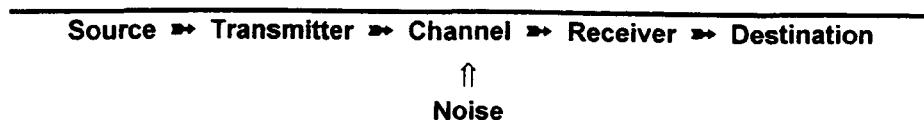
FIGURE 4.4
SEQUENCE OF ACTIVITIES IN INFORMATION WORK



Source: M. Cook, *Information management and archival data*, p. 3.

Cook also relies on the information transmission theory to point out the similarities between records and archives and other information services. As he points out, the best known theoretical model for the transmission of information from a source to a receiver was originally developed to explain how telephonic communication works. Figure 4.5 is an analogy of the Shannon-Weaver model, which has been adapted to explain the communication process within information services.

FIGURE 4.5
THE COMMUNICATION PROCESS WITHIN AN
INFORMATION SERVICE



Source: M Cook, *Information Management and Archival Data*, p.11.

Information is first held in a source and reaches a receiver by going through a series of processes: encoding, passage through a channel, decoding. At each of these intermediate stages the communication process may suffer the interference of obtrusive signals (noise) and, for this reason, very few processes are self sufficient. So, information may also pass from source to user through other channels. This process may be well illustrated by the work in an archives, Cook concludes.

In the light of these ideas, the author claims that "records and archives management operate, like other information services, under the terms of models like this, without introducing any new feature".¹⁶¹ In fact, Cook made this claim in an earlier work.¹⁶²

¹⁶¹ M. Cook. "Information Management ...", p. 11.

¹⁶² M. Cook. "The Management of Information from Archives." London: Gower, 1986. p. 7-8.

Cook is emphatic in stating that records managers and archivists must understand their work as part of the discipline of information science and that therefore, it can be analyzed in the light of the theoretical explanations of this science.

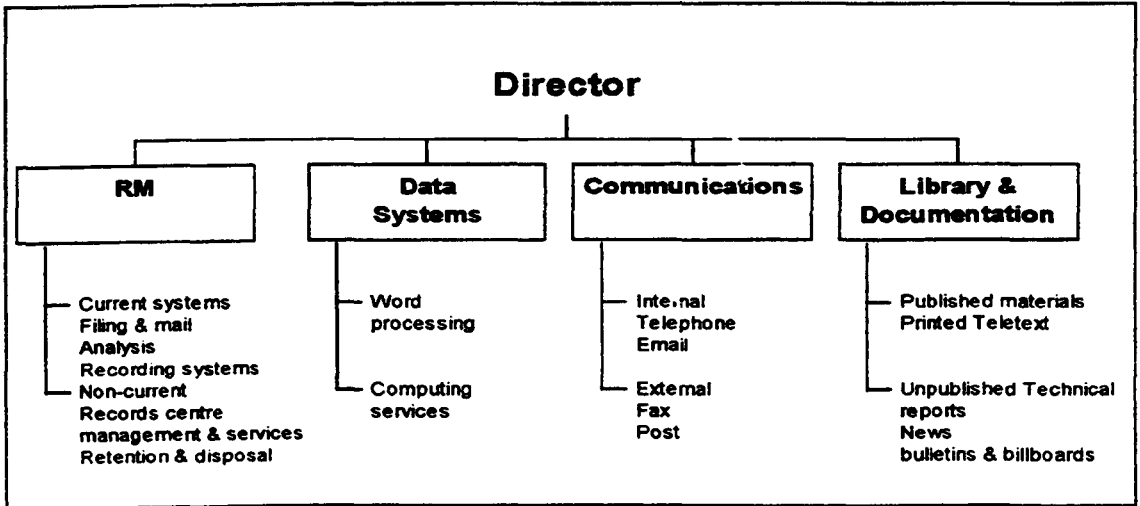
The importance of this perception is stressed in two main ways. First, the author argues, it provides an openness to professional orientations which ought to allow or promote responses to new developments and technologies. These orientations facilitate the development of more appropriate structures or relationships between structures when an archives or records service is being designed.

However, a more fundamental consequence is related to the fact that information management has its starting point in the requirements of users. The principle of user primacy can alter the priorities and objectives of archival practice, which has been traditionally centred in the administration of documents. This aspect is particularly relevant for the scope of this study as it introduces a new perspective for the archival work. As stressed by Cook:

*"Instead of building a programme solely aimed at the control, use and disposition of materials which happen to be there, **archivists and records managers may come to start their work with an analysis of the universe of information produced by the organization, and its relationship to the larger universe of information brought in from outside and used by it. This starting point at once brings them into a direct relationship with the other information services likely to be encountered within a complex organization.**"* [bold mine]

On this basis, Cook proposes an innovative model (figure 4.6) which, surely promotes the relationship of the various kinds of information services within an organization. It is believed that a model like that may be essentially beneficial for complex organizations like universities. A model that promotes the relationship between information units may also offer good conditions for the development of a method with the characteristics of functional analysis proposed by Samuels.

**FIGURE 4.6
INFORMATION STRUCTURES WITHIN AN ORGANIZATION
ACCORDING TO COOK**



Source: M. Cook. *Information Management and Archival Data*, p. 14.

Cook calls our attention to the fact that records and archives are placed in the same sector and that there might be a subordination of archives to records services. Although recognizing that this situation is not uncommon, he points out that this is not the point of view he advocates - neither is the alternative in which records management is subordinated to archives management. The suggestion is that, in the context of information management, there appears to be a closer connection between records management and archives than between either of these and the other sectors.¹⁶²

As commented on section 4.4.1, the traditional location of archival units in the university structure has proved unsatisfactory in many respects. Therefore, a new alternative must be visualized. The model proposed by Cook seems ideal for complex organizations. To be adapted to universities, Cook's model can be expanded a little to accept museums, as parallel services.

4.6 LATIN AMERICAN LITERATURE

In Latin America, university archives seem to have emerged as a specialized branch in the field of archives at the end of the 80s, even though archival units have been part of university structures long before. It is noteworthy that the

¹⁶² M. Cook, "Information Management ...", p. 11-12.

Universidad Nacional Mayor de San Marcos, created as early as in 1551 in Peru, had its archives established in 1571.¹⁶⁴

Most of the material obtained for this review is Brazilian. However, it seems clear that the first professional initiatives aimed at the development of university archives occurred in Peru.

4.6.1 Brazil

The first relevant articles encountered in Latin American literature are Brazilian and date from 1989. In this year, two articles on university archives were published in a periodical edited by the Department of Post-Graduation in Librarianship of the Pontifícia Universidade Católica de Campinas-(PUCCAMP)¹⁶⁵, in the State of São Paulo.

In an article published in 1989, Glazer argues in favour of the management of archives in the Brazilian academic environment. She acknowledges the existence of administrative records in offices, which are needed to "control" daily activities, but she questions:

"...we do not know what [institutions of higher education] do with the records, when they become archives. Are they kept in a different place? Or destroyed?"¹⁶⁶

She also points out the need to keep "other archives" such as "archives of syllabus, of individual subjects, of works done by undergraduate and graduated students, and archives of researchers". For her, the various kinds of university archives must be preserved not only because they are the means the university makes use of to justify itself to society, but because they are evidence of scientific and intellectual activities of the institution.

Bellotto's view is broader, as she visualizes both institutional records/archives and non-institutional archives or regional collections as components of university archives. Another special function to be fulfilled by Brazilian university archives, in her opinion, is to provide "technical assistance" to public archival institutions, specially municipal, "as they suffer continuously from the

¹⁶⁴ S. P. de Colin. "Los Archivos Universitarios del Peru." In: III Seminário Nacional de Arquivos Universitários, São Paulo, 1994.

¹⁶⁵ H. L. Bellotto. "Universidade e Arquivos; Perfil, História e Convergência." *Trans-in-formação*, 1(3):15-28, set./dez. 1989.

R. Glazer. "Arquivos Universitários: Para Que?" *Trans-in-formação*, 1(3):29-34, set./dez. 1989.

¹⁶⁶ *Ibid.*, p. 32-33. (My translation)

lack of resources and methodologies." The proposition of Bellotto is surprising, as it does not take into consideration what is prescribed in the Brazilian Law of Archives. What is established in this Law is exactly the opposite: the management of public records and archives is a duty of public archival institutions. What may be inferred from Bellotto's comment is that, in practice, Brazilian archival institutions have not accomplished and, what is worse, may not have the means to accomplish what is prescribed in the legislation. Therefore, it may be argued that this specific rule established by the National Law on Archives does not seem attainable, at least from what is concerned to the management of university records and archives.

The importance of records management in the university setting is also stressed by Bellotto.

In 1991, an event of special relevance marked the development of university archives in Brazil - the I Seminário Nacional de Arquivos Universitários (First National Seminar on University Archives), held at the University of Campinas - UNICAMP (State of São Paulo) and sponsored by this University and governmental funding agencies. The Brazilians seem to have followed the example of Peruvian university archivists who initiated annual meetings in 1989. However, the proceedings of the first Brazilian Seminar, would appear to be the first publication specifically focused on university archives issued in Latin America.

The three main sessions of the seminar¹⁶⁷ approached the theme theoretically.

The paper read by Silva, at that time vice-director of the National Archives, centred on the National Law of Archives (Law 8159/91) which had been issued recently. He also insisted on the urgent creation and regulation of Conselho Nacional de Arquivos (CONARQ), the body to be charged with the formulation and implementation of the national archival policy. It is a pity that at the first meeting organized on university archives in the country, no reference was made to university repositories within the policies envisaged by the National Archives.

Martins discussed the scope of History of Science and emphasised the relevance of the preservation of scientific archives in Brazilian universities and research institutes. He called attention to the lack of studies on the history of "our science", especially studies which make use of primary sources. He analysed the scope of an archival programme aiming at the preservation of "archives of researchers" in universities and urges work in partnership between archivists and researchers.

¹⁶⁷ J. A. da Silva. "O Arquivo Nacional e a Política Nacional de Arquivos." *Atas do I Seminário Nacional de Arquivos Universitários*. Campinas, 1991. p. 3-9

R. de A. Martins. "O Sistema de Arquivos da Universidade e a Memória Científica." *Atas do I Seminário Nacional de Arquivos Universitários*. Campinas, 1991. p. 27-48.

H. L. Bellotto. "Por uma Política de Arquivos para a Universidade Brasileira." *Atas do I Seminário Nacional de Arquivos Universitários*. Campinas, 1991. p. 12-25.

Bellotto's paper on archival policy for Brazilian universities is of particular importance for this study.

For Bellotto, an archival policy has three basic components: formulation of objectives, analysis of existing resources and/or definition of resources to be obtained and the creation of an archival legislation.

According to Bellotto, the objectives of an archival policy for Brazilian university archives should be based on two aspects: "administrative" and "documentary heritage". These aspects refer, actually, to the objectives of records management and archives management in the university context. Among the objectives to be achieved under the "documentary heritage" aspect, Bellotto includes the collection and preservation of institutional and non-institutional archives, as well as regional collections.

Up to this point, Bellotto's idea concerning the objectives to be achieved by archival programmes in an institution of higher education are on the same lines as some concepts expressed in the international literature analyzed. A particularity in her ideas resides on the emphasis on "legislation", as can be seen below. A special reference is made on "archival systems", which seems natural as, in her opinion, university archival policies should be inspired by the National Law on Archives.

*"With regard to legislation, Brazilian public universities [...] could elaborate a regulating act on their archival policies, based on the Law 8159/91, but reflecting the characteristics of each State [...] Like the Federal Law, the acts - issued by Rectors, Ministries or Governors of States - would define the conceptual and organisational approaches for the university archival systems. Thus, **the work of universities which have established their archival systems would be recognized and the others would have the encouragement to start.**"¹⁶⁸
[bold mine]*

It is surprising that the most essential implication of the Law 8,159/91 on a policy for Brazilian university archives was not considered by Bellotto. As demonstrated at section 3.4.1 of this study, records and archives of private and public universities are public and for this reason they fall under the jurisdiction of public archival institutions (federal, state, Federal District and municipal). Again, it must be noted that none of the papers read at the Conference picked up on this obvious contradiction.

¹⁶⁸ H. L. Bellotto, *op.cit.*, p. 23. (My translation)

These papers reported experiences of archivists in Brazil. It is interesting to note that they were organized in the proceedings of the Seminar within three main sections:

- a) "University Archival Systems": this section included three papers reporting institutional archival programmes;¹⁶⁹
- b) "Archives and Documentation Centres in Universities": this section included experiences of universities in the collection of non-institutional archives;¹⁷⁰
- c) "Contributions of Archives to Scientific Research": this section included research projects undertaken with the use of primary sources and papers which show the possibilities of research in specific repositories.¹⁷¹

¹⁶⁹ N. do R. Martins. "A Sistematização dos Arquivos da UNICAMP." *Atas do I Seminário Nacional de Arquivos Universitários*. Campinas, 1991, p. 55-68.

J. M. Barletta; M. M. M de Faria. "Projeto de Implantação do Sistema de Arquivos da UNESP." *Atas do I Seminário Nacional de Arquivos Universitários*. Campinas, 1991. p. 69-78.

M. S. M. Palheta. "O Sistema de Arquivos da Universidade Federal do Pará." *Atas do I Seminário Nacional de Arquivos Universitários*. Campinas, 1991. p.79-103.

¹⁷⁰ M. C. P. V. Hayashi; M. L. Vicino. "Memória do Movimento Estudantil: a Experiência de Organização do Arquivo CAASO." *Atas do I Seminário Nacional de Arquivos Universitários*. Campinas, 1991. p. 107-110.

F. A. Abrahão. "Três Séculos de História: o Acervo do Centro de Memória e os Trabalhos nele desenvolvidos." *Atas do I Seminário Nacional de Arquivos Universitários*. Campinas, 1991, p.111-114.

M. A. Forti; V. L. N. dos Santos. "Arquivo Histórico do Tribunal de Justiça de Campinas; experiências com arranjo." *Atas do I Seminário Nacional de Arquivos Universitários*. Campinas, 1991. p. 115-126.

M. M. Zanatta. "De Arquivo a Centro de Pesquisa e Documentação Social: a Trajetória Técnica do Arquivo Edgard Leuenroth." *Atas do I Seminário Nacional de Arquivos Universitários*. Campinas, 1991. p. 128-131.

V. R. P. de Miranda. "Linguística e Literatura: Contribuições para sua História." *Atas do I Seminário Nacional de Arquivos Universitários*. Campinas, 1991. p. 133-137.

M. A. Forti. "O Fundo Paulo Duarte: da Organização Original à Recuperação das Informações." *Atas do I Seminário Nacional de Arquivos Universitários*. Campinas, 1991. p. 139-143.

M. A. M. Silveira. "Organização do Fundo Sérgio Buarque de Holanda." *Atas do I Seminário Nacional de Arquivos Universitários*. Campinas, 1991 p. 139-143.

¹⁷¹ A. T. de Castilho; S. Godói. "Paulo Duarte e o Problema da Língua Portuguesa." *Atas do I Seminário Nacional de Arquivos Universitários*. Campinas, 1991. p.151-159.

C. H. M. Batalha. "O Arquivo Edgard Leuenroth e as Fontes para a História Operária." *Atas do I Seminário Nacional de Arquivos Universitários*. Campinas, 1991, p. 161-167.

E. M. Zanata. "Contribuição à Organização de Fundos Fechados em Arquivos; a Leitura Que Não Se Lê." *Atas do I Seminário Nacional de Arquivos Universitários*. Campinas, 1991, p. 169-173.

S. M. F. Ranzi. "Divisão de Pesquisa Histórica do Museu Amazônico; Acervo Documental." *Atas do I Seminário Nacional de Arquivos Universitários*. Campinas, 1991.

The two first sections have a close affinity to this study, as they seem to characterize a pattern of records and archives management in the context of Brazilian universities. In the first section, three universities described their archival systems which were created to manage the universities' own records and archives. The second section, included experiences of universities with the collection and management of non-institutional archives and/or regional collections. Two different kinds of administrative units have been created to accomplish this role: an "archive" or a "documentation centre". It must be noted that in a single university, an "archival system" may co-exist with one or more administrative units created to manage non-institutional archives - "an archive" or "a documentation centre".

The emphasis on the system structure was reinforced in this Seminar by the publication of a book which propagates the idea of the systematization of archives.¹⁷²

An important result of the event was the creation of the Grupo de Estudos em Arquivos Universitários - GEAU (Study Group on University Archives) with the aim of "exchanging information and experience on university archives and promoting co-operation among professionals responsible for projects and/or implementation of archival systems."¹⁷³

In the year 1992 the II Seminário Nacional de Arquivos universitários was held in the Federal University of Santa Maria (UFSM) in the State of Rio Grande do Sul. At this time it was decided that the subsequent seminars on university archives would be held at every two years, as a joint event with Brazilian national congresses on archives. I could not obtain the papers presented at the 1992 Seminar and only three papers were obtained from the 1994 Seminar. As they report experiences from other Latin American countries (Peru and Chile), they will be commented on in the next two sections.

4.6.2 Peru

Peruvian literature on university archives also appears to have made its debut 1989, when the I Reunion de Archivos Universitarios (First Meeting on University Archives) was held under the sponsorship of the Universidad Católica del Perú.¹⁷⁴ Since then, these meetings have been held yearly. I have found no references to the publication of the proceedings of these meetings.

¹⁷² A. T. de Castilho [org.]. "A Sistematização de Arquivos Públicos." Campinas, Editora da UNICAMP, 1991.

¹⁷³ "O Grupo de Estudos de Arquivos Universitários"... *Boletim do GEAU*, (1) out. 1992.

¹⁷⁴ S. P. de Colin, op.cit., p. 4.

Besides the two papers presented at the 1994 National Seminar on University Archives in São Paulo (Brazil)¹⁷⁵, a booklet written by Munoz was obtained.¹⁷⁶

Corroborating the point of view of other authors, Munoz also recognizes that university archives may be constituted by institutional and non-institutional records:

"a) Archivos universitarios por origen (AUO)
(university archives by origin)

'...created and accumulated naturally, spontaneously in the university, and constitutes basically of official documentation. They are accumulated in the offices, tend to be kept in a specific room and might possibly be transferred to a permanent repository.

b) Archivos universitarios por adopción (AUA)
(archives donated to the university)

*'...accumulated totally or partially elsewhere and come to the campus for some reason, usually for cultural reasons' [...]These acquisitions have a considerable multiplying effect on overall university holdings.*¹⁷⁷

An important feature of Peruvian state university archives, is pointed out by Carrero¹⁷⁸. The Sistema Nacional de Archivos de Perú (National Archival System of Peru) created in 1990, has the Archivo General de la Nación - AGN (General Archives of the Nation) as the directing and central body. The AGN is responsible for issuing regulations concerning records and archives management for public institutions and other organizations which belong to the archival system. Although emphasizing that state institutions of higher education are part of the National System of Archives, Carrero does not go into details on how this relationship is worked out.

This aspect is similar to the Brazilian case, as discussed previously, but it has not been considered by Brazilian university archivists yet.

¹⁷⁵ S. P. de Colin, op.cit., p. 4.

R. K. Carrero. "El rol del Archivo en una Universidad Estatal Peruana: el caso de la Universidad Nacional Federico Villarreal (UNFV)." In: III Seminario Nacional de Arquivos Universitários, São Paulo, 1994.

¹⁷⁶ C. G. Munoz. "El Archivo Universitario." Lima: Pontificia Universidad Católica del Peru, 1994.

¹⁷⁷ Ibid., p. 24. [My translation]

¹⁷⁸ R. K. Carrero, op.cit., p. 1.

4.6.3 Chile

According to Rodríguez¹⁷⁹ the year 1991 represents a landmark in the development of Chilean university archives. In this year, the first survey in the country was held with the aim of ascertaining the situation of Chilean university archives.

The findings were not encouraging. A few universities had implemented their "central archives". Most universities kept the documents in the offices. Several problems were common to most institutions: lack of qualified personnel, lack of minimal storage conditions and lack of proper methodologies for the organization and description of the fonds.

Rodríguez recognizes the lack of common criteria in the organization of records and archives as the major problem. He thought that university archivists were not aware of archival principles. To explain this situation, he adds that "the archival legislation is not clear enough in Chile as there is no National Archival System to regulate the flow of documents."¹⁸⁰ One may further note not only his approval of the system structure but his proposals for its implementation in Chile.

The survey covered a great variety of aspects of university archives. However, a relevant aspect for this research - the functions Chilean university archives have fulfilled - was not covered.

4.6.4 Other Latin-American countries

Despite extensive search, I was unable to find any references of published works from other Latin-American countries.

In 1994, however, archivists of the Universidad de San Carlos de Guatemala promoted the Reunion de Archivistas Universitarios Latinoamericanos (Meeting of Latin-American University Archivists), with the sponsorship of the Organization of American States. This is the first evidence of a meeting of university archivists in the region. Therefore, the initiative in hosting Latin-American university archivists is due to Guatemalan archivists.

