

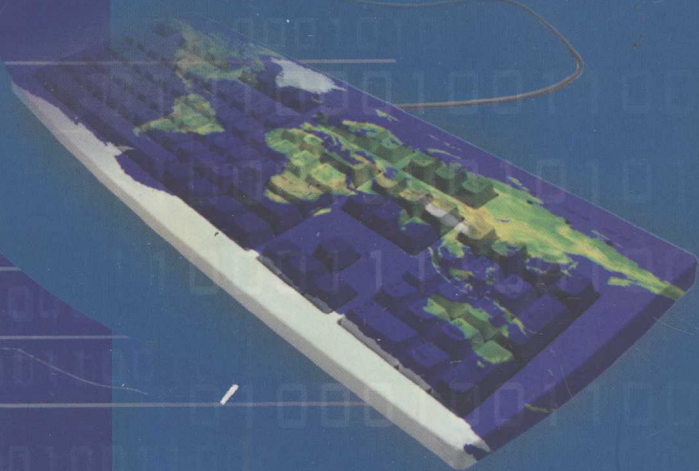
Innovation & Expansion

E-trends in Archives Management

创新与拓展

档案管理  化之路

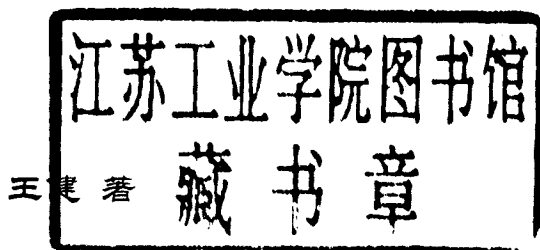
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中国档案出版社

创新与拓展

档案管理 e 化之路



中国档案出版社

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封面设计 / 刘 镐

图书在版编目 (CIP) 数据

创新与拓展: 档案管理 e 化之路 / 王健著. —北京:

中国档案出版社, 2004. 5

ISBN 7-80166-432-9

I. 创… II. 王… III. 文件—档案管理

IV. G271-39

中国版本图书馆 CIP 数据核字 (2004) 第 046412 号

书名 / CHUANGXIN YU TUOZHAN: DANGAN GUANLI e HUA ZHILU

出版 / 中国档案出版社 (北京市西城区丰盛胡同 21 号 100032)

发行 / 中国档案出版社

印刷 / 北京市振兴源印务有限公司

规格 / 850×1168 / 32 印张 / 9.625 字数 / 200 千字

版次 / 2004 年 5 月第 1 版 2004 年 5 月第一次印刷

印数 / 1000 册

定价 / 26.00 元

e 是时代的音符
创新是回荡的旋律
拓展是变幻的舞姿
让我们拉开帷幕



序言 走进 e 时代

这是一个令人目不暇接的时代，“e 化”是我眼中的时代特色，“e 化”包括很多含义。

“e”—— electron，意味着电子化、现代化。电子政务（e-governance）、电子商务（e-business）引领社会步入 e 时代的航道，“e”仿佛是新技术的代名词，以“e”为突出标志的现代计算机技术、网络通讯技术用一张高科技的大网创造了无“网”不胜的神话。在这个特殊的时代，技术因素与非技术因素相比似乎占有绝对优势（起码中国目前的现状如此）。在为高科技的日新月异鼓掌欢呼的同时，管理者不禁为非技术因素的研究遭受的冷遇感到忧虑与不安，正如我的博士生导师冯惠玲教授中所指出的：“人类从蒙昧到文明的过程就是发展科技、张

扬人性和强化管理相互作用的过程,现代社会本身就是技术与非技术因素的有机合成,而现代社会每时每刻的运行都有赖于技术与非技术因素的互依互动。……因此,要把非技术因素放在与技术因素同样重要的地位”。^①档案管理就是整个管理活动中居于特殊地位的一环,又是非技术因素中最易被忽略的元素。除了社会环境之外,e时代的到来也给档案管理自身带来了无数的挑战与机遇,套用中国人民大学纪宝成校长的一句话^②,现在当是思考“档案管理的重要战略机遇期和重要战略机遇期的档案管理”的最佳契机。电子文件(electronic records)的迅速普及和广泛使用犹如功力巨大的加速器,令我们不得不重新思考如何在承接传统管理精华的同时,在网络时代、信息社会的急剧变迁中,生长出创新的管理理念、管理思路与方法手段。

