

国家自然科学基金项目成果

冯惠玲 刘越男 等著

电子文件管理

National Strategy of
Electronic Records Management

国家战略

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前 言

这本书是我和我的团队在电子文件管理研究领域的重要拓展。此前十多年间我们关注的要点在于电子文件管理方法、流程以及原则、理论等，主要面向文件形成机构和档案管理机构，这一次转向了国家层面，研究宏观政策和战略问题。两条视线的清晰和交汇引发了这一拓展。一是向内看，我们发现十多年来，我国有关电子文件管理的舆论、研究、倡导都不可谓少，不可谓不前沿，但是实践推进却一直方向不清、步伐缓慢、成效不佳，这个大大的问号引导我们思考问题的症结。二是向外看，电子文件管理先进国家的协调推进，让我们在对照中发现了超乎微观管理层面的整体思路章法。于是，我们豁然悟出一个道理：面对电子文件管理这一历史性挑战，仅有战术、方法的应对远远不够，还需要有面向全国的宏观思维和战略应对，才能把这项事业有力地推向前进。我们把这个思路称为“电子文件管理国家战略”。

2006年春节前后，我们研究团队反复推敲、验证这个思路是否成立，是否正确？从我个人电脑这一专题的文件夹中可以看出，当时研究团队成员之间的邮件往来十分频繁，每个人都及时把自己的发现和思考转发给大家，以便确认、校正、完善这一认识，甚至在大年初一这一天，我还收到了两封讨论邮件。我们主要通过两条路径来探讨：一方面是对当前我国电子文件管理状况进行“诊断”，我们找到了一些全国性的问题：对电子文件管理的当前作用和历史意义认识不足、管理目标不明确、管理变革不到位不配套、电子文件失真失控现象严重、文件信息孤岛现象明显、低水平重复投入等等。这些问题的根源都不在方法和技术层



面上，而在于国家政策引导、实践推动的力度不够。另一方面是进行国际比较，从大量的资料中我们发现，在世界范围内，电子文件管理的理论研究和实践正在经历一场重大的战略转型，主要表现为从机构层面向国家层面、从分散管理模式向集中管理模式、从环节式分段管理向无缝式流程管理的转变。信息化整体水平比较高的国家，几乎不谋而合地实现了或正在实施这一战略转型或战略发展，其纷纷以战略动议、政策引导、标准规范等形式提出体现国家意志和利益的重大举措，从而进入“以顶层设计带动总体规划，以国家战略带动全面发展”的电子文件管理新阶段。

这一比较给了我们深刻的启示，促使我们进一步形成了共识：中国需要电子文件管理国家战略！即通过制定和实施电子文件管理的全局性法规、政策、发展规划、示范项目等方面的国家级战略安排，来全面推动我国电子文件管理工作。只有这样，才有可能从根本上提高国家对电子文件信息资源的控制力；从根本上解决电子文件的证据价值保障和永久保存等关键性难题；从根本上控制各机构、各地区电子文件管理低水平重复建设，大幅度提高系统研发的效益；从根本上消除电子文件“信息孤岛”现象；从根本上实现我国在电子文件管理领域的与国际同步、与国际接轨和国际影响力的不断提升。

我们把这些认识整理出来，先后向国家档案局和中共中央办公厅提交了“关于全面制定和实施我国电子文件管理国家战略的若干思考”的报告，得到时任中共中央办公厅主任王刚同志的认可和批示。我们申报了国家自然科学基金项目“我国电子文件管理国家战略的基础理论与框架体系研究”，并顺利获得批准。本项目进展过程中，2007年我们又接受中国档案学会委托承担了中国科学技术协会重点课题“我国电子文件管理机制研究”，从多角度分析了我国实行电子文件宏观管理的必要性和基本路径，其研究报告得到温家宝总理的批示。根据这一重要批示，2009年中共中央办公厅、国务院办公厅制发了《电子文件管理暂行办法》，课题组两位成员全程参与了文件的起草工作。随后，2010年我国成立了由九个中央国家机关组成的国家电子文件管理部际联席会议，开始全面规划和推进全国电子文件管理工作，“电子文件管理国家战略”实质性地启动了！

这本书是国家自然科学基金项目的研究成果。全书八章内容形成了一个两层宝塔结构。上层三章是理论分析,处于塔顶的第1章从我国信息化背景下电子文件管理的发展态势和掣肘因素出发,回答了我国为什么要制定和实施电子文件管理国家战略;作为这一论断的支撑,第2章研究并提出了电子文件管理国家战略的理论模型,第3章深入分析了发达国家电子文件管理国家战略的现状与特点,为我国电子文件管理国家战略的整体设计提供了有益的经验借鉴。下层五章是战略设计,这一层顶部的第4章是整体设计,提出了我国电子文件管理国家战略的总体目标和近期目标,阐述了我国电子文件管理国家战略的五大基本特点——统揽全国、融合发展、制度引擎、政策先行、综合治理和七大重点任务。其后第5至8章分别从完善管理体制机制、构建标准体系、健全法规体系、推进示范项目四个方面做了具体设计,探索了我国电子文件管理国家战略的实现路径。上下两层叠加起来,全面、清晰、多角度地表达了我们对于电子文件管理国家战略的理解和设想,向读者呈现了一幅关于如何认识、制定与实施我国电子文件管理国家战略的全景图和路线图。