¹⁷⁹ I. G. Rodríguez. "Tradición, Cambio y Proyección; los Archivos Universitarios Chilenos." In: I III Seminário Nacional de Arquivos Universitários, São Paulo, 1994.

¹⁸⁰ Ibid., p.5.

The meeting did not publish a proceedings, but the official report¹⁸¹ provides a general view of the university archives field in the participant countries.

The aim of the meeting was to discuss the issues affecting Latin-American university archives, to promote the exchange of experiences among the participants and come to an agreement on fundamental aspects for the development of university archives in Latin America.¹⁸²

The meeting brought together thirteen archivists of one third of Latin-American countries: Peru, Colombia, Chile, Brazil, Honduras, Mexico and Guatemala. This attendance may be considered satisfactory, considering that this was the first attempt to put together a very specialised group of archivists.

The picture of university archives in Latin American seems encouraging, since most participants reported their achievements in several aspects. For example, Universidad del Pacífico (Peru) and Universidad de Aguascalientes (Mexico) reported "the excellence"¹⁸³ of the repositories' physical conditions and the high level of recognition of their functions. The later is already making use of computerised findings aids. Universidad de la Frontera (Chile), Universidade de Santa Maria (Brazil) and Universidad de Caldas (Colombia) highlighted their work on archival description. This University reported that they provide consultancy to public and private organizations on records and archives management, and stressed that this work generates income to the repository itself and to the institution as a whole. The major achievement in the Chilean University is the training programme, which has played a fundamental role in the development of university archives in the country. Another achievement stressed by this University is the Archive's regulations. The archivist of the Universidad de San Carlos de Guatemala worked on a proposal of job description for the archival unit of the institution, considered in the report as "the aspect which marked the participation of the institution."¹⁸⁴

The Archives of the Universidad Nacional Autónoma de Honduras and the Universidad de San Carlos de Guatemala shared similar problems concerning the lack of recognition of their mission in the university setting, the lack of space and human resources. Another problem reported by the Honduran university is the lack of regulations.

The conclusions of the report focused on comparative analysis of administrative aspects such as human resources, accommodations, hierarchical subordination of the archival unit, regulations and services. It also

¹⁸¹ UNIVERSIDAD DE SAN CARLOS DE GUATEMALA. "Informe de la Reunion de Archivistas Universitarios Latinoamericanos." Guatemala, 1994. [I acknowledge Miss Gloria E. Juárez de Soria, head of the Archives of Universidad de San Carlos de Guatemala, for providing the information about this meeting]

¹⁸² Ibid., p. 1.

¹⁸³ Ibid., p. 4.

¹⁸⁴ G. E. J. de Soria. "Descripcion de Puestos." Guatemala: Universidad de San Carlos de Guatemala, 1994. [My translation]

pointed out the need of an ongoing exchange of experience among the participants.¹⁸⁵

All the participants agreed on the need of recognition of the archives' mission in the university setting.¹⁸⁶ This mission is actually a crucial aspect of the matter. However, it was not included in the agenda of the meeting.

The promotion of this meeting demonstrates that there is a growing group of university archivists, as a specialist group in the archives field. Nevertheless, as long as an awareness of the role of university archives continues growing in Latin America, it is to be expected that that the literature on university archives is likely to flourish.

4.7 CONCLUSIONS

The following aspects of the literature analyzed are of special concern to the development of this research:

University archives is a new branch in the archives field. While the first publications on the subject seem to have appeared in the 50s in the American and British literature, in Latin American the first articles encountered date from the late 80s. Therefore, university archives are in an early stage of development in Latin America.

A common aspect reflected in the literature reviewed is that university archives have fulfilled two basic roles: collection and management of the university's own records and archives and collection and management of non-institutional archives. In some institutions, this last role is combined with the gathering of collections of regional significance.

Three models of university archives are set out in the American, Canadian, British and Australian literature:

- a) university archives which concentrate uniquely in the collection and management of institutional records and/or archives;
- b) university archives which combine the tasks of managing both institutional and non-institutional materials;
- c) university archives centred in the administration of non-institutional archives.

A model which seems to be emerging in Latin America has been delineated in the Brazilian literature: "archival systems" have been set up to manage

¹⁸⁵ Universidad de San Carlos de Guatemala, *op.cit.*, p. 5-7.

¹⁸⁶ *Ibid.*, p. 7.

institutional records and archives, while other information units - a "documentation centre" or even an "archive" have been implemented to manage non-institutional archives.

Non-institutional archives and collections of regional significance have been collected in Latin America for "cultural reasons". This fact is clearly reflected in the Brazilian and Peruvian literature. In other countries (e.g. Britain, Canada, United States) non-institutional archives have been collected in the university setting to provide opportunities to research. It seems that in Latin America, university archives have been fulfilling the role that public archival institutions have not had the means to fulfil.

CHAPTER 5

FIELD RESEARCH:

**SURVEYING THE MANAGEMENT
OF ARCHIVES IN THE
LIBRARY SETTING**

5.1 INTRODUCTION

As mentioned in section 1.3 (Methodology) part of the field research was carried out in the setting of university libraries. This chapter deals with the results of this part of the survey. The main objective of this chapter is to describe the participation of university libraries in the field of archives administration. The analysis will be built upon the data provided by the 58 university libraries (65% of the whole population) which replied to questionnaire A.

5.2 CHARACTERISTICS OF UNIVERSITIES INVOLVED WITH THE ADMINISTRATION OF ARCHIVES

Tables 5.1, 5.2 and 5.3 give some details of respondent universities concerning location, number of students and date of foundation.

**TABLE 5.1
GEOGRAPHICAL LOCATION OF RESPONDENT UNIVERSITIES**

REGIONS	RESPONDENT UNIVERSITIES		POPULATION SURVEYED
	freq.	%	%
Southeast	22	37.6	40.4
South	18	31.0	27.0
Northeast	14	24.1	21.3
Centrewest	3	5.2	6.7
North	1	1.7	4.5
TOTAL	58	100.0	

As can be seen from table 5.1, the proportion of universities which tend to collect archives are quite close to the population surveyed. 68.6% of respondent universities are located in the most developed regions of the country (Southeast and South), while 31.0% are in the less developed areas (Northeast, Centrewest and North).

TABLE 5.2
RESPONDENT UNIVERSITIES ACCORDING TO NUMBER OF STUDENTS

NUMBER OF STUDENTS	RESPONDENT UNIVERSITIES			POPULATION SURVEYED
	freq.	%	Ranking	Ranking
Up to 5000	11	19.0	2*	3
5001-10000	20	34.5	1	1
10001-15000	10	17.2	3	2
15001-20000	11	19.0	2*	4
More than 20000	6	10.3	4	5
TOTAL	58	100.0		

* same rank

Also concerning number of students, the proportions of respondent libraries are quite close to the pattern of the population. The only variation relates to the second and fourth places in the ranking. While the categories 10001-15000 and 15001-20000 correspond to the second and fourth places in the population rank, their positions were inverted concerning the response rate.

TABLE 5.3
DATE OF FOUNDATION OF RESPONDENT UNIVERSITIES

DATE OF FUNDATION	RESPONDENT UNIVERSITIES			POPULATION SURVEYED
	freq.	%	Ranking	Ranking
1910s	1	1.7	8	8
1920s	2	3.4	6	6
1930s	2	3.4	6	7
1940s	6	10.3	4	5
1950s	7	12.1	3	4
1960s	25	43.1	1	1
1970s	10	17.2	2	2
1980s	5	8.6	5	3
TOTAL	58	100.0		

Similarly to the previous results, most of the rankings obtained by respondent libraries follow the proportion of the population surveyed. An aspect which must be noted is that universities created in the 80s, although getting the third rank in the population surveyed, had the fifth rank when the activity of

collecting archives is considered. I understand that, as they have been created so recently, this activity has not been absorbed yet. Therefore, there is no clear indication that the collection of archives by university libraries may be related to their geographical location, number of students and age of the university.

5.3 COLLECTING POLICIES

5.3.1 Institutional archives

Brazilian university libraries have been concentrated in the administration of the university's own archives, as can be seen from table 5.4.

**TABLE 5.4
ARCHIVES COLLECTED BY LIBRARIES**

DESCRIPTION*	freq.	%
University's own publications	49	84.5
Theses/dissertations submitted to the university	49	84.5
Archives of people connected with the university	3	5.2
Archives of the central administration	2	3.4
Archives of departments/schools/institutes	1	1.7
Archives of students' societies/organizations	1	1.7
Others	3	5.2

N = 58

* Respondents could choose more than one category

"University's own publications" and "theses/dissertations submitted to the university" were chosen 49 times each, mostly by the same libraries. Thus, one may infer that there is a clear tendency in the Brazilian university library setting towards the collection of these materials. Other categories of materials asked for in the survey seem to be negligible, as demonstrated above.

Let us look more closely at some of the responses.

UFRJ¹⁸⁷ reports that "it is not possible to indicate what types of archives are collected by the 43 libraries of the system"¹⁸⁸. The only category of material

¹⁸⁷ The list of abbreviations of universities is included in the initial pages of this work.

¹⁸⁸ I have translated some excerpts of information given in the questionnaires to illustrate the issues analysed. This information appears in quotation marks throughout the text.

which is administered for the university as a whole is theses/dissertations. The university library of UFMG registered the deepest involvement with archival activities. Most of the categories of materials listed were indicated, with the exception of "archives of departments/schools/institutes" and "archives of people connected with the university". Under the option "others", were included "Archives of Festival de Inverno¹⁸⁹ (Winter Festival), and "Archives of Minas Gerais writers". Here the indication clearly is that UFMG university library is not only involved with the administration of the University's own archives.

Three other libraries used this option to indicate the following materials: "reports of central administration and units and internal bulletins"(UCG) and the "output of the university"(UFRJ, USP).

The term "output of the university" has been widely used by Brazilian university libraries to designate all kinds of materials which are produced as result of the technical and scientific activities of the university. Materials commonly included under this category are: theses, dissertations, university publications, papers presented at conferences, technical and scientific reports, etc.

In some universities, the scope of this collection may be too wide. At USP, for example, the Rectorate issued an internal regulation delegating to the libraries of this multi-campus institution the responsibility of collecting the "scientific, technical and artistic output of the University". This collection includes: articles published in specialized periodicals and in the press, reviews, leaflets, translations, papers presented in conferences, technical/scientific reports, computer software, patents, maps, maquettes/prototypes, bibliographies, artistic production and audio-visual materials (documentaries, radio/TV/films scripts, videos, video-texts, records and tapes, illustrations and catalogues of collective exhibitions). The majority of these materials clearly belong in archives as they result from university activities. The problem is that the administration of such diversity of materials may likely be unfeasible, since it goes far beyond the normal objectives of university libraries.

The administration of theses and dissertations was subject of a resolution issued by the Society of American Archivists, in 1975.¹⁹⁰ This resolution states that theses and dissertations should be seen as records of enduring value, because they are accepted as a fulfilment of the requirement for graduate degrees. Therefore, it is recommended in the document that appropriate steps be taken by each institution to preserve its theses and dissertations and make them available. In addition to laying down specifications to ensure the physical preservation for these materials, the resolution states that a copy must be kept in a non-circulating collection in the institution's archives or other location that has proper security. Therefore, the resolution does not limit the location of

¹⁸⁹ The Festival is a high profile community service promoted yearly by UFMG.

¹⁹⁰ Society of American Archivists. "Resolution on Theses and Dissertations." In: Society of American Archivists. *College and University Archives: Selected Readings*, Chicago: 1979. p. 175.

theses and dissertations to the archives, but restriction of access is highlighted.

5.3.1.1 When libraries begun to collect archives

Most respondent libraries (56.9%) were not able to say when they started to participate in the collection and administration of institutional archives described in the previous section.

TABLE 5.5
WHEN ARCHIVES STARTED TO BE COLLECTED BY LIBRARIES

DATE	freq.	%
1960's	1	1.7
1970's	9	15.7
1980's	14	24.1
1990's	1	1.7
Missing cases	33	56.9
TOTAL	58	100.0

However, nearly 40.0% of respondent libraries thought this date lay between the 70s and 80s. By this time, the development of graduate courses in the country ¹⁹¹ brought with them a great production of theses and dissertations and, perhaps on a larger scale, the university's own publications. At this point, libraries responded to the management of these materials.

5.3.1.2 Methods adopted in the collection of institutional archives

The participation of the university library in the collection of archival materials in the library setting is not an organized activity, as shown by table 5.6.

¹⁹¹ M.S.S.Graciani, *op. cit.*, p. 64.

TABLE 5.6
METHODS ADOPTED TO COLLECT INSTITUTIONAL ARCHIVES

METHODS	freq.	%
Collecting materials informally	28	48.3
In accordance with a formal collecting policy	12	20.7
Partly formal/partly informal policy	8	13.8
Others	4	6.9
Missing cases	6	10.3
TOTAL	58	100.0

As declared by nearly half of respondent libraries (48.3%), archival materials are collected informally. The proportion of libraries which have developed policies is around one fifth (20.7%). 13.8% of libraries operate simultaneously with a formal policy for some documents and collecting others informally. For instance, UFRJ and UFF have a formal policy for collecting theses/dissertations, but collect the university's publications informally. At UFPR, theses, dissertations and university's publications are collected formally; but "all kinds of works whose authors are part of the university community" are collected informally. It is worth pointing out that some university libraries tend to base their collecting policies on their "legal deposit"¹⁹² role. For instance, an internal regulation set out at UFSCAR states that "all theses and dissertations submitted to the University must be deposited in the library". UFV stresses the efforts employed to make the university press and faculty aware of the importance of the University Library's legal deposit role.

In strict legal terms, the National Library¹⁹³ has the prerogative of being the legal deposit repository in the country, but some libraries seem to exercise the function locally by analogy.

Libraries have not always been successful in establishing a formal policy. For instance, at UFC, "an internal regulation issued by the Rectorate states that all theses, dissertations and the University's own publications must be deposited in the Library, but it has not been observed in practice", as pointed out by the Librarian. A similar situation is reported by UCG, where an internal regulation

¹⁹² According to the ICA "Dictionary of Archival Terminology", N. York, K.G. Munchen, 1984, legal deposit is "the legal requirement that free copies of all works printed or published in a country be placed in specified 'repositories' in that country."

¹⁹³ Decreto 1825 de 20 de dezembro de 1907. "Dispõe sobre a remessa de obras impressas à Bibliotheca Nacional."

formalized the collection of theses, dissertations and the University's own publications. In this case also, it has not been systematically observed.

Some Brazilian university libraries have been playing an active role in the management of some kinds of university archives, which have been actually considered as the "output of the university". However, this activity does not appear to be formally established and, sometimes, when regulations are set out to establish collecting policies, they have not always been observed.

5.3.1.3 Methods adopted to organize archives

An overview of methods adopted by libraries in the organization of these materials is given at table 5.7. It is not clear that any one method predominates. Actually, most of the of libraries (25.9%) declined to answer this question. Four methods, however, seem to emerge. Whereas 20.7% of libraries keep the records "integrated in the library collection", 15.5% organize them as "special collections" and 8.6% as the "university memory". 15.5% of libraries combine two or more methods to organize these materials.

**TABLE 5.7
METHODS OF ORGANIZING ARCHIVES**

METHODS	freq.	%
Integrated in the library collection	12	20.7
As Special Collections	9	15.5
As University Memory	5	8.6
A combination of previous methods	8	13.8
Others	9	15.5
Missing cases	15	25.9
TOTAL	58	100.0

The largest proportion of libraries which replied to this question tend to integrate the materials mentioned in table 5.4 in the library collection. This seems a worrying picture, since it implies that they might not have provided archival treatment which includes in some cases restricting the circulation of these materials.

Special collections may include a broad range of materials, as indicated by some libraries. In some cases, it includes documentation concerning the area or State where the university is inserted. UFPI serves as an illustration here. There, special collections bring together the university's output, theses/dissertations, as well as publications by native authors or dealing with

the State of Piauí. To emphasise this geographical approach, the collection is labelled "Coleção do Piauí" (Collection of Piauí State).

On the other hand, at UFSM special collections are labelled "Coleção UFSM" (UFSM Collection), since it concentrates on the output of the university. With the same approach, at UFPE and UFAL this collection is called "output of the university".

Another method of administering the documents mentioned in table 5.4 labels them as "memory of the university". Like special collections, the scope of the "memory of the university" may be extended to the State as a whole, although the title suggests an intrinsic relation with the institution. UFPB can be quoted as an example here. Similarly, UFG is developing a project to create the "memory of UFG", which will collect the "output of the university" and also the archives of prominent people from the State of Goiás. In this case, the terms "output of the university" and "memory of the university" has been used interchangeably.

Still focusing on table 5.7, some libraries (13.8%) opt to organize the records by simultaneously combining different methods. At UCG and UFRN theses and dissertations are integrated in the library collection; the university's own publications are part of the "memory collection". At UFMA, theses, university's own publications and university's output are integrated in the library collection; the "university's memory" deals with archives of the central administration. At FURG, the university's own publications are kept in the reference collection; theses and dissertations are integrated in the library general collection.

A diversity of procedures is included under the option "others". Some of them demonstrate that there is as yet no definite treatment for these records. For instance, at FUEL, they are "kept in a separate room in the library"; at PUC-RS, "they form a separate collection"; at FUEM, they are "kept in a room where rare books, leaflets and microforms are also located".

Some libraries collect two copies of theses and dissertations to fulfil purposes of circulation and preservation. At UFPR and UFPE, for example, one copy is kept in the "university memory" or at the "university's output", respectively, and a second copy is kept in the library collection.

At UFES the objective in preserving two copies of theses and dissertations seems questionable, since both of them are kept in the same department. As pointed out in the questionnaire, theses are kept in the "memory collection", which is part of "special collections". When they are about Espírito Santo State (where the University is located) a second copy is located in "special collections" whose objectives include the preservation of the technical-scientific output of or about the State.

At USP, different methods are adopted in the several libraries of this multi-campus institution: sometimes they are in the library collection, sometimes

they are part of the "memory collection". At Faculty of Education, for example, theses and dissertations are part of the collection "memory of education", which collects materials on the theme "Education in Brazil".

The methods adopted by libraries to organize the materials (mainly theses/dissertations and the university's own publications) as demonstrated by table 5.7, are quite diverse. There is no predominant method, especially taking into consideration that a significant proportion (more than one quarter) of respondent libraries did not report on the procedures adopted. This may possibly indicate the absence of a definite procedure to report.

Perhaps the most important conclusion to be reached here is that university libraries definitely seem to be involved with the administration of institutional archives, more specifically with theses/dissertations and the university's own publications. Some involvement is also demonstrated with the administration of regional collections and, in the case of UFMG and UFG, with archives produced elsewhere. However, bearing in mind the methods adopted to collect these materials (table 5.6) and also the methods employed in their organization (table 5.7), it is possible to conclude that this activity does not seem to be properly structured within the library setting.

5.3.2 Non-institutional archives

One of my main objectives was to assess whether, in reality, Brazilian university libraries have been administering non-institutional archives. Only three out of the 58 respondent libraries responded "yes" when they were asked if they collected non-institutional archives: UFMG, UCG and UEPB.

UFMG holds a joint project with the Centro de Estudos Literários (Centre of Literary Studies), linked to the Faculty of Letters, with the aim of collecting the archives of "writers of Minas Gerais". The project was initiated in 1980 and, since then, three archives have been collected. The accessions belong to the Centro de Estudos, but are housed by the University Library and jointly administered by the two bodies. A peculiarity of this project is that some personal belongings of the writers, such as furniture, paintings, and other objects are also collected. Together with the archives, they are arranged in individual rooms denominated by the writer's name. This project seems to follow the model of American presidential libraries.

This practice seems quite unusual in a university context. No similar experience has been encountered in the literature surveyed. Given the high cost, one may wonder whether such programmes should be promoted, especially in countries where financial resources are so scarce. Even so, a more ambitious project has been set out, which involves the construction of a building to house the Centro de Estudos and the accessions which have been

housed in the University Library so far. There is no indication as to whether or not a policy of active expansion will be implemented.

It is worth mentioning another recent initiative of UFMG concerning the administration of non-institutional archives. The University Library received recently the archives of the German musician Curt Lange, whose work had strong connections with the State of Minas Gerais. Most of the archives are in paper format. Other materials included are gramophone records and musical instruments.¹⁹⁴ There is no indication on how these materials have been treated.

At UCG, the accessions actually match the characteristics of "regional collections". They comprise publications of authors or themes of Goiás State and are labelled Coleção Goiana (Goiana Collection). Apparently, they do not have archival characteristics, although they were thought of as such. A collection of similar approach, is held at UFG, which is located in the same city (Goiana). It would be encouraging if some cooperation were to be developed between these libraries concerning the administration of these collections.

Most probably, the same interpretation can be applied to UEPB, since the accessions reported refer to publications of Paraíba's writers. These materials began to be collected in 1990 and were included in the Memória do Estado da Paraíba (Memory of Paraíba State), a project which was set up by the Library.