“e”——explore,意味着开发信息、充分利用。江泽民同志曾经指出:材料、能源和信息,是现代社会发展的三大资源。信息技术的迅猛发展,使信息资源的重要性日益突出。随着经济的发展和社会的进步,信息资源的这种重要性将更加突出。资源短缺是全球经济发展必须面对的一个重大问题。要保持我国经济持续快速健康发展,必须把开发利用信息资源摆在重要战略位置。作为机构核心信息资源的文件以及由文件转化而成的档案,是机构开展业务活动的信息支持和信息保障,也是整个国家信息资源的最珍贵的重要组成。如何有效开发利用这部分具有独特价值的机构资产,不仅关系到机构自身的长久发展,也关系到档案价值的有效发挥和档案职业的深度拓展。

“e”——expansion,意味着拓展职能、创新发展。这是一个不进则退的时代,在“e化”的进程中依然遵循着“适

^① 见《公共危机启示录——对SARS的多维审视》,中国人民大学出版社,2003

^② 中国人民大学校长纪宝成教授在《发展与繁荣人文社会科学》一书中指出:要认真学习思考“人文社会科学的重要战略机遇期和重要战略机遇期的人文社会科学”,中国人民大学出版社,2004

者生存”的古老法则。对一直处于“被遗忘的角落”的档案部门来说更是面临着严峻的挑战。2001年,中国档案界高层次的“中国首届档案学博士论坛”¹,将“新世纪档案职业的走向”列为会议的主要议题之一,²来自各国的专家学者对此展开了热烈的研讨。各省各地档案部门也纷纷思考对策,力图摆脱“无声无息”、“门可罗雀”、价值得不到充分体现的窘境。可以说学术界的理论探讨与实际部门的实践探索交相辉映是近年来档案领域拓展尝试的显著特征,如何拓展、怎样创新已经并将继续成为近年的研讨重点和热门话题。

围绕“e化”征程中的困惑与艰难,挑战与机遇,笔者将近年针对这些前沿问题的思考文章、科研项目的研究成果、与实践的互动心得等等汇集于本书。重在探讨在剧烈的“双重变迁”(即:社会与机构对核心信息资源的有效管理与利用需求以及文件、档案管理领域自身改革、拓展的强烈“冲动”)中应运而生的新理念与新模式;贯穿全书的主题是:背靠“e化”的社会环境,勇于善于创新拓展。全书试图将倍受理论与实践层面共同关注的三大焦点问题囊括其中:

第一部分 “e化”的起点——档案新概念

这是本专著的逻辑起点。即:全面反思档案学的逻辑起点——档案、档案工作的新定位以及电子时代档案工作者的角色转换和职能拓展;基于电子政务的社会背景及国外电子政务建设可资借鉴的经验,系统梳理电子时代的全新挑战,全面分析电子政务的记忆黑洞及其文件、档案管理风险,发现电子时代的新问题、新视点,探讨推动理论变迁、实践发展的动因与源头,寻找档案界切入电子政务建设的“入口”。应该认识到,电子文件带来的是一场全方位的变革,使得档案学研究又面临一个新的逻辑起点。

¹ 中国人民大学档案学院主办,美国电子文件专家戴维·比尔曼先生、加拿大不列颠哥伦比亚大学露西娅娜·杜兰蒂教授、英国利物浦大学迈克尔·库克教授等档案界多位“重量级”知名学者参与。

² 另一议题是“电子文件研究”。

第二部分 “e 化”的航标——档案管理新战略

这是本专著的理论框架。即：着重探讨档案管理的前期工程——文件工作的变迁、发展及对档案工作产生的冲击与影响，以期从源头抓起，真正实现前端控制与全程管理，探讨文件、档案一体化管理战略的实施途径；针对文件工作与档案工作的结合部——立卷归档及其一系列改革举措，结合国内外理论与实践的发展，总结出一系列可资借鉴的立卷改革优化模式、电子文件与纸质文件“双套制”保管模式，探讨如何在“扬弃”中做好电子文件的归档工作；同时，对在公务活动中越来越广泛使用的电子邮件公文的管理与归档进行了探讨。