5.3.3 Archive-related materials

In order to get a more comprehensive idea of university libraries collecting policies, some questions concerning the administration of archive-related materials such as "manuscripts", "rare books" and "special collections" were included in the questionnaire.

Only 7 (12.1%) out of the 58 respondent libraries reported that they have "manuscripts". Details such as description of the collection and its administration were given by only a few.

According to a few libraries, manuscripts are understood as non-published materials. At UFMG, for instance, the "archives of writers of Minas Gerais" are considered manuscripts, whereas at FUEM they are broadly described as "hand-written or typed materials". Some libraries at USP consider theses, non-conventional materials (which are not defined) and a professor's correspondence as manuscripts.

At UFMG manuscripts are administered as special collections, whereas at UFPE, they are "kept in a special room waiting for technical treatment".

¹⁹⁴ "CURT Lange." *UFMG-Informativo da Universidade*, 22:1045, jan. 1995. p. 2.

On the other hand, the question on “special collections” provoked more numerous responses. Thirty (51.7%) out of the 58 respondent libraries reported that they have special collections.

As can be seen at table 5.8, special collections comprise a wide range of materials. “Rare books” and “private archives and/or regional collections” seem to be the most common components of special collections.

The term “regional collection” is being used in this study to identify the materials Brazilian university libraries have accumulated concerning the region where the university is located. These collections include a wide range of materials, such as books, newspapers, periodicals and sometimes, multi-media materials. Most often, because they limit their coverage to the State where the university is located, they are labelled accordingly, for instance: “Documentação do Maranhão” (Maranhão Documentation) - UFMA; “Coleção Mato Grosso” (Mato Grosso Collection) - FUFMS; “Documentos Sergipanos” (Sergipe Documentation) - UFS; “Documentação Goiana” (Goiás Documentation) - UFG.

TABLE 5.8
DESCRIPTION OF SPECIAL COLLECTIONS

DESCRIPTION*	freq.	%
Rare books	10	17.2
Private archives and/or regional collections	10	17.2
Theses/dissertations	6	10.3
Audio-visual and/or cartographic materials	6	10.3
University's own publications	5	8.6
University's output	5	8.6
University's memory	3	5.2
Manuscripts	2	3.4
Others	12	20.6

N = 58

* Respondents could choose more than one category

When a direct question was made about special collections, a more comprehensive picture was obtained. This data complements the comments made spontaneously by libraries when they responded to the question on methods adopted to organize materials collected (table 5.7).

The range of materials held as “special collections” is even broader if one considers the data included under the option “others”:

- yearbooks;
- reserved books;
- periodicals collections;

- leaflets;
- publications of international bodies;
- microforms;
- art catalogues;
- art books;
- "Coleção Brasileira"¹⁹⁵;
- "Coleção Cordel"¹⁹⁶;
- offprints;
- private libraries donated to the university;
- private libraries or archives of university collaborators.

Not only the monetary value, but also the historical, cultural and social function of materials seems to be the criteria largely adopted to characterize special collections materials (e.g. rare books, private archives, regional collections, private libraries, etc.)

However, in some cases, the format of the materials seems to be the criterion (e.g. audio-visual/cartographic materials, microforms, leaflets, offprints) or even the nature or condition of the collection (reserved books, periodical collections, art books, art catalogues, etc.)¹⁹⁷

These characteristics seem to match the concept of special collections adopted world-wide.

"Rare books" are held by thirty (51.7%) out of the 58 respondent libraries, but very few descriptions were given about these collections. Sometimes they are vaguely described as "old books", "books valuable because of the knowledge they contain", "special editions and/or subjects, books with special details", or "books selected from collections donated to the library". In some libraries the descriptions given reflect a process of evaluation, or an attempt to establish some criteria to characterize them. This is what can be inferred from the following descriptions: "books considered rare according to the librarians' and faculty evaluation; a specialist evaluation was never carried out" (UCG); "publications of defunct publishers, out of print publications, publications with a special kind of print, paint or illustration, Coleção Brasileira"(FUEM); "XVI to XVIII century books" (USP).

At UFRGS rare books are characterized as "16th to 20th century books selected from Coleção Eichenberg (Eichenberg Collection), which was

¹⁹⁵ The term 'Coleção Brasileira' is employed by Brazilian libraries to label the collections which cover publications of Brazilian authors and/or publications about Brazil.

¹⁹⁶ Collection of popular literature, precariously published and usually sold hanging from strings, in the Northeast Region of the country.

¹⁹⁷ UFES' definition of special collections reflects a combination of these two criteria: "Books, leaflets, photographs, maps, encyclopedias, and other materials considered valuable for their historical, cultural and social meaning and also for their date of publication, difficulty of obtention, or even their intrinsic or extrinsic characteristics. In such cases, these materials demand special conditions for technical treatment, preservation and use".

acquired by this Library in 1969". Further details about this collection are actually needed to make clear why 20th century books are considered rare. (See footnote 197, below)

A more consistent description is made by UFMG: "five specific collections which were inventoried according to criteria established by the National Library".¹⁹⁸

Rare books form a separate "rare book collection" in 4 libraries and make part of "special collections" in 5. Quite a few libraries have not defined their organization yet. For instance, UFV, FUEM, FUEL, USU, PUC-RS, UCS, PUCCAMP and some libraries at USP reported that rare books remain in separate rooms or shelves. UFF said that their organization varies at each departmental library.

5.4 OTHER ISSUES

5.4.1 How university libraries perceive their role in the management of archives

One of the main objectives of the field research was to ascertain how university libraries perceived their own role on the administration of archives. With this idea in mind, the following question was put: In your opinion, does the university library have a role to play in the administration of institutional records and archives and non-institutional archives?"

The results are displayed at table 5.9.

TABLE 5.9
OPINIONS OF LIBRARIES CONCERNING THEIR PARTICIPATION ON THE
MANAGEMENT OF RECORDS AND ARCHIVES

ANSWERS	freq.	%
Yes	28	48.3
No	13	22.4
Other comments	7	12.1
Missing cases	10	17.2
TOTAL	58	100.0

¹⁹⁸ A. V. T. P. Pinheiro. "Que é Livro Raro? Uma Metodologia para o Estabelecimento de Critérios de Raridade Bibliográfica." Presença: Rio de Janeiro, 1989.

The proportion of respondents who replied "yes" is quite surprising. Brazilian university libraries clearly demonstrate high expectations on the field of archives administration. However, they present different points of view to support their answers.

Let us begin with arguments supporting positive replies.

Some libraries agree that this responsibility should be limited to the materials which have been considered "university's memory" and/or "output". UFG, UFES, UFMA, FUFMS, PUC-MG, FURG, UCP, FUEL, UFMG, UFPI, UCS and some libraries at USP can be quoted as supporters of this idea.

Two out of these libraries explained why they do not extend their actions to non-institutional archives. FUEL states that non-institutional archives "are closer to the duties of public libraries", whereas UFG thinks that "they are under the charge of public archives". What may be inferred from FUEL's point of view is that in some places of the country public libraries might also be involved with the administration of archives, perhaps due to the lack of public archives services in some areas.

The collection and administration of both institutional records and archives and non-institutional records is accepted by several libraries, but under at least two different perspectives.

For one group of libraries the performance of this role depends only on the supply of proper installations and human resources. This opinion is shared by UFPE, UFRN, PUC-RS, and UFPEL. UFRN adds that they have the intention of creating an archival unit at the university.

For another group of libraries, this role is accepted, due to the importance of preserving institutional and local memory (UEPB, UFOP, FUE-PG, UFSM, FUEM). FUE-PG emphasises:

"The university library is the information centre of the community where it is situated: for this reason, it must collect and administer not only the institutional archives, but also the archives of the community. Unfortunately, this Library cannot fulfil this role due to the lack of staff."

Because of the university library functions (supporting teaching, research and services to the community), FUEM has the opinion that university libraries should administer either institutional records and archives and non-institutional archives. When collecting non-institutional archives, libraries should focus their collecting policies on archives connected with the university's areas of study and research. The Institute of Research in Psychology (USP) also shares this opinion. It is interesting to note that, although on a limited scale, the ideas

orientating collecting policies in countries with high archival standards are present in the Brazilian context.

Two university libraries think they must participate in the administration of non-institutional archives due to the lack of public services in both library and archives fields. UCG points out:

"This Library is visited by the general public due to the lack of libraries in the State of Goiás. Because many university libraries assume the role of public libraries, they should acquire as much information as possible. However, considering the lack of personnel, university libraries can hardly perform this role. This problem becomes even worse in this Library."

UFRGS justifies the role of university libraries in the collection of archives,

..."given the lack of policies for the preservation of records and archives in the country. [...] the university library must participate not only in the preservation of its own memory but also in memory of the community where the university is situated."

At UFPR, the university library is formally responsible for the collection of the "documentary production of the university", which seems an equivalent term for "output of the university". Concerning university records and archives, the Library seems to have a commanding role. This is what can be inferred from its internal regulation, which includes among the objectives of the Library:

*"...acquire, maintain and disseminate all types of bibliographical materials needed by the University activities;
preserve and disseminate the documentary output of the University;
orientate the collection, preservation, access and use of archival material at UFPR".¹⁹⁹*

The concepts of bibliographical and archival materials set out in this regulation provide an interesting insight as to how they are seen in the university library context.

¹⁹⁹ Universidade Federal do Paraná. *Regimento da Biblioteca Central*. Curitiba, 1990, p.1.
[My translation]

"Archival materials are documents created or received by the University, which have been issued by individuals or organizations, in the exercise of their activities, no matter what the physical form or nature of the materials, organically accumulated. (e.g. correspondence, minutes, regulations, account records, student records and others)."

"Bibliographical materials are non-archival records, no matter what the form (manuscript, printed, visual, audio, tactile, electronic, or any combination of these), and which contain information and can be used and preserved over time. (e.g. books, theses, periodicals, maps, films, video tapes, records, technical standards, microforms, computer software, patents and others)"²⁰⁰

This distinction is not clear to them. If archival materials can be of any "physical form or nature", they can also be "bibliographical", provided that they result from activities of individuals or organizations. In the university setting, several "bibliographical materials" are commonly produced as a result of university activities (e.g. books, periodicals, journals, theses, dissertations, newsletters, etc.) Therefore, there is a contradiction in the above definitions.

This distinction may not be clear for other libraries as well. At UFMG, the term "bibliographical collections" has been also used to distinguish bibliographical materials from "records and archives." The danger here is that if bibliographical materials which have archival characteristics are collected and administered by libraries, they might not be receiving proper archival treatment. Therefore, it is important that these principles should be understood.

Let us now look at the arguments supporting the answers of university libraries which think that they do not have a role to fulfil in the management of institutional records and archives and non-institutional archives. These arguments are more consensual and mostly based upon the nature of archival work.

PUC-MG, UNIJUI, UFS, some libraries at USP, UCP, and UFBA share the opinion that the objectives of libraries differ from those of archives and, for this reason, distinct units should be created in the university structure to deal specifically with archives administration. Some of them also see the participation of an archivist as a basic requirement for the development of the work.

Other libraries, like UFMG, think that university records and archives fall outside the responsibility of the Library, UFMG states:

²⁰⁰ Universidade Federal do Paraná, op.cit., p.3. [My translation]

"Bearing in mind the characteristics of administrative records and archives, they fall within the duties of a central archive. They demand specific technical treatment, proper installations, collecting policies and user services which differ from the administration of bibliographical collections."

This is further evidence of how the concept of archives has not been understood in the library setting. As mentioned before, bibliographical materials might also acquire the characteristics of archives, if they are created in the context of organized activities. It is also interesting to notice that this institution, although stating that university libraries should limit their actions to 'bibliographical' collections, in reality, has been participating in the administration of both institutional and non-institutional archives, as demonstrated before.

Aside from sharing these ideas, UFBA underlines that the university library "must participate in the formulation of an archival policy envisaging frontiers and strategies of action."

Although some university libraries see their role primarily as providing support for teaching, research and work for the community, they do not include archive administration as part of their activities, perhaps bearing in mind the pressure of resource constraints. As pointed out by one library at USP, "university libraries face a crucial problem of lack of human resources and space. For this reason, they must concentrate on supporting the academic activities of faculty, students and researchers." Most probably, this respondent is making reference to the traditional activities undertaken by libraries, already threatened by the lack of resources. In this sense, a new commitment would not be feasible. The British survey has shown this problem quite clearly.

This same argument is stressed by some libraries exactly in the opposite way. That is, they think they must participate in the administration of non-institutional archives to support teaching, research and services to the community.

At UFSC, the administration of institutional records and archives is not an aim of the library, because "an archival unit in this University is in charge of archival material." Concerning non-institutional archives, they add: "non-institutional archives are under the responsibility of the State Archive of Santa Catarina, which is very well administered." This the only positive remark concerning public archive services encountered in the field research.

UFSCAR's Librarian stresses her own opinion concerning non-institutional archives:

*"I believe that the administration of non-institutional archives must be the **University's duty**, but not necessarily the Library's duty. In this University, there is no relationship between the Archive of Contemporary History and the Library - both have diverse objectives. That is, this Library has been concerned with providing informational support to research and teaching; historical and cultural preservation is not part of our aims, not even concerning the University itself. This is a personal opinion, since this subject has never been discussed. There is only a feeling that the preservation of the University and the community memories is a matter of concern".*

UFC's argument probably relates only to institutional records and archives when it is stated that :

"In the present structure of the library system in this University, the collection of institutional records and archives is not foreseen. Nevertheless, this responsibility may be assumed, bearing in mind the lack of a proper mechanism for records and archive preservation. If so, the information system in this University must be completely restructured."

UPF also share the opinion that the university library does not have a role to play in archives administration. As pointed out by the Librarian:

"I personally have an idea that a central archive in the institution must be responsible for records and archives administration with the participation of specialised professionals - archivists. Observation: this University does not have a central archive and this opinion is personal, as I pointed out."

An interesting fact is that UPF has an archival unit, although not exactly a "central archive". O Museu Regional e Arquivo Histórico (Regional Museum and Historical Archives) linked to university has been involved with the collection of both institutional and non-institutional archives.

It seems that some libraries have not considered the matter of records and archives administration. Some preferred to comment the matter, without responding precisely "yes" or "no". These opinions were categorized as the option "others".

UFAL and UFS stated that "no opinion on this matter has been formed yet."

A partnership of libraries and archives seems to be essential for some libraries. As emphasised by UFF:

"A central archive must be created in the university setting, considering the complex work of records and archive collection and administration. However, we agree that the principles concerning the organization and treatment of documentation in the university should be developed jointly by both professionals - archivists and librarians. The work should be done in partnership, since archives and libraries share a common objective - to provide information to support teaching, research and service to the community."

This idea has another supporter, the Librarian of the Polytechnic School of USP.

"The Library and the Archive must coordinate their efforts and employ reciprocal support, envisaging the preservation of archival materials and the memory of the institution. In my opinion, they complete each other and thus, must continuously work to elucidate for the central administration the value of records and archives and the need for their preservation."

The partnership of libraries and archives is a relevant aspect introduced here. It may be argued that this partnership should be extended to all kinds of information services existing in the university structure.

5.4.2 Assessment of facilities

Another objective of the survey was to get some data on the site where these collections and archives are kept, focusing basically on space and physical conditions. The information obtained reveals a worrying picture (table 5.10). It is intriguing that a high percentage of the responding libraries (68.9%) declined to answer a simple and direct question. Only two libraries (3.4%) replied that materials are kept under "adequate" conditions. Four libraries (6.8%) said that the conditions were "partly adequate and partly inadequate". One library (1.7%) replied the conditions were "reasonable" and 11 (18.9%) replied "inadequate".

TABLE 5.10
ASSESSMENT OF FACILITIES

ASSESSMENT	freq.	%
Adequate	2	3.4
Partly adequate and partly inadequate	4	6.8
Reasonable	1	1.7
Inadequate	11	18.9
Missing cases	40	68.9
TOTAL	58	100.0

5.5 CONCLUSIONS

The field research carried out in the university library setting demonstrates that they participate in the administration of specific series of university's archives. The most important aspects of this participation and of other issues concerning the matter will be summarized, as follows:

- The series of archives administered by university libraries are: theses/dissertations, the university's own publications and all kinds of documents generated by faculty members as result of scientific, technical and/or artistic activities. These collections have been labelled "university output" or "university memory" and have been administered either as special collections or inserted in the general library collection.
- These series of archives tend to be collected informally. When regulations are set out to establish collecting policies they have not been observed.
- University libraries have also been involved with the administration of regional collections which, in some cases, include archives of local connections. These collections have been labelled according to their geographical coverage, which, in most cases, is the state where the university is situated. One library has formed a separate unit to house archives of local connections.
- Most university libraries did not report the method adopted to organize the university's archives collected and/or the regional collections. Therefore, it seems that this activity is not organized in the library setting yet. Four methods, however, seem to emerge: in some universities these materials are integrated in the library collection; in others they are administered as special collections; or they may be kept as the university memory. Two or more methods may be also combined to organize these materials.

- It is difficult to come to a conclusion concerning the conditions of facilities, as an enormous percentage of university libraries did not provide information about this matter. However, most of university libraries which did, declared that their facilities are inadequate in terms of space and physical conditions.
- It seems clear that only one university library is actually involved with the collection of non-institutional archives, as the other two which declared their participation in this activity are in reality administering regional collections.
- In the opinion of some librarians the role of university libraries in archival field should be limited to the administration of institutional records which have been characterized as “output of the university” or “university memory”.
- For others, this role is limited to the administration of institutional records and archives. Some librarians reported they have been even involved with projects concerning the implementation of archival systems in their own settings.
- Other librarians state that the university library must participate in the preservation of either institutional and local memories and, thus, they justify their involvement with the collection and administration of institutional or non-institutional archives.
- Another group of librarians think they must participate in the administration of non-institutional archives due to the absence of public archival services in the region the university is located. This is quite an interesting view, as it goes exactly in the opposite direction of what is prescribed in the legislation. According to the Brazilian Law of Archives, it is the public network of archives which must be the repository for archives of public and public character institutions.
- A significant percentage of librarians think that the university library does not have a role to fulfil in the management of archives. For them, the objectives of libraries differ from those of archives and, for this reason, distinct units should be created in the university structure to deal specifically with records and archives administration.
- Some librarians suggest a work in partnership between libraries and archives, because they have a common objective: to provide support to research, teaching and service to community. It may be argued that this partnership should be extended to all kinds of information services existing in the university structure.

CHAPTER 6

FIELD RESEARCH:

THE ARCHIVES SETTING

6.1 INTRODUCTION

After considering the participation of Brazilian university libraries in the field of archives administration, the attention will now be focused on the archival units themselves. This section deals with the results of the survey undertaken among the archival units, whose data was obtained through questionnaire B.

The data to be considered for this analysis comes from the 28 universities which reported the existence of an archival unit in the university structure, as demonstrated at table 1.5. I have also pointed out at section 1.3.2 that 20 of these institutions are federal, 4 are state and another 4, private. Therefore, the results which follow are strongly marked by the federal setting.

USP did not report the existence of an archival unit. Two academic departments responded to the questionnaire, which might indicate that individual departments have been implementing archival programmes in this institution. For this reason, the analysis of these questionnaires will be made separately, at section 6.8.

6.2 DESCRIPTION OF UNIVERSITIES WHICH HAVE IMPLEMENTED ARCHIVES

Tables 6.1 and 6.2 give a picture of universities which responded questionnaire B in terms of geographical location and number of students.

TABLE 6.1

UNIVERSITIES WHICH HAVE IMPLEMENTED ARCHIVES ACCORDING TO GEOGRAPHICAL LOCATION

REGIONS	RESPONDENT UNIVERSITIES			POPULATION SURVEYED
	freq.	%	ranking	ranking
Northeast	11	39.3	1*	3*
Southeast	8	28.6	2*	1*
South	5	17.9	3*	2*
Centwest	2	7.1	4	4
North	2	7.1	4	5
TOTAL	28	100.0		

* three first scores

Northeast universities are the leaders in the implementation of archival programmes, in spite of getting the third rank in the population surveyed. This result is not surprising. Most universities which responded to questionnaire B are federal and the Northeast Region has the highest rate of federal universities. On the other hand, South and Southeast regions, although getting the highest rates in the population surveyed, are strongly marked by the presence of private universities. As demonstrated at figure 1.5 this category of universities is less involved with the administration of archives.

TABLE 6.2
UNIVERSITIES WHICH HAVE IMPLEMENTED ARCHIVES ACCORDING TO
NUMBER OF STUDENTS

NUMBER OF STUDENTS	RESPONDENT UNIVERSITIES			POPULATION SURVEYED
	freq.	%	ranking	ranking
Up do 5000	2	7.1	5	3*
5001-10000	9	31.1	1*	1*
10001-15000	5	17.9	3*	2*
15001-20000	8	28.6	2*	4
More than 20000	4	14.3	4	5
TOTAL	28	100.0		

* three first scores

The table above provide some indication that the smallest universities (up to 5000 students) have been less involved with the implementation of archival units. While they are the third in rank of the population surveyed, they are the last category in establishing archival units.

6.3 DATE OF ARCHIVES FOUNDATION

In table 6.3 universities are listed according to their date of foundation and the date of the initial creation of an archival unit.

TABLE 6.3
DATES UNIVERSITIES' FOUNDATION AND THE
FOUNDATION OF THEIR ARCHIVES

UNIVERSITY	FOUNDATION	ARCHIVES FOUNDATION	GAP
UFMG +	1927	-	-
PUC-SP ++	1946	1980	34
UFBA +	1946	1967/71	21
UFPE +	1946	1958	12
UFRRJ +	1947	1947	0
UERJ +++	1950	1961	11
UFC +	1954	1970	16
PUCCAMP ++	1955	1968	13
UFRN +	1958	1974	16
UFF +	1960	1985	25
UFG +	1960	1961	1
UFSC +	1960	1988	28
UFSM +	1960	1990	30
UFAL +	1961	1970	9
UNICAMP +++	1962	1989	27
UFMA +	1966	-	-
UCS ++	1967	1989	22
UFPA +	1967	1988	21
UFS +	1967	1981	14
UFPI +	1968	-	-
UPF ++	1968	1983	15
UFU +	1969	1978	9
UFV +	1969	1986	17
FUEL +++	1970	1985	15
UNESP +++	1976	1987	11
FUFMS +	1979	1979	0
UNIRIO +	1979	1990	11
UNIR +	1982	1991	9

Federal + Private ++ State +++

As can be seen, not all universities were able to say when the archival units had been implemented. In few cases, they were implemented simultaneously or almost simultaneously with the university itself. In most cases, however, the units were established much later.

6.4 COLLECTING POLICIES

University repositories have been primarily concerned with the collection and management of certain categories of institutional records and archives, as will be shown in the following sections.

6.4.1 Materials collected

Materials collected are presented under two perspectives. A group of archivists responded to this question in a way which allows for a categorization of the answers according to Samuel's functional analysis.

TABLE 6.4
MATERIALS COLLECTED BY ARCHIVAL UNITS ACCORDING TO
SAMUELS' FUNCTIONAL ANALYSIS

FUNCTIONS	DESCRIPTION OF RECORDS/ARCHIVES*	INSTITUTIONS BY SECTOR			TOTAL
		Federal	State	Private	
1. Confer credentials	Archives of <i>vestibulares</i>	1			1
	Students' case files	6		1	7
2. Convey knowledge	Students papers/essays			1	1
	Records/archives of teaching process	1			1
3. Foster socialization	-----				
4. Conduct research	Records/archives of research process	1			1
5. Sustain the institution	Central administration records/archives	1			1
	Financial records/archives	4	1		5
	Personnel records/archives	5			5
6. Provide public service	Records/archives of services provided to the public	1			1
7. Promote culture	-----				

N=28

* Respondents could choose more than one category

In the analysis of Samuels, records are by-products of activities, though this cannot be taken as a rule for all of them.²⁰¹ Bureaucratic activities, such as financial and personnel administration produce voluminous records and thus the activities tend to be more widely documented. The results displayed at figure 6.4 corroborate Samuels' conclusions. "Personnel records" and "financial records" had significant scores. Student records had the highest score, although there is no indication of the nature of records kept in the files. However, "archives of *vestibulares*"²⁰² were mentioned only once, although this form of student admission at Brazilian universities is one of the most controversial issues concerning higher education in Brazil.

²⁰¹ H. W. Samuels, *op.cit.*, p. 28.

²⁰² Brazilian university entrance exams.

Again, as observed by Samuels,²⁰³ few records exist to capture other critical activities. As examples, she points out "the interaction between the student and teacher in the classroom", "the life of the student outside the classroom", and the "role of staff." She also stresses that some stages of the research process are rarely recorded as, for example, the "conceptualization and selection of research problems" and "formulation of hypotheses". There is no clear evidence that these activities have been captured at Brazilian universities. Other activities which have been poorly documented in the country are "convey knowledge", "foster socialization", "conduct research", "provide public service" and "promote culture".

Another group of archivists listed the materials in broader categories, as can be seen bellow (table 6.5).

TABLE 6.5
MATERIALS COLLECTED BY ARCHIVAL UNITS
(IN GENERAL CATEGORIES)

DESCRIPTIONS OF MATERIALS*	INSTITUTIONS BY SECTOR			TOTAL
	Federal	State	Private	
Administrative records/archives	10		2	12
Records/archives produced by university	1	1	1	3
Archives of old isolated schools	2			3
Records/archives of defunct bodies	3			3
Official records/archives	1			1

N=28

* Respondents could choose more than one category.

For example, "administrative records", which had the highest score, may include records covering "sustain the institution" or "confer credentials". Therefore, in this category, respondents might be including records of bureaucratic activities, most probably the same activities which had the highest scores in the first group.

Broad categories of materials such as "archives of old isolated schools" or "records/archives of defunct bodies" may include materials covering most different functions. Nevertheless, there is not much expectation that they would go beyond bureaucratic records.

If these results are compared with the categories of materials collected by libraries, it seems clear that Brazilian universities have centred their collecting policies on institutional records and archives within the following pattern:

²⁰³ H. W. Samuels, *op. cit.*, p.28.

libraries have focused on the collection and management of theses/dissertations and university's publications, while universities repositories have focused on records and archives resulting from bureaucratic activities.

6.4.2 Methods adopted in the organization of materials

When asked about the methods used to organize the materials, most institutions (32.1%) referred to filing methods (numeric, chronological or alphabetical), as can be seen from table 6.6. A common characteristic of these respondents is that they concentrate on students files (1 state and 1 private) or are responsible for registry activities (7 federal), which brings into the unit a large proportion of individual case files.

TABLE 6.6
METHODS USED IN THE ORGANIZATION OF MATERIALS

METHODS	Federal	State	Private	TOTAL	
	Freq.	Freq.	Freq.	Freq.	%
Numeric/chronological and/or alphabetical order	7	1	1	9	32.1
Organization by fonds	6		2	8	28.5
Others	4	1		5	17.8
Missing cases	3	2	1	6	21.4
TOTAL	20	4	4	28	100.0

28.5% of respondents organize the records by fonds. For most federal universities, it seems that the actual base of organization is the administrative structure of the university, as they do not hold other fonds. Apparently, different faculties or departments have been considered as separate fonds. Only two universities (1 federal and 1 private) made a clear reference to the institution as the major archival group, that is, a single fonds.

Other methods were indicated by 17.8% of respondents. One state and two federal institutions which adopt the system structure said that the records are organized by each administrative unit of the campus according to the instruction of the central archives but no information was given as to how the records are actually arranged. The third federal institution organizes the records according to the university's structure and the fourth has developed a decimal subject classification adapted to archives.

There was no direct question in the questionnaire concerning the description process and archivists did not approach this aspect spontaneously. It must be noted however that description is the most visible and possibly the most important archival activity to the users of an archives. Therefore, it is crucial to the success of any archival programme. An invaluable instrument to the efficient management of archival description is the International Standard for Archival Description - (ISAD)G²⁰⁴ adopted by the ICA Ad Hoc Commission on Descriptive Standards. The use of this standard in the Brazilian context must be urgently considered by Brazilian archivists.

6.5 RECORDS MANAGEMENT ACTIVITIES

Almost 40.0% of respondent institutions reported they provide records management service. This percentage include all the institutions which have implemented archival systems (4 federal, 2 state and 1 private), plus 4 other federal universities. All these institutions have followed the principle of records administration according to the life cycle of records. In addition of developing retention schedules to orientate the transfer and disposal of records, they also provide direction to departments and faculties on filing systems.

This result may be considered quite encouraging, as it indicates an awareness of Brazilian higher education institutions towards the importance of records management service in the university setting. It might also reinforce the idea of some authors²⁰⁵ that records management services are more likely to be developed when archival programmes are independent from the library. This seems to be true. In Britain, for example, where archives programmes are mostly within the library, it was proved that records management has not been given the necessary attention.²⁰⁶

Methods used for transferring records are displayed at table 6.7.

²⁰⁴ International Council on Archives. Ad Hoc Commission on Descriptive Standards. "International Standard for Archive Description." Stockholm, 1993.

²⁰⁵ I. E. Wilson. *op.cit.*, p. 168-69.

²⁰⁶ Society of Archivists/SCONUL, *op.cit.*, p. 6.

TABLE 6.7
METHODS FOR TRANSFERRING RECORDS

METHODS	Federal	State	Private	TOTAL	
	Freq.	Freq.	Freq.	Freq.	%
Use of retention schedules	6	1		7	25.0
Use of filing/transfer form	8	1		9	32.1
Others	3	1	1	5	17.8
Missing cases	3	1	3	7	25.0
TOTAL	20	4	4	28	100.0

According to table 6.7, the larger proportion of respondent institutions (32.1%) use filing or transfer forms for transfer operations. One fourth of respondents rely on retention schedules, perhaps a smaller proportion than one would expect.

Some specific observations were categorized under the option "others". A federal university observed that the records are not transferred due to the lack of space. Two institutions (1 federal and 1 private) replied that the records are transferred according to internal rules which are not described. One state university established a policy to transfer all the files after the 5th year of creation, and another federal institutions simply said: "records are transferred after appraisal process."

Two federal universities included their respective retention schedules; another federal institution declared it has been using one of these instruments and a third one replied that the retention schedule is being elaborated at present.

17.8% of respondents did not answer this question. This may be considered a significant proportion, given the importance of this issue on archives management.

Important issues concerning records management activities at federal universities are subject to the actions of other federal bodies. As showed at chapter 3, standards regarding the use, supply reproduction and acquisition of paper and forms fall under the sphere of the System of General Services-SISG, while the issues concerning informational resources are subject to the System of Administration of Informational and Informatics Resources-SISP.

6.6 ADMINISTRATIVE ASPECTS

This section attempts to analyse the administrative practices followed by university archival units in Brazil.

6.6.1 Naming and structuring archival units

The names given to archival units are displayed in table 6.8. In order to verify whether there is some predominance of terminology over time, the table is organized according to the dates of foundation of these units.

TABLE 6.8
NAMING ARCHIVAL UNITS ACCORDING TO DATES OF CREATION

UNIVERSITY	ARCHIVES FOUNDATION	NAME OF ARCHIVAL UNIT
UFRRJ +	1947	Archive and General Registry
UFPE +	1958	General Archive
UERJ +++	1961	Communication and Archive
UFG +	1961	General Archive
UFBA +	1967/71	General Archive
PUCAMP ++	1968	General Secretary
UFAL +	1970	General Archive
UFC +	1970	Archive and Microfilming
UFRN +	1974	General Archive
UFU +	1978	General Archive
FUFMS +	1979	Central Archive
PUC-SP ++	1980	Centre of Scientific Documentation and Information*
UFS +	1981	General Archive
UPF +	1983	Regional Museum and Historic Archive
FUEL +++	1985	General Archive
UFF +	1985	General Archive
UFV +	1986	Central Archive
UNESP +++	1987	Centre of Documentation and Memory **
UFPA +	1988	Central Archive ***
UFSC +	1988	Central Archive ***
UNICAMP +++	1989	Central Archive ***
UCS ++	1989	Centre of Historic Documentation
UNIRIO +	1990	Central Archive ***
UFSC +	1990	General Archive ***
UNIR +	1991	Permanent Archive
UFMG +	-	Archive
UFMA +	-	Registry and Archive
UFPI +	-	Registry, Communication and Documentation

Federal + Private ++ State +++

* System structure introduced in 1991

** System structure introduced in 1990

*** System structure

A preliminary analysis of this table demonstrates that the names of archival units at federal and most state universities follow a definite pattern. A significant proportion (60.7%) fall under the terms "General/Central Archives" or simply "Archives". In other few cases, these terms are combined with "Registry", "Communication", "Microfilming".

The names given to archival units follow the terminology used in the Brazilian records and archival legislation, in special in the Decree 75,657/75 which regulates several administrative activities of federal bodies, including "registry", "archives" and "communication" (chapter 3). However, it must be noted that universities had incorporated this terminology as early as the 40s.

It must also be noted that the system structure, strongly emphasized in the archival legislation (old and new) seems to be absorbed only in the late 80s. In 1988, two universities (UFPA and UFSC) adopted this structure for the first time in the country, followed by UNICAMP in 1989, UNIRIO, UFSM and UNESP in 1990 and PUC-SP in 1991. Here one can see universities of three Regions of the country: North (UFPA), Southeast (UNICAMP, UNIRIO, UNESP and PUC-SP) and the South (UFSM).

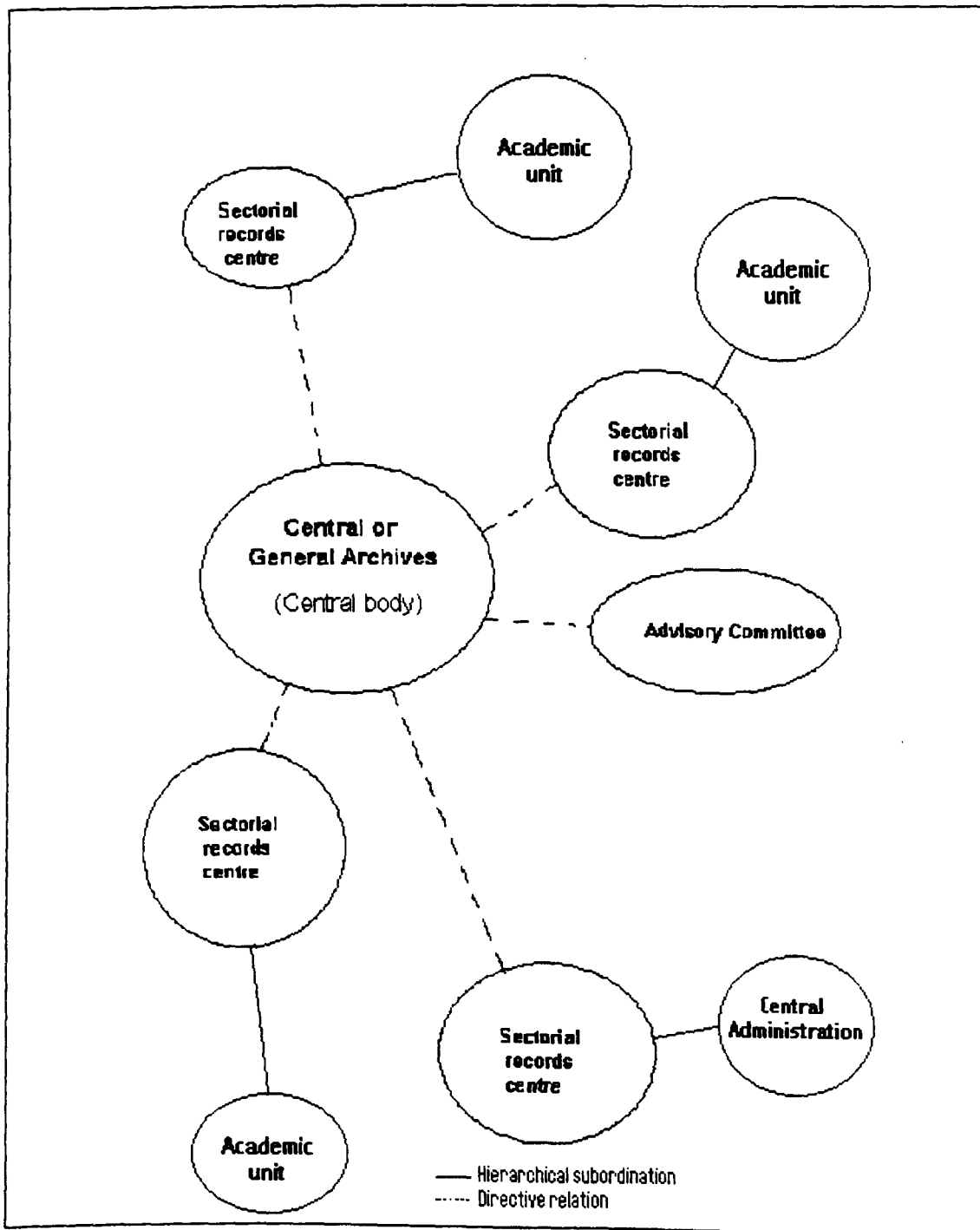
Universities have assimilated the system structure in the following way: the function of the central body prescribed in the legislation is carried out in the university setting by a "central" or "general" archive, which is responsible for defining, implementing and co-ordinating the archival policy for the institution. The central archive is also responsible for the collection and preservation of the archives. The operational bodies are created at departmental or faculty levels and are labelled "sectorial records centre". Besides being in charge of implementing the archival policy dictated by the central body, sectorial records centre assist the respective department/faculty in the organization of filing systems. They are also responsible for the keeping of semi-current records. Some archival systems include advisory committees which are created either for assisting in the implementation of the archival unit or for advising in appraisal matters. A typical structure of archival systems is shown at figure 6.1.

At some universities, the system structure is more complex. The archival system at UNICAMP, for example, includes a co-ordination, which has a directing role, including the definition of the archival policy for the institution. It is also responsible for the supervision of the system. The operational tasks are divided between the central and "sectorial records centres". Advisory committees were created at two levels: central and sectorial. The central committee has a permanent character. It is not reported whether the sectorial committees have a permanent character or not.

Some states have already issued their own archival legislation following the system approach prescribed in the federal legislation. The State of São Paulo

can be cited as an example.²⁰⁷ Therefore, as institutions funded by São Paulo Government - UNICAMP and UNESP - have adopted the system approach.

FIGURE 6.1
TYPICAL STRUCTURE OF AN ARCHIVAL SYSTEM AT THE
UNIVERSITY SETTING



²⁰⁷ Governo de Estado de São Paulo. Decreto no. 22789 de 19 de Outubro de 1984. "Institui o Sistema de Arquivos do Estado de São Paulo."

At federal universities, aside from affecting the naming of the archival units, Decree 75,657/75 had a strong influence in the pattern of localizing these units in the university's structure. At 14 (70.0%) out of the 20 federal universities, archives have been located in Administrative Pro-Rectorates or equivalent bodies, often linked to the intermediary department of General Services, as prescribed by the Decree. Apparently this location has been a significant factor in determining the role of archival units at federal universities: all these units are concentrated in institutional records and archives and most of them limit their actions to the documentation of central administration.

Four out of these 14 cases emphasized that this line of subordination (to the Administrative Pro-Rectorate) has been beneficial to the development of the archives, while another three criticised it. In these later cases it is generally felt that the archives should be given a situation in the university structure that would enable it to have an independent contact with all departments.

Three federal universities have not followed this pattern, as explained below.

One institution located the archives directly under the Rectorate, as a supplementary body, thus reflecting the argument mentioned above. Without further explanations, this location is described by the respondent as "the best possible". However, even with this location, the respondent mentioned that one of the major problems is the "lack of support by some departments". This experience may indicate that the location of the archives as an independent unit may not be so crucial as it might appear, especially taking into account the positive results mentioned before by the units located under the Administrative Pro-Rectorate.

These results might illustrate quite well the ideas of Maher concerning the location of archival units in the university's structure. As he pointed out, no single location may be seen as the best, because the mission of an university archives will always cut across the interests of any possible parent department. An essential aspect of the matter for him is the recognition that the archival work is an independent profession requiring autonomy to accomplish its mission. Therefore, in his opinion, the appropriate administrative superior will be the one which can understand why and when the archives must go to other campus units to look for direction, authority and resources.²⁰⁸

The other two institutions chose the following options: one located the archives within the "Pro-Rectorate for University Affairs" and the other opted for a double line of command - the archives is hierarchically subordinated to the Rectorate and administratively to the Administrative Pro-Rectorate. In this case, the hierarchical subordination to the Rectorate might be established

²⁰⁸ W. J. Maher, *op. cit.*, p.23.

exactly to facilitate the contact of the archival unit with all the other campus units.

At another federal university the archival unit has not been given a definite position in the university structure. At the moment, it is "informally" located within the "Documentation Nucleus", which seems to be the terminology adopted in this institution to designate the functions of the library.

Only two federal universities did not provide information about the situation of the archives in the administrative structure.

State universities have also been affected by federal legislation concerning the adoption of the system structure, as can be seen at UNICAMP and UNESP and the names of the archival units, as can be seen at UERJ, FUEL and UNICAMP. However, at these institutions, it is the objectives of the archival programme, rather than legislation, that seems to have determined their location in the university structure, as illustrated at table 6.9.