第三部分 “e 化”的视窗——档案利用工作新模式

这是本专著的实践基点。档案利用工作是档案工作价值展现的核心环节、也是实施管理战略的根本目的和评价实施成果的重要指标。第三部分首先围绕档案数字化的热门话题，针对起步阶段盲目实施数字化的现象，呼吁重视数字化过程中的甄选工作，以利用需求为导向，以注重成本效益、分层优选为前提，以共享为基点，以便于检索和在线利用为发展方向，建立档案数字化的优化模式。此外，归纳提炼出国外档案利用工作的“P+P 模式”，从两条主线（服务至上——打开档案馆的大门，信息公开——抓住档案部门的机遇）予以阐释，结合国情探讨我国档案利用工作的创新机制与创新思路。同时特意甄选出创新大赛中的许多充满智慧的创意呈现给读者，希望能够对锐意创新的档案界同行有所启示，并激发更多的创意。

本书如果说有自身特点的话，大致可以概括为以下两个方面：

一、双重基础、多元展现。

笔者自 1996 年以来，一直关注电子文件、电子政务、档案数字化、信息公开等“圈内外”诸多变化对档案管理的影响与冲击，承担或参与了一系列相关研究项目、从事了大量的实

地调研、数次参加国内外研讨会，早有将自己的想法与思路整合在专著中“一吐为快”、抛砖引玉的想法，已发表相关论文20余篇、项目系列研究报告3篇、译著1部、专著1部（国家社科基金项目成果），理论研究成果和实践调研成果为本书的撰写、出版奠定了双重基础，其中一些观点、成果得到理论界和实际部门的好评。

本书意图囊括笔者多年的研究心得，并以多元化的形式呈现于本书。集合大量实地调研、国内外学术研讨会、业务培训讲座中来自一线的反饋和回应，融入大量一手资料、亲手拍摄的照片，还有为国内外学术研讨会、各种专题讲座制作的部分PPT幻灯片。几乎每次发言、讲座之后，很多朋友都向我索取多媒体幻灯片，但一是因为我的PPT通常“过大”难以传输（含有大量图像文件），二是因为将盘插来插去极易互相传播病毒，所以很难让喜爱我的讲座内容、喜欢我的幻灯片的朋友们如愿以偿。借出此书之机，特意将近年来一些热点讲座的PPT经过整理提炼，^①收入书中，送给每次讲座之后热情回馈我、鼓励我、索取PPT的朋友们。

二、着眼前沿、注重创新。

（一）本书不期图面面俱到，而是撷取笔者最为关注、有感而发，理论界与实际部门或关注较多或争议较多的热点、焦点，如：电子文件、数字化、拓展职能、创新服务等。

本专著系中国档案学丛书——“十五”期间“211工程”档案学系列专著之一，涉及建设项目信息科学技术与信息管理工作重点研究方向“社会信息化环境下档案信息资源管理应用理论研究”中的若干相关项目。比如：

^① 大量照片、图片等由于印刷原因“忍痛割爱”，视频文件、动态效果因“纸质文件”的局限性无法跃然纸上。

本书的前两个部分与下述三个电子文件、电子档案管理研究项目关系密切:

- 社会信息化环境下电子档案管理解决方案研究
- 电子文件管理系统研究
- 网络环境中文件、档案管理流程研究

第三部分触及档案信息资源开发利用和档案数字化研究项目的许多关键问题:

- 档案信息资源开发利用机制研究
- 政务信息公开对中国档案信息资源开发工作的影响
- 档案数字化的基本方式与发展趋向
- 档案数字化的基础建设

(二) 注重符合国际潮流、符合国情的创新。主要创新点:

1. 基于新的社会背景、重新审视档案工作的定位、塑造档案工作者的全新职业形象,提出档案工作者的全新形象塑造与定位“KEPT”(“四合一”复合型人才);

2. 基于电子政务建设的漏洞,指出:缺乏文件信息管理视角的电子政务建设只能是“瘸腿”工程,缺乏档案信息管理功能的电子政务系统只能是“漏斗”系统!