TABLE 6.9
ADMINISTRATIVE LOCATION OF ARCHIVAL PROGRAMMES AT SOME STATE UNIVERSITIES

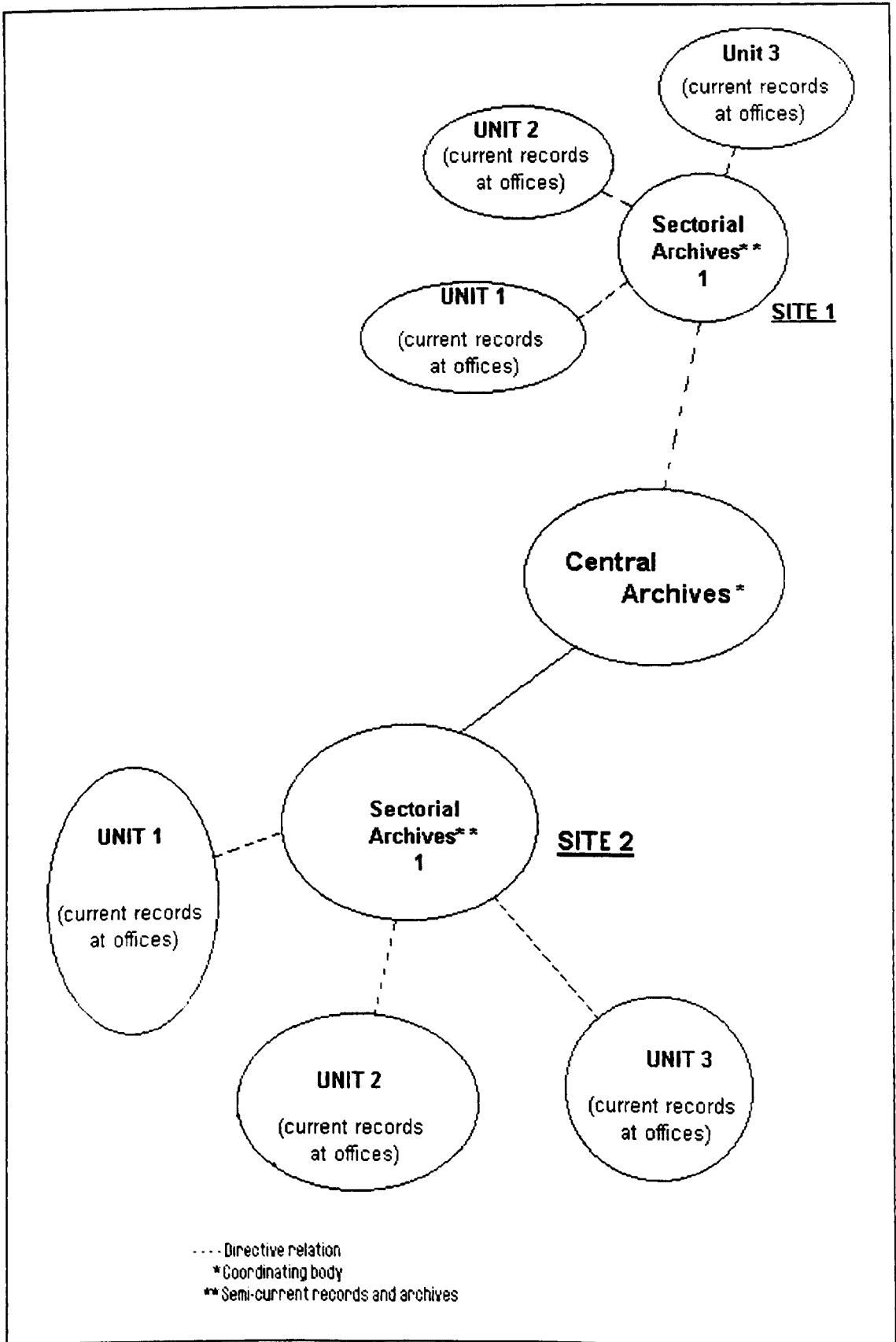
INSTITUTION	EMPHASIS OF THE PROGRAMME	ADMINISTRATIVE LOCATION
FUEL UNICAMP UERJ	Student records Institutional records and archives Central administration archives	Directorate of Academic Control Rectorate Administrative Directorate

The "Centre of Documentation and Memory-CEDEM" at UNESP differs from other state and all federal institutions because it combines the administration of both institutional records and archives and non-institutional archives. It also differs from these institutions in the pattern chosen to label the unit. However, it has incorporated the system structure for the administration of the institutional records and archives, thus following the orientation of both federal and São Paulo State archival legislation.

UNESP is a multi-campus institution whose units are scattered in 15 sites in the State of São Paulo. It is probably due to this reason that the archival system conceived for the institutional records and archives has a decentralized design, as shown at figure 6.2. The system is being tested initially at two sites before being definitely implemented.

The central archives is the co-ordinating body of the archival system. It is responsible for defining the archival policy, its implementation and supervision. Therefore, the "central archives" is not involved with the collection of documentation, although the term gives this idea. Semi-current records and archives are actually administered by the "sectorial archives" to be established at each campus. The responsibilities for the operational tasks are shared between the "sectorial archives" and the offices.

**FIGURE 6.2
UNESP ARCHIVAL SYSTEM**



The idea of implementing a repository at each site to house not only the records but also the archives is questionable, due to the high cost of such structure. Needless to say, the investment needed to implement 15 repositories according to acceptable standards would be enormous, especially considering the climate conditions of tropical countries. Clearly, that less expensive structures should be developed at multi-campus institutions. One of the aims of this study will be to offer some contribution to the development of such structure.

CEDEM has not yet been formally included in the university structure. Bearing in mind the responsibilities of CEDEM concerning the administration of institutional records, it is provisionally located within the General Secretary, as a project. The aimed situation for the body in the university structure is under the Pro-Rectorate of Post-Graduation and Research. However, no decision concerning the matter has yet been taken by the central administration.

Private universities demonstrate distinct strategies for establishing their archival units, most probably because of the lack of formal ties to Government legislation. As shown at table 6.7, PUC-SP, UPF and UCS have not followed the conventional terminology for naming their archival units. They also differ from federal and most state universities in the way archival units are located in the university structure and in the scope of responsibilities. The Centre of Scientific Documentation and Information-CEDIC, at PUC-SP, and the Regional Museum and Historical Archives (UPF), are both located under two Vice Rectorates - Academic and Research, and Extension, respectively; the Centre of Historic Documentation (UCS) is located under an academic unit - the Department of History and Geography. All these units share another common characteristic: they administer institutional records and archives and non-institutional archives.

Only CEDIC has absorbed the system structure, which may indicate the influence of São Paulo State archival legislation. In doing so, CEDIC combined the archival objectives of the University with the requirements of the legislation.

6.6.2 Facilities

As shown at table 6.10, the largest proportion of respondents (32.1%) consider their installations inadequate in terms of space and environmental control. 28.5% reported that the installations are adequate, although among these two federal and one state institution stated no accommodation for users is provided.

Four federal universities reported that the installations are partly adequate and partly inadequate, meaning that sometimes space is adequate but no environmental control is provided or vice versa.

**TABLE 6.10
FACILITIES ASSESSMENT**

ASSESSMENT	Federal	State	Private	TOTAL	
	Freq.	Freq.	Freq.	Freq.	%
Adequate	6	2		8	28.5
Inadequate	6	1	2	9	32.1
Partly adequate/partly inadequate	4			4	14.2
Others	2	1		3	10.7
Missing cases	2		2	4	14.2
TOTAL	20	4	4	28	100.0

The archival unit at UNICAMP stands out from all the others counterparts. Located in a 1100m² area this unit meets essential requirements for archives management: besides air conditioning, humidity control and smoke detection systems, accommodation for users is also provided. A peculiarity about this unit is that an auditorium has been built for archivists' training purposes. This facility has not been reported by any other counterpart, nor by any other archival programme described in the literature surveyed.

Although respondents were not asked specifically about the proportion of space allocated to records and/or archives storage and administrative and technical operations, two federal institutions provided these information. In comparing the information, one may assess how the criteria employed in defining the distribution of space contrast: whereas in one case 28.5% of the space available was used as storage area and 71.5% for administrative and technical operations, in the other case the proportions used were 80.0% and 20.0%, respectively.

6.6.3 Staffing

**TABLE 6.11
STAFF WITH FORMAL ARCHIVAL TRAINING**

NUMBER OF QUALIFIED STAFF	Federal	State	Private	TOTAL	
	freq.	freq.	freq.	freq.	%
1	6		1	7	25.0*
2			1	1	3.6
4	1	1		2	7.1*
5	1			1	3.6
6		1		1	3.6
9	2			2	7.1*
None	10	2	1	13	46.4
Others			1	1	3.6
TOTAL	20	4	4	28	100.0

*three highest scores

Table 6.11 includes staff who have received a formal course in archival training (undergraduate or specialization) and some cases of librarians who acquired archival skills through a period of training in archival institutions. It is believed that these professionals work on a full-time basis, since this is the most usual regime for qualified staff at Brazilian universities.

The data displayed at table 6.11 demonstrates a contrasting picture.

That is most probably because the introduction of formal archival training has been so recent that a significant proportion of respondent universities (46.4%) has not appointed any qualified staff - a result which is well over some findings noted in the literature. The total absence of qualified staff was reported by 37.0% of institutions in the American survey²⁰⁹. The Australian survey²¹⁰ registered a proportion of 27.0%.

The lack of qualified staff has led Brazilian universities to employ personnel from the so called category of "Administrative Assistant" to undertake the duties of archivists, especially at federal universities. This category includes people with a wide range of backgrounds, varying from more archive-related fields such as Librarianship, to others like Business, Education Studies, Accounting and even Law. In many cases, these people have acquired their degrees while working at the university. When they graduate and find no possibilities available in their fields of qualifications, they are then placed in

²⁰⁹ N. C. Burckel; J. F. Cook. *op. cit.*, p. 415.

²¹⁰ N. Allen, *op. cit.*, p. 659.

different departments. Some universities emphasize that these people receive in-service training before assuming archival responsibilities.

On the other hand, the number of qualified personal employed by 6 respondent universities (4 federal and 2 state) ranges from 4 to 9, an average which is above the pattern given in the literature. However, it is worth pointing out that most of these programmes include registry activities or extend their collecting policies to non-institutional archives. According to the American²¹¹ and Australian²¹² surveys, for example, this average is between 1 and 2 archivists. Also, in most of these cases, both programmes included the administration of non-institutional archives.

Three federal universities present a common characteristic which, most probably, have affected their staffing policy: they are three of the five institutions which run archives courses. UFF and UNI-RIO, in Rio de Janeiro, have employed 9 archivists and, UFSM, in Rio Grande de Sul (South) have employed 5. With these tables in mind, one may infer that the lack of archives courses in most regions of the country might be one of the main reasons why qualified resources are so scarce there.

Table 6.11 shows that 28.6% of universities have between one and two qualified staff each. Six of these institutions are federal and two are private and all are located in regions or cities other than the ones where archives courses are offered. These institutions may not have been able to attract professional staff who are available in other areas of the country.

Another inference from table 6.11 is that private universities tend to employ fewer qualified staff. Two out of the 4 respondent private universities employ one or two archivists, while the third has none. The fourth has a unit staffed by faculty members, who dedicate part of their time to archival work.

TABLE 6.12
TOTAL NUMBER OF STAFF

TOTAL STAFF	Federal	State	Private	TOTAL	
	Freq.	Freq.	Freq.	Freq.	%
1-3	5		3	8	28.5*
4-6	5			5	17.8*
7-9	3			3	10.7
10-12	3	1		4	14.2*
13-15	1	2		3	10.7
16-18	1			1	3.5
More than 18**	2	1	1	4	14.2*
TOTAL	20	4	4	28	100.0

* Three highest scores

²¹¹ N.C. Burckel; J.F. Cook, *op.cit.*, p. 415.

²¹² N. Allen, *op.cit.*, p. 659.

** The highest number of staff indicated was 41 (a registry and archives service at a federal university)

Table 6.12 gives a picture of the total number of professional, clerical and/or trainee student staff working at archival units. Like the pattern identified in the American survey²¹³, it seems that Brazilian public universities also tend to have a greater number of staff members than the private ones. Three of the four private universities employ 1 to 3 staff, whereas all state and most federal have as many as a dozen or more.

6.6.4 Financial resources

Table 6.13 shows that financial resources come mainly from the university's general budget. No information was provided about the existence of an earmarked budget or whether there is any participation by the archives staff in the budgeting process.

TABLE 6.13
SOURCES OF FINANCIAL RESOURCES*

SOURCES	Federal	State	Private	TOTAL	
	Freq.	Freq.	Freq.	Freq.	%
University's general budget	13	4	2	19	67.8
External sources	1	2	1	3	10.7
Missing Cases	14		1	15	53.5

N=28

* Respondents could choose more than one category

Federal universities have not demonstrated initiatives in getting resources from external sources, with the single exception of an institution which submitted a project to a local bank aimed at financing equipment purchase. Nevertheless, it must be noted that the bank is controlled by the Government.

State and private institutions, on the other hand, are more active in getting external resources. Two state institutions have recently received external funding to be applied to salary payment, equipment and stationary purchase, and organization and/or participation in meetings. Also in this case, the resources come from Governmental agencies. The private university did not specify the external source of its financial resources.

²¹³ N.C.Burckel; J.F.Cook., *op.cit.*, p. 415.

It is possible to infer that the fourteen federal institutions which omitted information on this matter rely on their institutional budget.

The Government (federal and state) has been the only source of resources for university archives in Brazil so far. However, as pointed out in the literature, some universities have been successful in getting financial resources from the private sector. As demonstrated by Allen²¹⁴, a significant percentage of the collection of the archive at the University of Melbourne consists of archives of large companies and business organizations, which contribute in great measure to the funding of the archive. This example indicates that the provision of other expert services may be used as source of income.

6.6.5 Ideal location for the archives in the university's structure

Archivists were asked to comment and make proposals on the ideal location for the archives at their own settings. Six federal universities replied that they are satisfied with the actual location: 5 are under the Administrative Pro-Rectorate and 1 is a supplementary body linked to the Rectorate.

On the other hand, another federal university argued that the subordination to the Administrative Superintendent has been harmful for the fulfilment of the "general archive" role. The accomplishment of this role could be facilitated if the archives were given the structure of a supplementary body, linked directly to the Rectorate.

Three archivists suggested the archives should be given different lines of command. In the first case, instead of reporting to the Pro-Rector of University Affairs, the Central Archive should report to the General Secretary of Planning (which is linked directly to the Rector) "in order to facilitate the collection of records and archives and the dissemination of information." The other two suggested the archives should be given the structure of a supplementary body, instead of being located under the Administrative Pro-Rectorate. No particular explanation was given for this change.

The definite location of the archives in the university structure is a pending issue at two institutions (1 federal and 1 state). At the federal institution, the archive duties are centred on the university's records and have been, so far, "informally" located under the Nucleus of Documentation. The official integration of the archives into the university structure is considered an essential condition "to assure appropriate resources and to provide a clear definition of the archives' role."

This seems a more complex issue at the state institution, as the archival unit has been operating since 1987 and the official integration into the university

²¹⁴ N.Allen, op.cit., p. 662.

structure has been postponed since then. Although formal proposals on this matter have been made to the Rectorate three times, no solution was reached. The desired location for the archives is under the Pro-Rectorate of Post-Graduation and Research.

Two federal institutions suggested the integration of library, archives, museum and computer services under a single co-ordinating body. As can be seen, the structure conceived by some archivists have been identified within the library setting survey and reflect the tendency of the modern literature.²¹⁵

6.6.6 Storing and equipment

The institutions were also asked to inform how the records are stored and which equipments are used in the organization of information. Nearly one half of respondents (11 federal, 1 state and 1 private) use traditional cardboard boxes and steel shelves to store records. No specification was given on the standard of cardboard boxes used. Only two universities (federal) are still using wood shelves, which might cause preservation problems, considering Brazilian climatic conditions. For this same reason, it is disconcerting to find that "wooden boxes" or even "plastic" or "acrylic boxes" are used to store "historical records" at two federal institution.

Microfilming systems are implemented at 4 federal and 2 state universities, but the existence of reader-copiers were mentioned only by three of them (2 federal and 1 state). At this last institution, the reader-copier is not working as the adequate electrical installation has not been done. Therefore, microfilmed records cannot be used at the moment.

Predictably, nearly half of respondent institutions (9 federal, 2 state and 2 private) employ manual methods to organize the information. A proportion of 28.5% of respondent institutions (7 federal and 2 state) have implemented computerized systems, although, in some cases, part of the archival operations are still conducted manually. One federal university reported the computer system operates in batch.

6.7 THE PERCEIVED TRAJECTORY OF ARCHIVE UNITS

Archivists were asked to speak about facts they see as achievements or setbacks in the trajectory of the unit. This kind of data must be analyzed with caution, as they are based on entirely subjective judgement. An important achievement under certain circumstances can be considered an ordinary issue under another. Moreover, one may argue that people tend to emphasize the positive side of their experiences.

²¹⁵ This view can be seen at M. Cook, "Information Management...", p. 1-23.

Archival activities are perceived as more successful at public than at private universities, as the latter have referred only to setbacks.

At 5 federal universities, archivists obtained improvements for installations varying from refurbishment to setting up the archives in proper buildings. Archivists also pointed out as achievements, issues such as: implementation of the archives itself (3 federal), implementation of microfilming or automation (5 federal, 1 state) or even the acquisition of equipment (1 state). Other gains registered are: strengthening of the archives by linking it to the Director of General Services (1 federal), setting up the Appraisal Committee (1 federal), increase of staff and participation of the archives in the project "Memory of the University". These remarks give an insight into the areas where archivists have concentrated their efforts.

Two universities made general observations on how their programmes have been successful. A federal institution stated: "a lot has been achieved in a very short period of time" and a state university emphasized: "the archives system has developed systematically and only developments can be registered, since all the units have been carefully involved. Space has been obtained accordingly and a proper building is available now."

Three federal and two private institutions referred to backward steps. The former have reported to "the loss of status in the university structure" and "reduction of staff". In this case, the unit lost 16 of the existing 20 staff members. It is not clear whether the duties have changed as well.

One of the private universities gave the following answer to the question on setbacks:

"The unit was created to assume the structure of a supplementary body; afterwards, it was located under a research institute which was not actually created and, finally, became part of the Department of History and Geography."

As reported in other parts of this study, the location of the archival unit in the university structure is sometimes a difficult task. In this case, it is not clear what is considered a setback. Apparently, it relates to the fact that the archival unit has been given a lower position in the university structure than it aimed at by the time of its creation. The second position considered - part of a research institute - seems an intermediate one, between the first and the present situation. This seems to indicate an aspiration for a higher position in the university structure: at least a departmental status.

UPF shows a clear concern with research activity. Perhaps the research role of archives has not been so strongly emphasized throughout this study as in this case. This is what can be inferred from the following statement:

"For two years from the creation of this unit, a faculty team from the Department of History has conducted research projects. At present, there is a lack of ongoing research. Although some projects are available, nobody has shown any interest in executing them. For the last 5 years, our activities have been limited to seminars, exhibitions, providing information to users and the organization of the material."

As can be seen, this university demonstrates a clear judgement of the research activity as the primary role, or, perhaps, the 'raison d'être' of the archives. Research is considered so essential that, since interrupted, the archives role became 'limited'.

6.8 HOW THE ROLE OF ARCHIVES IS PERCEIVED

One of the greatest expectatives of the survey was to find out how archivists see the role archives should fulfil in their own settings. Nevertheless, the proportion of replies obtained for this question did not come up to expectations: only 9 institutions (32.0%) replied to this question (6 federal, 1 state and 2 private). One wonders why archivists have not responded more actively on a matter of such importance.

Replies were given under two perspectives: some respondents focused on the documentation aspect, while others emphasized the research aspect.

Institutions which focused on the documentation aspect stated that the essential role of the archival unit is to administer the university's own records and archives.

"To provide support for research" is the fundamental role envisaged by other respondents. However, some archivists have experienced difficulties in the achievement of this role, as they have not been able to make the archival work an integrated activity within the university setting. This is what can be inferred from the response of a private institution, whose archival unit has been collecting both institutional and non-institutional archives.

"In my opinion, a general reorganization is needed at this Institution. I feel most of the university staff (teaching and non-teaching) do not see the Institution as a whole, but fragmented in Faculties and Institutes. This attitude directly affects the archives, as it is the unit which should centralize all the documentation and should provide support for research." (bold mine)

As it stands, this argument fails to make clear how the reorganization of the university could affect archival work. However, the point of tension seems to be that the "centralized" role envisaged by the archival units has not been accepted by faculties and departments, maybe because of their autonomous status, or because they are not willing to delegate the archival function to another unit. Another hypothesis is that they are not aware of the range of possibilities a specialised unit is able to offer in archives administration.

The proportion of universities which did not respond to this question is quite high - 68.0%. A possible explanation is that this still is an obscure matter at most institutions of higher education in Brazil.

Vague replies given to this question may indicate that the conclusion above is correct. For example instead of providing a direct answer, two federal institutions responded:

"This archival unit needs an entire reorganization in all aspects. The participation of all the units is needed for this reorganization."

"An archival policy is needed for this University to define the duties of the Archives and the documentation it is responsible for."

6.9 ARCHIVAL ACTIVITIES AT THE UNIVERSITY OF SÃO PAULO

As mentioned in the introduction of this chapter, the report about the archival activities at USP is presented separately because the questionnaire was answered by individual units. As the University has not implemented an archival unit, the University Librarian kindly forwarded questionnaire **B** to all units. Two academic units and one museum provided replies to the questionnaire.

One of the academic units is the Faculdade de Filosofia, Letras e Ciências Humanas (Faculty of Philosophy, Letters and Human Sciences). In 1986, the Projeto Memória da Faculdade de Filosofia (Project of memory of the Faculty of Philosophy) was started as an initiative of the Centro de Apoio à Pesquisa Histórica (Centre of Support to the Historic Research), which is linked to the Department of History. The Project has focused in the collection two types of materials: papers and published works of faculty members, and documents related to the implementation and development of the institution (minutes of academic and administrative bodies, programmes of courses, research projects, copies of speeches, newspapers, leaflets, photographs, among others).

The other academic unit is the Escola Politécnica (Polytechnic School), which has its own archive unit, as part of Registry. This service is linked to the Department of Administrative Assistance. In 1990, the "Projeto dos Arquivos da Escola Politécnica" (Archives Project of the Polytechnic School) was initiated and had as part of its scope a full reorganization of the Archives, both concerning its functions and installations. With the aim of documenting 100 years of the Institution, the Project has focused on the collection of administrative and student archives. It was pointed out in the questionnaire that materials concerning "scientific research" have not been collected.

As can be seen, both projects have focused on institutional archives, but the characteristics of the documentation collected differ. One may wonder whether it was the nature of the documentation which has led to the choice of different parent bodies.

The Museu de Arte Contemporânea of USP has adopted a different approach. A project has been elaborated for the creation of a documentation centre which will be responsible for the collection and administration of the following materials: files of correspondence maintained with artists, archives of administrative bodies of the Museum and theses/dissertations submitted to the courses run in the Institution.

The experiences described above indicate that each unit at USP has been responsible for the implementation of its own archival programme, which gives us the idea that these programmes have been created in a fully decentralized structure. The need of a directing body is clearly reflected in the words of the archivist of the Polytechnic School:

... "it is essential that an archival policy be developed in the University, with the aim of establishing common methods for the treatment of records and archives."

It is important to remember that USP is the biggest University in Brazil (around 55000 students) and that it has a multi-campus structure. Most probably, these

characteristics have influenced the idea of managing archives in a fully decentralized fashion.

Another possible explanation for this may rest in the origins of USP. Like the majority of Brazilian universities, USP was created by the reunion of the already existing professional schools, which had an autonomous status by the time the University was created. Some of these units, like the Polytechnic School, had already assumed a prominent position in the country. It is believed that units which had either this autonomous character and/or had a traditional role in the constitution of universities, might manifest a preference towards the implementation of separate archival programmes. The same interpretation may be applied to the Faculty of Philosophy. Although being created simultaneously with USP (1934), the role envisaged for this Faculty was quite innovative at that time. As shown at chapter 2, it was given the role of integrating all the basic courses which were common to the institutes and faculties. Although not successful at that time, the idea remained and was fundamental when other institutions of higher education were planned some decades latter.

6.10 OTHER BODIES INVOLVED WITH THE ADMINISTRATION OF ARCHIVES

As reported at section 1.3 (Methodology), the collection of data in the university setting was planned to be held at the library and archival units. However, some librarians and archivists spontaneously forwarded copies of questionnaire B to other bodies involved with archival activities. The official newsletter of UFMG was another source of information about other archives related activities run not only at this particular institution but also at other institutions of higher education in the State of Minas Gerais. In view of that, although not intentionally, it was possible to gather additional data which provided a more comprehensive view of archival programmes carried out in the university setting.

The data considered for this part of the study refer to 7 institutions, which correspond to 7.8% of the population surveyed (89 universities affiliated to CRUB). These universities are: 5 federal (UFU, UFSCAR, UFJF, UFMG and UFOP); 1 state (UNICAMP); and 1 private (UCP).

Table 6.14 gives an insight on other bodies carrying out archival activities at Brazilian universities. As can be seen, these bodies fall under four main categories: "documentation centres", "study centres", "memory centres" and "historical archives". The initiative in creating these units generally came from faculty members with the main objective of collecting archives to provide opportunities for research.

The projects reported at UFMG newsletter have been mostly undertaken by individual academic departments. The Department of Photography of the School of Fine Arts started a project in 1970 with the objective of collecting films produced in the State of Minas Gerais in the 20s, 30s and 40s decades. Recently, a new stage of this project was launched as a result of financial help obtained from an external source. The money will be used in the restoration and organization of the material collected.²¹⁶ The second project, is interdepartmental and relates to the preservation of "Presépio Pipiripau"²¹⁷, one of the most important works of popular art in the State. The project, named Memória Documental e Mecânica do Pipiripau (Documentary and Mechanical Memory of Pipiripau) involves an academic department (Mechanical Engineering), the University Library and the Laboratory of Conservation and Restoration of the School of Fine Arts. In addition to the "Presépio" itself, the project includes the preservation of the documentation related to it. The "Presépio", which has been housed at the premises of the Museum of Natural History and Botanic Garden of UFMG since 1976 will remain there, while the documentation will be housed at the "Palacinho" - a construction dated from the beginning of this century, located in the area of the woods.²¹⁸ One may question whether this place offers the adequate conditions required for the preservation of the documentation. One should also note that although housed in the same institution, the object and its respective documentation will be in separate sites.

An aspect to be underlined at this point is that the term clearly adopted in the literature to designate activities concerned with the preservation of permanent records is "archives". The option chosen in this case - the term "Memory" combined with "Documentary" (referring to the documentation) and "Mechanical" (referring to the Presépio itself) seems a local variation, perhaps a characteristic of countries which do not have an archival tradition. As underlined by Maher, when concepts and archival principles are ignored, archival related activities "will risk becoming less a program and more an institutional oddity."²¹⁹

Still focusing on table 6.14 one may see that all the programmes described are related to the administration of non-institutional archives. Some of them also include the administration of local collections and, in a smaller scale, objects related to the documentation collected.

²¹⁶ A. N. Araujo. "Escola de Belas Artes Resgata Pioneiros do Cinema Mineiro." *UFMG-Informativo da Universidade*. 22:1065, jun. 1995, p. 5.

²¹⁷ The meaning of presépio, in English, is the Nativity.

²¹⁸ "PIPIRIPAU foi comprado para ser preservado aqui em Minas." *UFMG - Informativo da Universidade* (957):5, mar. 1993.

²¹⁹ W. J. Maher. op.cit., p. 14.

It is interesting to note that most of these programmes are connected to the field of Humanities, the same area which had the strongest emphasis on the system of education implemented by the jesuits. One may argue that, at least to some extension, many archival programmes of present days may be still reflecting the influence of the old colonial system of education - the curriculum focus on Humanities.

TABLE 6.14
OTHER BODIES CARRYING OUT ARCHIVAL ACTIVITIES AT BRAZILIAN UNIVERSITIES

UNIVERSITY	NAME OF THE UNIT	CREATION DATE	REPORTING LINE	SUBJECT x LOCAL ROLE	Collection policies
UFSCAR	<u>Arquivo de História Contemporânea</u> (Archives of Contemporary History)	1979	Centre of Education and Human Sciences	Local	<ul style="list-style-type: none"> private/public archives, and local history collections related to the district of São Carlos (where the University is located).
UFJF	<u>Arquivo Histórico</u> (Historic Archives)	1985	Institute of Human Sciences and Letters	Local/ Subject	<ul style="list-style-type: none"> archives and other collections concerning the History of Brazil and more specifically, the local and regional history.
UFU*	<u>Centro de Documentação e Pesquisa em História</u> (Centre of Documentation and Research in History)	1985	Centre of Human Sciences and Arts	Local	<ul style="list-style-type: none"> archives and local history collections related to the district of Uberlândia (where the University is located).
UNICAMP*	<u>Centro de Memória da UNICAMP</u> (Memory Centre of UNICAMP)	1985	Institute of Philosophy and Human Sciences	Local	<ul style="list-style-type: none"> archives and local history collections related to the region historically known as <u>Oeste Paulista</u> (West of São Paulo State) archives and other collections in the fields of History and Labour Sociology, of Social Moviments, and Political Trends. archives and other collections of literary, cultural, and linguistic interest
	<u>Arquivo Edgard Leuenroth</u> (Edgard Leuenroth Archives)	1986	Institute of Philosophy and Human Sciences	Subject	
	<u>Centro de Documentação Cultural Alexandre Eulálio</u> (Centre of Cultural Documentation Alexandre Eulálio)	1992	Institute of Language Studies	Subject	
UFOP	<u>Centro de Estudos do Século XVIII</u> (Study Centre of 18 th Century)	1993	(to be defined)	Subject	<ul style="list-style-type: none"> Archives, rare books and instruments concerning th 18th Century
UCP	<u>Centro de Estudos Linguísticos Prof. Matoso Câmara</u> (Centre os Linguistic Studies Matoso Câmara)	1993	(to be defined)	Subject	<ul style="list-style-type: none"> Personal papers and library of Prof. Matoso Câmara
UFMG	(Individual projects)	1970 onwards	Individual Departments	-----	<ul style="list-style-type: none"> Movies produced in Minas Gerais <u>Presépio Pipiripau</u> and respective documentation

* Universities which have also implemented archival units charged with the management of institutional records and archives.

6.11 CONCLUSIONS

- Archival units in the universities have centred their activities in the administration of institutional records and archives. At federal institutions, these units have been largely affected by federal archival legislation. The effects of legislation are mainly felt on the definition of the system structure, on concentrating the role of the archives in the administration of institutional records and in their location under the Administrative Pro-Rectorates. They also tend to follow the terminology employed in the legislation for labelling themselves.
- In some universities archival activities have been undertaken by individual academic units. This may indicate that the traditional model for the constitution of Brazilian universities (the reunion of existing isolated schools) may be favouring the creation of separate programmes.
- Materials collected by archival units relate mostly to bureaucratic activities. Other critical activities such as those identified by Samuels as "convey knowledge", "foster socialization", "conduct research", "provide public service" and "promote culture" have been poorly documented. It seems clear that archives of science and technology have not been preserved at Brazilian universities, with the exception of final publications series (scientific reports, theses, dissertations, papers presented in conferences, between others). As mentioned in the previous chapters, these materials have been collected by libraries.
- Activities concerning the administration of non-institutional archives have been mostly undertaken by other bodies in the university structure. These bodies fall mainly under four categories: "documentation centres", "study centres", "memory centres" and "historical archives". This is the typical situation at federal universities.
- At private and state institutions the administration of institutional records and archives and non-institutional archives is more likely to be combined under the responsibility of the same body. Only in few cases, the responsibilities of administering institutional and non-institutional archives have been split up among different bodies.
- The effects of legislation on private and state archival institutions are more apparent with respect to the assimilation of the system structure. These institutions seem less affected by legislation either concerning their location in the university structure and in adopting different names to label themselves.
- Archivists did not respond significantly to the question related to the role archives should fulfil in the university setting, which might demonstrate that this matter is not clear to them. For some archivists, however, the central role of the archives is the administration of institutional records and archives.

- Archivists agree that universities have a broad role to play in the administration of archives for a main reason: to provide research opportunities. To achieve this objective, they suggest that libraries and archives should work in partnership.
- When commenting on the reporting line of the archives, some archivists suggested that libraries, archives, museums and computer services should be integrated under a single coordinating body.

The survey undertaken in the archival units reveals three models of archival programmes at Brazilian universities:

- a) Archival programmes which are centred in the institutional records and/or archives.
- b) Archival programmes which include the collection of either institutional records and archives and non-institutional archives under the responsibility of a single body and
- c) Archival programmes with the same approach of b, but under the responsibility of different bodies.

CHAPTER 7

**IN SEARCH OF A CONCLUSION:
RETHINKING THE ROLE OF
BRAZILIAN UNIVERSITIES IN THE
MANAGEMENT OF
ARCHIVES**

7.1 INTRODUCTION

After considering the essential characteristics of existing university archival programmes in Brazil, an effort will be made in this chapter to discuss the implications of the archival legislation currently in force in the country regarding the management of university's records and archives.

In addition, in the light of the literature reviewed, and taking into account the characteristics of Brazilian institutions of higher education, the aim of this chapter is to provide a contribution to a more effective participation of Brazilian universities in the management of records and archives.

7.2 INITIAL CONSIDERATIONS

The field research clearly demonstrated the participation of Brazilian universities in the management of records and archives. It also demonstrated that the archival responsibilities have been undertaken by various bodies in the university structure.

Traditionally, the university library has been responsible for some institutional archives (theses/dissertations and the university's publications). They have also been involved with the collection and management of private archives and some archival related materials, such as rare books and regional collections.

Archival units have concentrated their activities in the management of institutional records and archives, most often from the central administration. By the end of the 80's, following the orientation of the first version of the National Archival System (SINAR), universities begun to set up archival systems with the aim of covering the management of records and archives of all administrative and academic units.

Besides archival units, other bodies in the university structure, like documentation centres, memory centres, study centres and historical archives have also undertaken archival activities. Their central concern has been with the management of non-institutional archives.

The obvious consequence of the proliferation of archival or archival related units in the university setting is the duplication of resources. If we include the library, we may find that in some universities, the total number of bodies involved solely or partially with the management of records and/or archives may reach four or five.

The National Law of Archives issued in 1991 set out precepts with direct implications on the management of university's records and archives. This Law

determines the public character of records and archives belonging to public and semi-public institutions. It also determines that the management of these records and archives falls under the jurisdiction of public archival institutions. These principles directly affect the management of university's records and archives, bearing in mind the public character of these institutions.

This being so, the principles of the National Law of Archives call for a new approach on the matter of university records and archives management. A new approach, indeed, considering that most archival programmes carried out at universities have been implemented **before** the issuing of this Law. Therefore, they have evolved dissociated from public archival institutions.

I would like to introduce a crucial question at this point of this discussion.

Are Brazilian archival institutions in a position of undertaking the responsibility of managing the documentation of public and public character institutions, as prescribed by the Law?

Considering the situation of these institutions, this principle of the Law seems totally unrealistic. Due to the lack of resources, Brazilian archival institutions have not been able to fulfil their duties even regarding the bodies linked to the direct administration of the governments they serve. Recent studies have demonstrated this situation at municipal²²⁰ and state levels²²¹. In the federal sphere, the problems had been pointed out much earlier.²²² Therefore, it seems unlikely, if not impossible, that existing structures might be able to manage the records and archives of other public character institutions, like universities.

Some aspects of the review of the literature (chapter 4) and the field research (chapters 5 and 6) also reflect the idea that archival institutions are not prepared to follow this determination of the Brazilian Law of Archives. Librarians and archivists stated clearly that universities should provide assistance to the public sector in the management of their records and archives, or that they should assume the duty of collecting archives and regional collections.²²³ Bellotto, an eminent Brazilian author, also thinks along these lines. When speaking at the I National Seminar on University Archives held at the University of Campinas (São Paulo) in 1991, she envisaged as one of the roles to be fulfilled by university archives:

²²⁰ M. O. K. Fonseca. "O Direito à Informação: o Acesso aos Arquivos Públicos Municipais." Rio de Janeiro: Universidade Federal do Rio de Janeiro, 1996. (MA Dissertation)

²²¹ M. R. P. A. CORTES. "Arquivo Público e Informação: Condições de Acesso à Informação nos Arquivos Públicos Estaduais do Brasil." Belo Horizonte: Escola de Biblioteconomia da UFMG, 1996. (MA Dissertation)

²²² Comissão Especial de Preservação do Acervo Documental. "A Importância da Informação e do Documento na Administração Pública Brasileira." Brasília: FUCEP, 1987.

²²³ For these statements, refer to chapters 6 and 7.

[...] *“Provide assistance to public archival institutions, especially municipal ones, which suffer from lack of resources and appropriate archival methodologies.”*²²⁴

Thus, if Brazilian librarians, archivists and authors advocate such responsibilities for universities, it seems obvious that archival institutions are not in fact prepared to fulfil the duties prescribed in the legislation.

Now, I would like to make some considerations concerning the specific principle of the National Law of Archives in assigning public documentation - universities, in this case - to archival institutions. This principle is stated in article 17 of chapter IV:

“The administration of public or public character documentation is the responsibility of federal, state, Federal District and municipal archival institutions.”

The Law assigns to each level of the federate system (federal, state, Federal District, municipal and the territories) the responsibility for administering their own records and archives. This means that documentation of municipal universities fall under the jurisdiction of municipal archives, documentation of state universities fall under the jurisdiction of state archives, etc.

It is well known that universities maintain strong connections with local communities. These connections are reflected, in many ways, in the development of curriculum, courses offered, the research process and in services provided to the public. Therefore, I believe that the principle of assigning the administration of an university's documentation to the corresponding archival institution (federal, Federal District, state and municipal) may be artificial in many cases, especially in a country of contrasts and of continental dimensions like Brazil.

Let us consider a case of a rural federal university. This case may illustrate the artificiality of this principle of the Law. It seems obvious that the documentation of this institution may be more effectively managed in collaboration with the municipality, rather than attaching it to the federal government, i.e. to the National Archives. The preservation of this documentation in the community where it was created, and therefore, where it has significance, obviously constitutes the most adequate solution. Cases like this are more frequent than one could expect. The same logic may be applied to a state university, located in the countryside, often many times miles away from the State Archive. Apart from this, both the university and the local government may benefit from the possibilities of sharing financial and human resources.

²²⁴ H.L. Bellotto, "Uma politica de arquivos para a universidade brasileira ...", p. 20-21.

This principle of the Law also ignores the reality of those regions of the country, where the university has taken a lead in the management of archives and special collections, as mentioned above.

I would like to introduce another important question here: **would it be wise to ignore these regional realities just to meet a mandate of the Brazilian Law of Archives?** I strongly believe that the right answer here is negative. And, therefore, I would go on to ask: **why not simply promote university leadership of archival programmes in those regions making use of special arrangements with local governments?**

With these questions, I have tried to highlight that, in essential aspects, the National Law of Archives has been too rigid and also unrealistic. As demonstrated above, it has been too rigid by attaching the administration of public records and archives to archival institutions, as it ignores the diversity of conditions throughout the country. Also, the structure proposed seems unrealistic, as archival institutions have not been able to accomplish the role attributed to them, due to the lack of resources.

I believe that these considerations must be taken into account by the National Council of Archives - CONARQ in a future revision of the Law. An alternative however must be found for the development of university archival programmes which takes into consideration regional diversity. In the next sections, recommendations are advanced.

7.3 BASIC IDEAS FOR THE IMPLEMENTATION OF UNIVERSITY ARCHIVAL PROGRAMMES

The field research showed that Brazilian archival programmes are in different stages of development, considering conceptual, administrative and resource aspects. The fact the many universities did not respond to the questionnaire may indicate that they have not done so because they have nothing to say on the matter, as inferred in section 1.3 (Methodology). Therefore, there is much to gain from ongoing practices and much to achieve in the less developed regions of the country.

The most fundamental issue of the matter is conceptual. In fact, what has been the role of university archives in Brazil? It was demonstrated through the field research that Brazilian university archives have fulfilled both roles of managing institutional records and archives and non-institutional archives. This is not actually a surprise for most Brazilian archivists. A significant aspect which emerged from the field research may not have been given the significance it deserves. I refer here to the importance of university leadership in the collection of archives and regional collections. Where universities have

spontaneously led archival programmes, it appears to me that such activities should be encouraged. Whether in order to take advantage of well trained human resources or because existing public archival services are not available or deficient, I believe that university leadership is fundamental for the development of archival programmes.

Bearing in mind the above considerations, I feel that the essential aspect of Brazilian university archival programmes, should be **to work in partnership with public archival institutions**. Although this idea seems particularly more pertinent to new programmes, it may also apply to ongoing archival programmes which were implemented before the issuing of the National Law of Archives.

In the following sections, I will focus on some recommendations regarding a new approach for university archival programmes in Brazil.

7.4 COMBINING THE PRINCIPLES OF LAW AND REALITY

A common and effective way to start an archival programme in institutions of higher education is through the constitution of a working party, with the aim of discussing the matter in the context of the university. Besides the participation of information professionals - archivists, librarians, museologists and computer specialists - it is recommended that faculty members and administrators should be included. This group would discuss the basic aspects of the programme: its mission, objectives, activities and resources (financial and human). The relations of the programme with library, museum and computing units should be exhaustively discussed. At this stage, a survey should be carried out with the aim of finding out whether any academic or administrative unit has already started archival or archive-related activities. There is always a chance of finding out that some archival activity has been started by staff or faculty members. The final product of the working party would be a pilot project to be discussed by the university community.

Once this pilot project has been agreed on, universities should approach corresponding archival institutions in order to ascertain whether these institutions are able to undertake the duties they have been assigned by the National Law of Archives. When these conditions are fulfilled, the university archival programme may therefore be implemented accordingly.

The appropriate archival institution to approach may not be necessarily the one to which the university should report, i. e. the one at the correspondent level in the federate system, as pointed out at section 7.2. If the federal rural university mentioned in that section perceives that their archives should remain in the locality, an agreement may be set up with the National Archives. The archival principle of delegation may offer here the necessary flexibility to promote this agreement between federal and local archival institutions, be

they municipal, state, or Federal District. Thus, the duties assigned to the National Archives concerning the administration of federal archives may be delegated to the local archives.