3. 阐述全程管理理念的实施,特别是如何从源头抓起、从文件工作入手、从“结合部”(立卷归档)突破;

4. 介绍国外档案利用工作的“P+P 模式”(Promotion+Publicity)的借鉴与启示;

5. 从系统实施的视角提出我国档案利用工作的创新思路(“一二三四”说)……。

上述观点有些已经得到一些专家学者和大量实际部门一线人员的认可和呼应,有些则是首次呈现于本书之中。如果说大量的调研单位、讲座听众、项目合作伙伴是这些思想火花碰撞、擦放的大熔炉,中国人民大学档案学院(已扩展更名为信息资源管理学院,出于根深蒂固的情结总是习惯使用原来的名字)

营造的科研氛围和组织编写中国档案学丛书提供的契机则是锻造产品的炼钢厂，我还要特别感谢为本书的出版花费了大量心血的中国档案出版社的副总编辑于薇女士和编辑李新宇先生。

虽然这些年干得很苦，但我从很多奋斗不止的前辈和同行身上学习了很多、收获很多，体验到什么是工作的幸福与快乐。我知道本书中涉及诸多档案界（其实不仅仅是档案界）急需解决的问题，虽然一直在努力但总有“心有余而力不足”之感慨与困扰，加上诸事缠身不及细细打磨，错漏谬误难免，敬请大家指教，也期待与各位读者朋友有机会深入探讨（我的email:wj@ruc.edu.cn）。我最大的愿望是回应来自实践的挑战，也试图改变实际部门对高校教师脱离实践、“纸上谈兵”的印象，让理论研究取得应用成果。因为我觉得这是档案学的学科特点，也是我们的学科和学院的发展、拓展之路。

“e”是时代的音符，创新是回荡的旋律，拓展是变幻的舞姿，让我们合着时代的节拍，一起走上“e化”之路！

王 健

2004年3月16日

Preface

Advancing into the E-Age

This is a dazzling era, characterized with E-trends. E-trends contain multiple meanings.

“E” (electron), means modernization based on IT and network. The ship of information society has been piloted into the course of E times by e-governance and e-business. “E” has been regarded as a synonym for new technologies in today’ s world, where the technologies of computer and internet have created a tremendously powerful net. In such a special age, compared to non-technological factors, technological factors seem to occupy absolute predominance, which can be obviously seen from the current situation in China. Thus, managers, when they applause for the great changes brought by high technologies, have reasons to show their upset and worry about the cold shoulder that has been given to the researches on non-technological factors, just as Professor Feng Huiling, my PhD supervisor in Renmin University has pointed out that the development of human beings from the E-Age of barbarism to the E-Age of cultivation is the process when the improvement of technology, emphasis on human nature and enhancement of management interact on each other. Modern society is constituted of both technological and non-technological factors, whose functions

inter-influence all the time. Therefore, non-technological factors should be equally treated as technological factors. Archives management is a special part in the whole management activities and also one part that would be most likely ignored among all the non-technological factors. The coming E-Age has brought numerous opportunities and challenges to archives management. Just as Professor Ji Baocheng, President of Renmin University has stated that: it is the strategic period to think over “the humanities and social science in a strategically crucial period vs. a strategically crucial period for the humanities and social science”. can we “borrow” his words and put it into this way: “today is a strategically crucial period to think over the archives management and archives management in a strategically crucial period”? The popularity of electronic records is like a powerful accelerator promoting us to struggle more to create new concept, way of thinking and methods of management when inheriting traditional management essence.

“E” (explore), implicates exploration and utilization of information. Mr. Jiang Zemin pointed out that material, energy and information are the three main types of resource for the development of modern society. Fast growth of information technology has highlighted the position of information, which would become even more important with the development of economy and society.¹ The growth of global economy has to face a serious problem- resource shortage. It is necessary to

put information development and utilization in a strategic place to keep our national economy developing fast in a healthy and substantial way. Records, as the core information resource of organizations, and archives, which are transferred from those current records, are the basis and support of operation of organizations and also the most valuable components of the national information resource. How to effectively explore and utilize records and archives is not only closely related to the long-term development of organizations but also related to the effective realization of archives' value and further expansion of archival enterprise.