In certain circumstances the appropriate archival institution will not be able to fulfil the duties assigned by the Law. In others, the archival institution may not even exist. To illustrate this situation, let us consider a municipality which has created a university but has not implemented an archive service. Let us suppose that this university advances its own records and archival programme which over time is extended to regional collections. Here we have a clear case of university leadership in archival programmes. University and the municipal government may discuss the most effective way to conduct a records and archival programme in partnership. In this discussion, it may be asserted that the leading role of the university will be maintained, which means that the university will administer the local government's records and archives. This means that a repository may be established in the university to house its own archives, and the archives of the local government.

Again, I would insist that the essential aspect of Brazilian university archival programmes should be **to work in partnership with local or regional archival institutions**. This idea differs from what is established in the Law in the sense that the aspect of partnership which is being emphasised here may not necessarily happen between universities and legally designated archival institutions.

The autonomy inherent in the federate system should provide the mechanism for partnership. This autonomy is also clear in the National Law of Archives. Let us recall that chapter 4, art. 21 determines:

"Art. 21. - Legislation issued by states, Federal District and municipalities will define the principles of organization and lines of command for state and municipal archives, as well as of management and access to records, observing the precepts in the Federal Constitution and this Law."

Let us turn now to ongoing programmes, which have been implemented before the issuing of the National Law of Archives.

First of all, universities should approach the correspondent archival institutions to discuss the implications of the National Law of Archives. First it should be decided whether or not archival institutions are able to undertake the duties prescribed in the Law. Subsequent actions may follow the same logic thought for new programmes, as described above. When universities hold non-institutional archives, a decision must be made as to whether or not they will remain the university's responsibility.

Secondly, it seems to me that universities need to apply more rational planning to the structuring of archival units. Universities must be aware that the roles of administering institutional and non-institutional records are not mutually exclusive. Both can be accomplished under the responsibility of a single body. As seen in the review of the literature, this practice has been adopted worldwide. The field research also showed that a few Brazilian universities have also done so. Brazilian archivists and university administrators need to be more aware of this rational option which is still not widely disseminated in the country.

I would recommend that universities reflect upon the convenience of maintaining various bodies involved with the management of records and archives. The possibility of merging some of these bodies must be carefully analyzed. I would also recommend that, before establishing a new collecting policy on a specific subject, universities ascertain whether the subject field has been covered by other repositories at the regional or even national level. Every effort should be made to avoid duplication and conflict with the collecting policies of other institutions. Thus, there is an urgent need to survey institutional collecting policies in order to produce an instrument to support the management of non-institutional archives.²²⁵

It is worth pointing out that ongoing university archival programmes of the most developed regions of the country (South and Southeast) may not be the best answer for the other regions of the country. This is why the work in partnership may be particularly attractive to regions where resource constraints are more accentuated.

These recommendations might not appear attractive to some institutions of higher education for various reasons. However, I strongly believe that the possibilities offered by work in partnership are wholly beneficial in all circumstances. In the end, society as a whole will benefit, since public money will be used more effectively. If universities and the public authorities insist on separate programmes, most probably resources constraints in the country will inhibit, if not prevent the effective development of any project. Another important benefit of working on a partnership basis is the sharing of resources for conservation and restoration projects which require large investments.

²²⁵ A survey currently carried out by the Centro de Estudos Mineiros aimed at gathering basic information regarding all holdings - private and public - throughout the state of Minas Gerais should be invaluable in evaluating the overall situation of archives and collections dating from before 1945. Thus far, some 1,500 holdings have been identified and the final research report, due to be released by mid 1998, will doubtless point to the direction which archival policies must take. (Project: Inventário dos Acervos de Documentos Históricos do Estado de Minas Gerais. Financed by the Fundação de Amparo à Pesquisa do Estado de Minas Gerais. Centro de Estudos Mineiros - Faculty of Philosophy and Human Sciences/UFMG)

7.5. ADMINISTRATIVE ASPECTS

7.5.1 Administrative structure

Without a doubt, the desire of Brazilian librarians and archivists to work in partnership in the university setting was one of the most significant findings of the field research. This is because in partnership work both professionals share a common objective - to provide information to support teaching, research and service to the community. Some respondents emphasised the importance of adding museologists to this partnership.

Because they share a common objective, some librarians and archivists also suggested that, ideally, their activities should be under the coordination of a single body. This aspect should be taken into account when an administrative structure for records and archives services is being decided on.

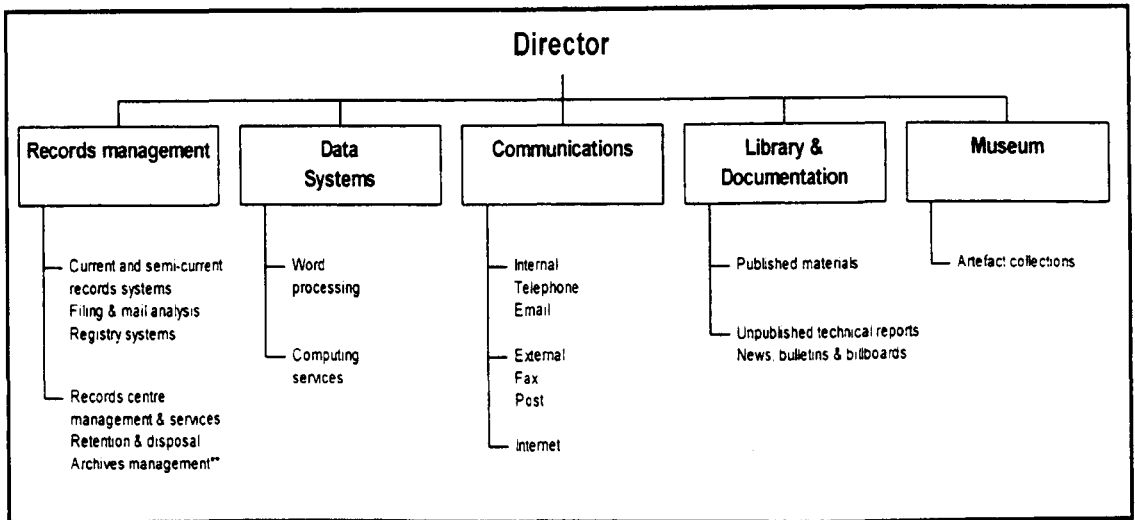
Actually, these ideas reflect the present tendencies in the way information services are structured within an organization. A model proposed recently by Cook²²⁶, analysed at section 4.5.2 was based on the idea that records and archives belong to the general field of information management and he therefore places records and archives activities in the same administrative structure as other information services.

Because it takes into account the special characteristics of records and archives as parts of information management, and also because it promotes and facilitates the relationship between the various information services, I believe that Cook's model is relevant for complex organizations like universities. Therefore, it might be proposed with slight modifications, for Brazilian universities (figure 7.1). Considering the wide range of activities of a university, a fifth component was introduced to the original model - museums.

As can be seen at figure 7.1, I am recommending a liaison of archives management to records management. The main issue considered for this structure is that, when archival institutions are able to accomplish the responsibilities prescribed in the Law, universities will not deal with the management of their records and archives. On the other hand they will always have responsibilities concerning their own records.

²²⁶ M. Cook, *Information Management and Archival Data*, p. 1-23.

FIGURE 7.1
A PROPOSAL FOR INFORMATION STRUCTURES
AT BRAZILIAN UNIVERSITIES*



* M. Cook, Information Management and Archival Data, p. 14.

** May be under the responsibility of an archival institution.

I believe that the structure proposed at figure 7.1 may be adapted to institutions of different characteristics. While it may be fully implemented in a big and long-time established institution, it may be abridged to meet the features of a small and recently created institution in the countryside. It may also fit to one-site or multi-campus universities. In the last case, the adoption of this structure may be of special relevance, as information services and policies will be thought out and structured for the institution as a whole. This issue is crucial for some Brazilian archivists. As pointed out in the field research, they are extremely concerned about the lack of archival policies in the institutions they work.

One could ask at this point which might be the ideal reporting line of this structure. I believe that there is no single answer to this question. Rather, there will certainly be different answers, considering the diversity of Brazilian institutions of higher education. It will be an individual task for each institution to seek its own answer. Therefore, this aspect is not discussed further at present.

After considering the structure of records and archives management within the university, a reference should be made to the structure of the information unit in charge of records and/or archives. As shown in the field research, there is a tendency in the Brazilian university setting towards the implementation of "archival systems".

As described at chapter in section 6.5, an archival system comprises a "central" or "general archives" with supervision and coordinating duties, while operational bodies - sectorial records centres - are created at departmental or faculty levels. Sectorial records centres are charged with the duties of implementing the archival policy dictated by the central body, assisting departments/faculties in the organization of filing systems and are also responsible for the keeping of semi-current records.

It is important to know whether this kind of approach has been effective in the context of Brazilian institutions of higher education. The objective of organizing and controlling the "totality" of records and archives in the university setting may not be easily achieved, as some units (specially academic ones) have an autonomous status for many purposes (e.g. for getting external resources). The field research shows that in some cases, the university community has been reluctant to observe internal regulations concerning the collection of the "university's output" by the library. A key question which must be answered is whether or not the supervising role of the central body has been acknowledged by the academic and/or administrative units under it.

I believe that the internal structure of an archival unit must be designed case by case, according to the characteristics of each institution. While the system structure may be suitable for one given institution, it may be not for another. A multi-campus institution may also have different structures, taking into consideration the characteristics of each site. For example, one given site where the local archival institution is active, may opt for work in partnership and design the structure accordingly.

The findings of the field research, and also the Latin-American literature (especially Brazilian) on university archives, suggest that the system structure has been seen as a "recipe" which may be suitable to any institution of higher education. This seems true not only for Brazil, but also for other countries within Latin America. This idea must be further investigated.

7.5.2 Staffing

The field research revealed serious deficiencies where qualified staff is concerned: while universities which provide archives courses tend to employ several archivists, most institutions have not appointed any qualified staff at all. Due to the lack of qualified staff, Brazilian universities have employed personnel with different backgrounds to fulfil the duties of archivists. In some universities, they receive in-service training before assuming archival responsibilities.

This is surprising, considering that archives courses were implemented in the country in the mid-70s and the profession was regulated at the end of the same decade. Why universities have not been appointing qualified archivists is a question which must be answered. In fact, there seems to be a controversy

over archival training in Brazil, as some authors view as "precipitate" both the implementation of courses at the undergraduate level and still more the subsequent regulation of the profession.

This situation suggests that there is an urgent need for further studies on the training of archivists in Brazil. It seems necessary to evaluate existing courses and, at the same time, to seek reasons why trained archivists are not absorbed into the university setting.

University administrators must be convinced that to be successful an archival programme requires qualified personnel. At least one full-time qualified staff member should be appointed. Para-professional assistants and student help are also useful staff components.

There is no clear indication in the literature on how large the holdings should be before adding other staff members. As a general guideline, Maher²²⁷ suggests that at least three full-time employees (FTE) in addition to one FTE of student help will be needed by the time a repository reaches 566 cubic meters to 1,415 cubic meters of holdings, or current annual additions of 56 cubic meters, or an annual use rate of 1,000 inquiries.

7.5.3 Financial resources

As demonstrated by the field research, financial resources come mainly from the universities general budget. In a few cases, universities have obtained financial help from governmental agencies. Bearing in mind that Brazilian universities have faced serious pressures from financial cuts in recent years, it is imperative that university archival units seek external sources of funding.

We have seen in the literature review that in some countries archivists have been active in looking for financial resources from the private sector. In many cases, they have been successful in their endeavours.

Brazilian archivists should make clear to the private sector the significance of their mission in order to make clear how the sector may participate in the preservation of records and archives. The federal government has specific legislation to promote the participation of the private sector in cultural projects. Therefore, archivists should analyse all the possibilities allowed by legislation.

Archivists may attract earmarked funding from the private sector for a wide range of archival work, such as staffing, supplies and equipment, conservation/restoration, purchasing of holdings, cataloguing, publication, research, microfilming, software and also for improvement of space and users' accommodation.

²²⁷ W. J. Maher, *op.cit.*, p. 30-31.

7.6 FINAL REMARKS

- It is important to remind university archivists that a substantial proportion of a university's documentation has not been collected by anybody. Besides administrative materials, they must also consider the need to document other crucial activities labelled by Samuels as "convey knowledge", "foster socialization", "conduct research", "provide public service" and "promote culture".²²⁸
- The growing use of automation to monitor, analyse, produce and communicate information is a particular concern. According to Samuels, "though solutions to the problems [of capturing and preserving transient records] do not exist, it seems clear that archivists must work with systems designers and administrators as automated systems are set up to ensure that information of long-term value will continue to be available."²²⁹
- Archivists must urgently consider the development of home pages on the Internet with the aim of communicating their holdings worldwide.
- The use of the International Standard Archival Description (ISAD)G²³⁰, adopted by the ICA/Ad Hoc Commission of Descriptive Standards in Stockholm - 1993, must be urgently considered in the Brazilian university setting. I believe that Brazilian archivists will be able to provide relevant contributions to the maintenance and development of this standard.

²²⁸ H. W. Samuels, op.cit., p. 22.

²²⁹ H. W. Samuels, op.cit., p. 29.

²³⁰ International Council on Archives. Ad Hoc Commission on Descriptive Standards. "International Standard for Archival Description." Stockholm, 1993.

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BRAZILIAN LEGISLATION ANALYZED

REGULAMENTO no. 2 de 2 de janeiro de 1838. Dá Instruções Sobre o Archivo Publico Provisoriamente Estabelecido na Secretaria de Estudo dos Negocios do Imperio.

Lei 4,024 de 20 de dezembro de 1961. "Fixa as Diretrizes e Bases da Educação Nacional."

Lei 5,540 de 28 de novembro de 1968. "Fixa Normas de Organização e Funcionamento do Ensino Superior e Sua Articulação com a Escola Média e Dá Outras Providências."

Decreto 75,657 de 24 de abril de 1975. "Dispõe Sobre o Sistema de Serviços Gerais dos Órgãos Civis da Administração Federal Direta e das Autarquias Federais e Dá Outras Providências."

Decreto no. 82,308 de 25 de setembro de 1978. "Institui o Sistema Nacional de Arquivos - SINAR."

Portaria 255 de 20 de dezembro de 1990. "Dispõe Sobre a Organização do Arquivo Escolar."

Lei no. 8,159 de 8 de janeiro de 1991. "Dispõe Sobre a Política Nacional de Arquivos Públicos e Privados e Dá Outras Providências."

Decreto no. 1,048 de 21 de janeiro de 1994. "Dispõe Sobre o Sistema de Administração dos Recursos de Informação e Informática da Administração Pública Federal e Dá Outras Providências."

Decreto no. 1,094 de 23 de março de 1994. "Dispõe Sobre o Sistema de Serviços Gerais-SISG dos Órgãos Civis da Administração Federal Direta, das Autarquias Federais e Fundações Públicas e Dá Outras Providências."

Decreto no. 1,173 de 29 de junho de 1994. "Dispõe Sobre a Competência, Organização e Funcionamento do Conselho Nacional de Arquivos - CONARC e do Sistema Nacional de Arquivos - SINAR e Dá Outras Providências."

Medida Provisória no. 938 de 16 de março de 1995. "Altera Dispositivos da Lei no. 4,024 de 20 de Dezembro de 1961 e da Lei 5,540 de 28 de Novembro de 1968 e Dá Outras Providências."

APPENDIX 1

INSTRUMENTS OF DATA COLLECTION

Liverpool, 26 de abril de 1993.

Senhor(a) Diretor(a),

Como professora da Escola de Biblioteconomia da Universidade Federal de Minas Gerais - UFMG e bolsista da CAPES, estou atualmente realizando o meu programa de doutorado na Universidade de Liverpool.

A minha pesquisa, provisoriamente intitulada '**Arquivos universitários brasileiros: conceitualização, estrutura e organização**' (**Brazilian university archives: guidelines for conceptualization, structuring and organization**) tem como objetivo final o desenvolvimento de uma proposta para a organização dos arquivos universitários brasileiros.

Embora o tema desta pesquisa esteja situado no campo da Arquivologia, a coleta de dados está incluindo um contato com todos os diretores das bibliotecas universitárias das universidades ligadas ao CRUB - Conselho de Reitores das Universidades Brasileiras. Este contato se faz necessário e imprescindível, tendo em vista a notória atuação do bibliotecário brasileiro, notadamente no âmbito universitário, no que diz respeito à coleta, organização e preservação de acervos arquivísticos.

É, pois, dentro desta perspectiva, que estou solicitando a colaboração de V. Sa. no sentido de providenciar o fornecimento das informações solicitadas no primeiro questionário anexo, intitulado '**A administração de arquivos nas bibliotecas universitárias brasileiras: diagnóstico preliminar.**'

Estou remetendo ainda um segundo questionário intitulado '**Arquivos universitários brasileiros: diagnóstico preliminar**', que pretende levantar dados sobre o atual quadro das universidades brasileiras, referente a Arquivo. Solicito de V. Sa. o especial favor de encaminhá-lo ao setor competente, para preenchimento.

Agradecendo antecipadamente a sua valiosa colaboração, informo que os resultados desta pesquisa estarão futuramente disponíveis para aplicação nas universidades brasileiras.

Colocando-me à disposição de V. Sa. para esclarecimentos adicionais que se fizerem necessários,

Subscrevo-me,

Atenciosamente,

QUESTIONNAIRE A

'A ADMINISTRAÇÃO DE ARQUIVOS NAS BIBLIOTECAS UNIVERSITÁRIAS BRASILEIRAS: DIAGNÓSTICO PRELIMINAR'

AO FORNECER AS INFORMAÇÕES, SOLICITO SUA ATENÇÃO PARA OS SEGUINTE PONTOS:

- a) As respostas são aguardadas até o dia **20 de junho** próximo. O envelope de retorno segue anexo.
- b) Se possível, favor anexar o organograma desta Biblioteca, bem como informações publicadas que respondam ou esclareçam as questões abordadas.
- c) Tendo em vista a futura publicação dos resultados desta pesquisa, assinale com a palavra '**CONFIDENCIAL**' as informações consideradas sigilosas.
- d) Se necessário, utilize folhas adicionais para responder as questões.

Meu endereço para contato ou eventuais esclarecimentos é:

Vilma Moreira dos Santos
Archives Unit - University of Liverpool
Liverpool L69 3DA
ENGLAND

ou, opcionalmente, correio eletrônico via
Janet: ARCHIVES@UK.AC.LIVERPOOL

1. NOME DA UNIVERSIDADE:

2. TIPO DE BIBLIOTECA (central, setorial, etc.):

3. ENDEREÇO:

4. NOME(S) E CARGO(S) DA(S) PESSOA(S) QUE FORNECEU(RAM) AS INFORMAÇÕES:

5. Favor informar se esta Biblioteca Universitária participa na coleta e administração de documentos da seguinte natureza:

- publicações desta Universidade;
- teses e/ou dissertações produzidas nesta Universidade;
- arquivos administrativos provenientes da Administração Central, a serem preservados por longos períodos de tempo e/ou permanentemente;
- arquivos administrativos provenientes das diferentes Escolas e/ou Faculdades e/ou Institutos, a serem preservados por longos períodos de tempo e/ou permanentemente;
- arquivos administrativos provenientes de sociedades e/ou organizações estudantis, a serem preservados por longos períodos de tempo e/ou permanentemente;
- arquivos privados de pessoas ligadas a esta Universidade (p. ex. professores, ex-professores, colaboradores);
- outro(s), por favor, especifique:

6. Como ocorre esta participação?

- de uma forma sistematizada, em consonância com uma política de desenvolvimento de coleção;
- informalmente, recebendo a documentação espontaneamente encaminhada pelos diversos departamentos/setores da Universidade;
- Outro(s), especificar:

7. Descreva, sucintamente, como os documentos assinalados em 5 são administrados (setores/departamentos responsáveis, recursos humanos e materiais e respectiva organização). Se possível, por favor, informe a época em que esses documentos começaram a ser coletados.

8. Favor informar se a coleção desta Biblioteca inclui:

- manuscritos
- coleções especiais
- livros raros

Por favor, informe a época em que as coleções acima assinaladas começaram a ser coletadas e descreva sucintamente como elas são administradas (setores e/ou departamentos responsáveis, recursos humanos e materiais e respectiva organização).

9. Esta Biblioteca coleta arquivos externos? (p. ex. arquivos privados de escritores, políticos, cientistas e/ou arquivos de empresas/organizações do setor público ou privado).

sim

não

Caso positivo, por favor, informe quando e por que esses arquivos começaram a ser coletados, se existe uma política que orienta a sua coleta e como eles são administrados (setores/departamentos responsáveis, recursos humanos e materiais e respectiva organização).

10. Descreva, sucintamente, as condições físicas e ambientais dos locais onde se situam os acervos arquivísticos anteriormente descritos, bem como os serviços oferecidos aos usuários.

11. Na sua opinião, a biblioteca universitária tem um papel a desempenhar na coleta e administração de acervos arquivísticos provenientes da Universidade e/ou do ambiente externo? Por favor, justifique a sua resposta. Esta opinião se aplica a esta Biblioteca Universitária?

12. Espaço reservado para comentários e/ou sugestões.

Muito obrigada pela sua colaboração

QUESTIONNAIRE B

'ARQUIVOS UNIVERSITÁRIOS BRASILEIROS: DIAGNÓSTICO PRELIMINAR'

AO FORNECER AS INFORMAÇÕES, SOLICITO SUA ATENÇÃO PARA OS SEGUINTESS PONTOS:

- a) As respostas são aguardadas até o dia **20 de junho** próximo. O envelope de retorno segue anexo.
- b) Quando possível, favor anexar informações publicadas que respondam ou esclareçam as questões abordadas.
- c) Tendo em vista a futura publicação dos resultados desta pesquisa, assinale com a palavra '**CONFIDENCIAL**' as informações consideradas sigilosas.
- d) Se necessário, utilize folhas adicionais para responder as questões.
- e) Meu endereço para contato ou eventuais esclarecimentos é:

Vilma Moreira dos Santos
Archives Unit - University of Liverpool
Liverpool L69 3DA
ENGLAND

ou, opcionalmente, correio eletrônico via
Janet: ARCHIVES@UK.AC.LIVERPOOL

1. **NOME DA UNIVERSIDADE:**

2. **ENDEREÇO:**

3. **NOME(S) E CARGO(S) DA(S) PESSOA(S) QUE FORNECEU(RAM) AS INFORMAÇÕES:**

4. **Esta Universidade dispõe de um setor considerado como arquivo, arquivo central, arquivo geral ou similar?**

- sim
 não

(Se a sua resposta for **negativa**, a sua colaboração encerra-se aqui. Muito obrigada!)

5. **Nome do setor:**

6. **Breve histórico** (época da criação do setor, funções iniciais e principais eventos a serem registrados, se possível, com as datas estimadas):

7. **Localização na estrutura organizacional da Universidade, incluindo cópia do organograma, se possível:**

8. **Funções atuais do setor:**

9. **Descreva sucintamente:**
 - a) **os recursos humanos do setor** (número de funcionários, qualificação, cargos e atribuições)

 - b) **recursos financeiros** (fonte internas e/ou externas e respectivas rubricas)

10. Descreva, sucintamente:

a) a natureza da documentação armazenada e sua organização:

b) os procedimentos que orientam o encaminhamento da documentação ao Arquivo:

c) o local onde está instalado o Arquivo (condições físicas e ambientais, acomodação para os usuários):

d) os materiais e equipamentos utilizados no armazenamento dos documentos e na organização da informação:

e) os serviços oferecidos aos usuários:

11. **Você teria algo a relatar sobre avanços e/ou retrocessos na vida do setor?** (p. ex. principais conquistas, maiores dificuldades enfrentadas, etc., se possível, com as datas estimadas).
12. **Por favor, apresente os seus comentários e sugestões sobre o papel a ser desempenhado pelo Arquivo nesta Universidade.**
(p. ex., modificação e/ou ampliação de suas funções atuais, participação de outros órgãos da Universidade no desempenho dessas funções, vinculação e estrutura administrativas ideais para o desempenho dessas funções, etc.)
13. **Na sua opinião o Arquivo desta Universidade tem um papel a desempenhar na coleta e administração de arquivos provenientes do ambiente externo?** (p. ex. arquivos privados de escritores, políticos, cientistas e/ou arquivos de organizações/empresas do setor público ou privado, entre outros)

14. Espaço reservado para comentários e sugestões.

Muito obrigada pela sua colaboração!

APPENDIX 2

BRAZILIAN LEGISLATION ON RECORDS AND ARCHIVES²³¹

²³¹ Translation made by S. Laird. Editing of M. Cook.

Decree number 75,657, of the 24th of April 1975

Regulates the **System of General Services** of civil bodies of the direct Federal Administration and of Federal Semi-Autonomous Bodies (quangos) and provides for other measures.

THE PRESIDENT OF THE REPUBLIC utilizing the powers conferred upon him by article 81, articles III and V, of the Constitution and bearing in mind the principles of articles 30 and 31 of decree 200, of the 25th of February 1967, in view of the amendment provided by decree 900 of the 29th of September 1969.

DECREED:

Art. 1 - Under the generic title of General Services, and organized as a System, are the administration of public buildings, residential properties, materials, transport and registry, as well as of movement of files, current records and the transmission and reception of messages.

ss 1st.- Aggregated with the SISG are the bodies and units of the direct Federal Administration and semi-autonomous bodies (quangos) specifically charged with activities with which this article is concerned.

ss 2nd.- Excluded from the SISG are the bodies charged with the aforementioned activities in the Military Ministries and the General Staff of the Armed Forces in whose cases will apply, where relevant, the norms pertaining to the System.

Art. 2. The SISG comprises:

I - The central body, responsible for administration, formulation of directives, orientation, coordination, supervision, control and specific inspection of matters relating to the System;

II - Sectorial bodies, comprising the departments, divisions or other units specifically charged with activities of concern to the SISG in the ministries and associated bodies of the Presidency of the Republic; and

III - Sectional bodies, comprising the departments, divisions or other units in charge of specific activities of concern to SISG, in semi-autonomous bodies.

Art. 3. - The SISG's sectorial and sectional bodies will report to the central body for the precise purposes of this decree, without prejudice to their administrative subordination deriving from their position in the structure of a

Ministry , a body integrated with the Presidency of the Republic, or semi-autonomous bodies.

#To the sectorial bodies, in each ministry, will fall the task of the promotion and articulation between the sectional bodies which are associated with it and with the central body.

Art. 4. - The following tasks are assigned to the central body of the SISG, within the provisions of relevant laws and regulations:

I - Relating to public buildings and residential properties:

a) issuing standards to govern the construction, conservation and administration of public buildings and residential properties as well as their respective installations.

b) issuing standards to govern the construction, acquisition, transfer of ownership, letting / leasing, occupation, conservation and maintenance of residential units reserved for public servants; and

c) supervising and coordinating the execution of the aforementioned standards or executing them, where deemed necessary.

II- Relating to material:

a) fixing the standards and specifications of materials for use by the public service; and

b) issuing standards to govern the acquisition, distribution, transfer of ownership, conservation and maintenance of material, both capital and recurrent.

III - Relating to transport::

a) issuing standards to govern the acquisition, transfer of ownership, conservation, protection, maintenance and use of official vehicles;

b) issuing standards governing the letting/leasing of third-party services for transportation of civil servants or materials;

c) issuing standards relating to the limitation and control of fuel and lubricants; and

d) issuing standards governing the acquisition of tickets for transportation of public servants by air, sea or land.

IV - Relating to registry services, movement of files, current records and the transmission and reception of messages.

a) issuing standards governing the registration of records when generated, transmitted or despatched;

b) issuing standards governing the use, protection, conservation, reproduction and incineration of records; and

c) issuing standards governing the transmission and reception of messages.

The control, inspection and the specific orientation of the SISG's activities will be executed by auditing.

Art. 5. - The SISG's sectorial and sectional bodies are responsible for the management and execution of the general services activities in their respective areas, except for cases in which for System's convenience, at the central body's discretion, the execution of those activities should be centralized.

Art. 6. - When the execution of a common task requires the services of other bodies, public or private, the costs will be shared by the bodies collaborating with the System, even if those services are carried out through the central body.

Art.7. - Multiple registration is forbidden in the structuring and functioning of the System.

Art.8. - Resulting from the regulations in this Decree, the organisation and reorganization of SISG's Sectorial and Sectional bodies will be periodically regulated at the initiative of the Central Body.

Art. 9. - DASP will be the central body of SISG, without affecting its activities as a direct advisory body of the President of the Republic, and as the central body of the system for civil servants of the federal administration.

Art. 10. - The Coordination of the Development of Brasilia -CODEBRAS and the Executive Group for the Completion of the Federal Administrative Bodies' Move to Brasilia - EGMOV will provisionally be joined with DASP's structure. This will not affect their activities.

Art. 11. - Within the space of 30 (thirty) days, DASP will propose acts to adapt its objectives and structure, in order to address the principles of this article and other legal provisions and regulations necessary for SISG's functioning.

Art. 12. - This decree will enter into effect upon the date of its publication, annulling [previous] discrepant arrangements.

Brasilia, 24th of April 1975, 154th year of Independence and the 87th year of the Republic.

Ernesto Geisel (President of the Republic)

Law number 8,159, 8th of January 1991

THE PRESIDENT OF THE REPUBLIC

Make it known that the National Congress decrees and sanctions the following Law:

Chapter I General Provisions

Art. 1. - The management of records and the particular protection of records and archives, as instruments of support to the administration, culture, scientific development and as elements of evidence and information, is the duty of the Public Authority.

Art. 2. - For the purpose of this Law records are defined as recorded information produced and received by public bodies, institutions of public character and private entities, in the course of their specific duties, and by individuals, regardless of the medium or the physical character.²³²

Art. 3. - Records management is defined as covering the procedures and technical operations relating to the production, movement, use, appraisal and filing of records in their current and intermediate phases, with the aim of either their destruction or transfer for permanent storage.

Art. 4. - Every person has the right to receive from public bodies information which is of specific interest to them or to the general public, which may be contained in records and archives. This will be supplied within a legally defined time. If this information is not given, the responsibility will fall to the public body. Exception is made for those records whose secrecy is indispensable to society and to the security of the State, or which affect the inviolability of people's private lives, honour and reputation.

Art. 5. - The public administration will make provision for the consultation of public records, according to the Law.

Art. 6. - The right to monetary compensation is guaranteed in the case of physical or moral damage resulting from the violation of secrecy, without prejudice to the right to criminal, civil or administrative action.

²³² The correspondent term to "archives" in Portuguese is "permanent records" which will be defined at article 8, paragraph 3 of this Law.

Chapter II Relating to Public Archives

Art. 7. - Public archives are those which are produced and received, in the exercise of their duties, by public bodies (federal, state, municipal and the Federal District), in the course of their administrative, legislative or judicial activities.

ss 1. - Also considered as public are those records produced and received by institutions of public character and private entities charged in their mandates with the management of public services.

ss 2. - When public institutions and institutions of public character are dissolved, their records and archives must be transferred to a public archival institution or to their successor institution.

Art. 8. - Public records are identified as current, intermediary and permanent.

ss 1. - Current records are those still in use and those which, although administratively inactive, are subject of frequent consultation.

ss 2. Intermediate records are those no longer pertinent to administrative activities and which will, according to proper records management procedures, either be disposed or transferred to an archives.

ss 3. Permanent records are those which must be indefinitely preserved due to their historical, evidential and cultural value.

Art. 9. - Destruction of records produced by public institutions and bodies of public character will be carried out under the authority of the relevant public archival institution.

Art. 10. - Records of permanent value are inalienable and imprescriptible.

Chapter III Relating to Private records and archives

Art. 11. - Private records are defined as those produced or received by individuals or legal entities in the course of their activities.

Art. 12. - Private archives can be identified by the Public Authority as of public and social interest, provided they are considered as sources of information relevant to national history or scientific development.

Art. 13. - Private archives designated as being of public and social interest may not be dispersed or transferred in such a way as to lose their integrity, nor can they be taken abroad.

When the ownership of private archives is transferred, the Public Authority will have the first option in acquiring them.

Art. 14. - Access to private archives classified as being of public and social interest can be granted by authorization of the proprietor or owner.

Art. 15. - Private archives defined as being of public and social interest can be deposited under a revocable agreement, or donated to public archival institutions.

Art. 16. - Civil registers held in the archives of religious bodies, created before the Civil Code was in force, are hereby identified as being of public and social interest.

Chapter IV Relating to the Organisation and Administration of Public Archives Institutions

Art. 17. - The administration of public or public character documentation is the responsibility of the federal, state, Federal District and municipal archival institutions.

ss.1 - Federal archives are: the National Archives of the Executive, the archives of the Legislature, and of the Judicature. The archives of the Foreign Affairs, Navy, Army and Air Force Ministries are also defined as archives of the Executive.

ss 2. - State archives are: the archives of the Executive, the archives of the Legislature and the archives of the Judicature.

ss 3. - Archives of the Federal District are: the archives of the Executive, the archives of the Legislature and the archives of the Judicature.

ss 4. - Municipal archives are: the archives of the Executive and the archives of the Judicature.

ss5. - Public archives of the Territories are organised in accordance with their politico-judicial structure.

Art. 18. - The National Archives are responsible for the management of records and archives of the Federal Executive, as well as preserving and facilitating

access to records in its keeping, and complying with and implementing the national archival policy.

For the full exercise of its responsibilities, the National Archives may set up regional units.

Art. 19. - The archives of the Federal Legislature are responsible for the management of records and archives of the Federal Legislature, as well as preserving and facilitating access to the records they keep.

Art. 20. - The archives of the Federal Judicature are responsible for the management of records and archives of the Federal Judicature, as well as preserving and facilitating access to the records they keep.

Art. 21. - Legislation issued by states, Federal District and municipalities will define the criteria for the organisation and lines of command for state and municipal archives, as well as for the management of and access to records and archives, whilst observing the precepts of the Federal Constitution and this Law.

Chapter V Relating to access to and secrecy of public records.

Art. 22. - The right of full access to public records is assured.

Art. 23 - An specific Decree will establish the categories of secrecy to be followed by public bodies in the classification of records they produce.

ss 1. - Records whose disclosure puts at risk the security of society or the State, as well as those deemed necessary for the protection of an individual's inviolable right to privacy, honour, and reputation among people, are secret by their nature.

ss 2. - Access to secret records bearing on the security of society or the State will be restricted for a maximum term of 30 (thirty) years from the date of their completion. That term may be extended, once, by a term of equal length.

ss 3. - Access to secret records bearing on the honour and reputation of persons will be restricted for a maximum term of 100 (one hundred) years, from the date of their completion.

Art. 24. The Judicature may, in any case, determine the restricted access to secret records, whenever this may be essential to the defence of the rights of individuals, or concerns information on the personal situation of parties to litigation.

No administrative regulation may be interpreted in a way that infringes in any way the principles of this article.

Final Provisions

Art 25. - Whosoever disfigures or destroys records of permanent value or those considered to be of public and social interest will face penal, civil and administrative sanctions in a form to be determined by the governing laws.

Art, 26. - National Council of Archives (CONARQ) is established as a body linked to the National Archives, and will define national archival policies, and act as the central body of a National System of Archives (SINAR).

ss 1. - The National Council of Archives will be presided over by the Director-General of the National Archives and will be joined by representatives of archival, academic, public and private institutions.

ss 2. - The structure and functioning of the Council created by this article will be determined by regulation.

Art, 27. - This law comes in force on the date of its publication.

Art. 28. - All provisions to the contrary are hereby repealed.

Brasilia. 8th of January 1991.

170th year of Independence and the 103rd year of the Republic.

Fernando Collor

Jarbas Passarinho

Decree number 1,173 of the 29th of June 1994

Regulates the competence, organization and functioning of the National Council of Archives (CONARQ) and the National System of Archives (SINAR) and makes other provisions.

The President of the Republic using the powers conferred upon him by article 84, including amendments IV and VI of the Constitution.

Decreed:

Art. 1. - The National Council of Archives (CONARQ), a collective body linked to the National Archives, created by art. 26 of Law number 8159 of the 8th of January 1991, which regulates the national policy on archives, has the objective of defining the national policy on public and private archives, as well as exercising normative orientation on records management and the special protection of records.

Art. 2. - CONARQ's duties.

I - Establishing directives for the functioning of SINAR as regards the management and preservation of, and access to records;

II - Promoting relations between public and private archives with a view to inter-exchange and systematising the integration of archival activities;

III - Proposing to the Ministry of State for Justice the legal provisions necessary for the refinement and implementation of public and private national archival policy;

IV - To monitor the effect of constitutional and legal provisions which orientate the functioning of, and access to, public archives;

V - To stimulate programmes of records management and preservation of public records produced or received during the course of executive, legislative or judicial functions, in federal, state and municipal bodies.

VI - To support the elaboration of national development plans, suggesting aims and priorities for public and private national archive policy;

VII - To stimulate the implementation of archival systems in Executive, Legislative and Judicial Authorities, as well as those at state, Federal District, and municipal levels.

VIII - To stimulate the integration and modernization of public and private archives.

IX - To declare as being of public and social interest those private archives which contain sources of relevance to national history and development, as defined by art. 12 of Law number 8,159 of 1991;

X - To stimulate the training of human resources which develop archival activities in the institutions within SINAR.

XI - To recommend provisions for discovering and remedying any acts harmful to the national policy on public and private archives.

XII - To promote the development of a register of the national public and private archives, as well as conducting archival surveys.

XIII - To maintain relations with other councils and institutions whose objectives are related or complementary to its own, in order to supply or receive information or advice, coordinate efforts and unite actions.

XIV - To interact with other public policy-making bodies in the areas of education, culture, science, technology, information and informatics.

Art. 3. - The CONARQ is presided over by the Director-General of the National Archives and has a membership of fourteen Councillors as follows:

I - Two representatives from the Federal Executive;

II - Two representatives from the Federal Judicature;

III - Two representatives from the Federal Legislature;

IV - One representative from the National Archives;

V - Two representatives from the State archives and from the Federal District Archives;

VI - Two representatives from the Municipal Public Archives.

VII - One representative from the Association of Brazilian Archivists.

VIII - Two representatives from non-governmental institutions in the areas of teaching, research, preservation or access to documentary sources.

ss 1. - Any Councillor may have a substitute to serve in their place.

ss 2. - The Members referred to in paragraphs II and III and their substitutes will be appointed by the President of the Supreme Federal Tribunal and by the Presidents of the Chamber of Deputies and the Senate respectively.

ss 3. - The other Councillors and their substitutes will be appointed by the President of the Republic, and taken from short-lists drawn up by the Minister of State and Justice, with the aid and advice from the directors of the bodies represented.

ss 4. - The Councillors' term of service will be for a period of two years, with the possibility of one renewal.

ss 5. - The President of the Council will be replaced in his absences and periods of unavailability by his legal substitute in the National Archive.

Art. 4. - The exercise of Councillors' activities is, in its nature, relevant and will not attract any remuneration.

Art. 5. - It will be the duty of the National Archives to give technical and administrative support to CONARQ.

Art. 6. - The Plenary Assembly, the superior deliberative body of CONARQ, will assemble, in its ordinary capacity, at least once every four months, and in special circumstances may be summoned by its President or by the formal petition of two thirds of its members.

ss 1. - CANARQ headquarters and meeting place will be at the National Archives.

ss 2. - Meetings of the Council may be convoked in a place other than its headquarters, as long as there is an important reason to explain the adoption of this measure.

Art. 7. - CONARQ will only assemble for deliberation with a minimum quorum of six Councillors.

Art. 8. - CONARQ will create technical working parties and special commissions with the aim of elaborating studies and necessary guidelines for the implementation of public and private national archive policies and SINAR's functioning.

Members of the working parties and special commissions will be appointed by edict of the Council's President, and reported to the Plenary Assembly. The exercise of their duties is considered relevant and will not attract any remuneration.

Art. 9. - The internal rules of CONARQ will be approved by the Plenary Assembly.

Art. 10. - The National System for Archives (SINAR), created by Decree number 82,308 of the 25th of September 1978, and in accordance with article 26 of Law number 8,159 of 1991, will have as its objective the implementation of a public and private national archive policy, and the direction of the management, preservation and access to records and archives.

Art. 11. - The SINAR has CONARQ as its central body.

Art. 12. SINAR is made up of:

I - The National Archives;

II - The archives of the Federal Executive;

III - The archives of the Federal Legislature;

IV - The Federal Judicature archives;

V - The archives of the States (Executive, Legislative and Judicial Authorities);

VI - The archives of the Federal District (Executive, Legislative and Judicial Authorities);

VII - The archives of municipalities (Executive and Legislative Authorities).

ss 1 - The archives referred to in paragraphs II to VII will, when organised according to the system structure, become integrated within SINAR via their central bodies.

ss 2 - The archives of individuals and legal entities with private rights, may be integrated into the System by agreement with the central body.

Art. 13 - The duties of the participants in the System are:

I - Promoting the management and preservation of, and access to, information and records in their own sphere of action, whilst conforming to the directives and guidelines laid down by the central body;

II - Disseminating, in their own areas of action, the directives and guidelines as laid down by the central body, providing the necessary support for their accomplishment;

III - Implementing the rationalisation of archival activities, in such a way as to guarantee the integrity of the documentary cycle;

IV - Guaranteeing the safekeeping of and access to records of permanent value;

V - Presenting suggestions to the central body for the System's refinement;

VI - Supplying information on their activities to the central body;

VII - Offering support to the central body for the elaboration of measures legally necessary for the refinement and implementation of national public and private archival policies;

VIII - Promoting the integration and modernisation of archives in their sphere of action;

IX - Proposing to the central body those private archives which may be considered of public and social interest;

X - Communicating to the central body, with due provision, any acts harmful to the national archival heritage;

XI - Collaborating in the compilation of the register of national public and private archive