“E” (expansion), means innovation and the expansion of functions. In such a challenging era, the old principle of survival of the fittest still works, especially in E-trends. Thus, archival departments, which have been ignored for a long time, are facing even more serious challenges. In 2001, The First PhD Forum on Archives has put “The trend of Archival Profession in the New Century” as a key topic. In the forum, experts and scholars from different countries had heated discussions and archival departments at all levels tried to find some solutions to extricate themselves from plight. There is no doubt that in recent years the theoretical researches and practical exploration in the archival field have enhanced with each other and how to expand and create has become and will remain one of the hottest topics and subjects in

the field of archives management.

Taking all the puzzles and difficulties in the period of E-trends, as well as opportunities and challenges, the author combines all her thinking about those frontier problems, research results and practical experience in this book to probe into the new concept and model generated from the dramatic “dual changes” (they are effective management and demand of core information resources of society and organizations and the great “impulse” of reform and expansion in the field of records and archives management). To encourage innovation and expansion and then get to know how to innovate and expand under the background of E-trends is the theme of the book. In this book, focuses are three problems, which have drawn great attention both from theoretical and practical fields:

Part 1 The Starting Point of E-trends:

New Concepts of Archives

This part is the logical starting point of the book. A thorough review of the starting point of archival studies- the new positioning of archives and archival work and the archivists’ role transfer as well as their expansion of functions is made. New image of archivists is described as “KEPT” (memory Keeper+ information Explorer+ knowledge Provider+ information Technician). Based on experience of establishing e-governance abroad and its social background, new challenges in the E-Age are sorted out systematically.

Memory collapse and documents of e-governance, risk of archives management are analyzed to provide ways to discover new problems and to seek out new perspectives. The motives and sources of theoretical changes and practical development are discussed so as to find the “entrance” for archivists to interfere in the construction of e-governance.

Part 2 The Navigation Mark of E-trends:

New Strategies for Managing Archives

This part is the theoretical framework. In this part, the precontrol of records life cycle- the change, development of records work and its impact on archival work are mainly discussed so as to realize the whole process control of records life cycle from the roots and to find ways to implement the management strategy which integrates records management with archives. Many key problems affecting the quality and efficiency of records and archives management are analyzed in accordance with joint sections of records work and archival work- filing and a series of reform to filing. On the basis of different theories and practical experiences home and abroad, model and way of optimization are summarized and how to file electronic records by means of developing and discarding are proposed.

Part 3 The Revelation of “E-trends” :

A New Model of Archival Access

This part is based on and with more perspective of best practice. Making archives accessible is the core

of displaying the value of archival work, the ultimate goal of management strategy and an essential indicator of management results assessment. Aimed at the problems perplexing archivists (how to quickly capture, access and provide information) and the hot topic of archives digitization, the author tries to probe into a new way of thinking and its corresponding model with its focus on identifying, selecting the right papers among the huge amount of historical archives, cost results and the optimization of storage so as to realize long-term access. Inspired by foreign experience of archival access especially the “P+ P Model” (Promotion +Publicity), the author proposes her new thinking about China’ s archival access and its new mechanism.

The author attempts to make innovation by keeping track with international trend and taking China’ s current situation into account. The innovation of the book can be described as following:

New professional image of archivists has been created and new position of archival work has been examined based on the analysis of new social background;

Based on the analysis of the black hole in the ongoing e-governance construction, it is pointed out that the e-governance construction without record information management can only be called a “cripple” and the e-governance system without the function of archival information management can only be regarded as a funnel system!

The implementation of whole process control has been stated and emphasis has been especially put to roots, records and the joint section;

The “P+P Model” (Promote + Public Model) of archival utilization in foreign countries has been distracted and proposed for the first time; and a new way of thinking for the archival utilization work in China (Four Principles) from the perspective of systematical implementation has been advanced in this book for the first time.

Some of the above ideas have been recognized by some scholars and experts, and some are expressed in this book for the first time. If the research institutes, audience of lectures and project partners could be called a huge furnace of sparkles of thoughts, the scientific research atmosphere of and the opportunity of writing series of treatises under the guidance of the Archives College of Renmin University (now its name has been changed into School of Information Resource Management) were a refinery. Here, special thanks go to Ms. Yu Wei, Deputy Chief Editor of China Archives Press and Mr. Li Xinyu, editor of China Archives Press, who had contributed a lot to this book.

Despite all the hard works and difficulties in these years, the author has learnt much from many senior scholars and colleagues and gained pleasure and happiness from work. A lot of problems existing in the field of archival studies have been involved in this