面向国内实际和国际前沿是本课题研究过程中始终坚持的立足点,也是本书的重要特点。无论是“电子文件管理国家战略”这一概念的提出,还是国家战略整体设计与具体实施方案的制定,都特别注意从国情和实际出发,综合考虑我国当前社会发展需求、文件档案管理体制和电子文件管理现状与水平,文中有不少关于国内电子文件管理情况的梳理和分析都体现了这一点。此外,我们还花费很大精力尽可能广泛、深入地借鉴国际上电子文件宏观管理方面的前沿理论和最佳实践成果,除第3章的系统阐述外,其他各章节中也有不少国际比较分析,其中大量资料是本项目研究中首次获取的,很有参考借鉴价值。在此基础上,我们把实际国情和国际经验进行对照分析,深入探求电子文件管理中国道路的走向和特点,在国家战略理论体系构建、战略实施和措施设计上形成了一套具有创新性和前瞻性的思路 and 方案。课题组在2009年6月举办的电子文件管理国家战略国际学术研讨会上将研究成果的主要观点以问卷方式向国内外专家咨询,得到了来自美国、加拿大、澳大利亚、荷兰以及我国很多专家学者的认可和赞同。



本书内容的编排力求贴近读者，便于阅读。每章篇首设有“本章摘要”，意在方便读者提纲挈领把握内容和选择性地阅读章节；每章提供“英文摘要”以便于国外读者概要了解主要内容。全书提供了 90 处“要点提示”，将散落在各章节的主要观点、重要事实与数据以图文框方式标出，以示醒目；文中插入 52 幅图片、24 张图表也是为了增强内容的表现力和可读性。

作为这个项目的主持人，我衷心感谢课题组全体成员为完成这个在理论上和实践上都具有很强探索性的课题所付出的辛勤努力和表现出的理论勇气、科学精神。参加这个项目的研究人员有赵国俊、安小米、王健、侯卫真、刘越男、钱毅、张宁、徐拥军，以及博士生章燕华、叶晗等。本书内容由冯惠玲、刘越男设计并统稿，各章的执笔人为：第 1 章刘越男，第 2 章刘越男、张宁，第 3 章章燕华，第 4 章冯惠玲、刘越男、张宁，第 5 章刘越男，第 6 章钱毅，第 7 章章燕华，第 8 章钱毅、徐拥军，章燕华校订了全部书稿。我还要特别感谢国家自然科学基金委员会管理学部，对本课题的研究和专题国际学术研讨会给予的支持和资助，感谢中国人民大学出版社的潘宇女士，她连续为我们精心编辑了三本电子文件管理方面的专著，使之成为一个系列。使全体课题组成员倍受鼓舞和动力倍增的是，党和国家如此重视电子文件管理国家战略的制定和实施，推进力度超乎我们的预想，这使我们对我国电子文件管理的未来充满信心。

随着研究的深入和全世界电子文件管理实践的推进，我们越来越认识到实施电子文件管理国家战略的必要性，越来越看清电子文件管理融入信息化和业务管理的发展趋势。电子文件管理国家战略的制定与实施是一个系统、持久、不断深化的进程，作为对这一领域的首次系统探讨，书中的观点设想还需要经受实践的检验、修正与丰富，还有不少没有想到、想透的问题需要继续研究思考。我们热切希望更多的人加入这一探索之旅，共同走出一条构建数字时代社会记忆的中国之路。

冯惠玲

2010 年 11 月 18 日

Preface

This book represents an important breakthrough for me and my team concerning the research of electronic records. During the last decade, focusing on methods, process, principles and theories of electronic records management (ERM), we mainly have done our research in perspectives of records-creators and archives management institutions. While this time we did our research on national level and turned to deal with issues about macro-policies and strategies. It is the fusion of two different yet clear perspectives that attributes to this very breakthrough. One is a domestic perspective. Having conducted all kinds of research, we found out that during the last decade, quite a lot pioneering work concerning electronic records had been done. Public opinions being asked, research being done and advocates being made, yet on the other hand, when it comes to practice, we find ourselves toddling in a slow pace without any specific goal and experiencing little progress. This sharp contrast poses a big question and makes us wonder what the problem behind it is. The other is an external perspective. By comparing ourselves with those countries that take a lead and enjoy coordinating progress in ERM, the whole idea of overall strategy instead of micro-management occurred to us. We then realized that to tackle such a historical challenge like ERM, mere specific methods are far from enough and macro-strategies are needed to promote its sound development vigorously. This very idea is what



we call “National ERM Strategy” .

In 2006, actually around Spring Festival, our team still kept deliberating whether we were right about the whole thing. According to the files on my PC, our team members frequently emailed each other during that time to share our discoveries and thoughts, thus further correcting and perfecting our research. I even got two emails on New Year's Day (of the lunar calendar) . Likewise, our research was still carried out from two perspectives. One is a “diagnosis” of the current situation of ERM in China. Here are some nationwide problems we found out: there exists a lack of awareness of both the transactional and historical significance of ERM; management objective is not clear; management reform is not implemented; electronic records are out of control and the authenticity is compromised; “information isolated island” is serious and too many redundant practice of low quality are carried out. The ultimate cause of these problems doesn't lie in the lack of methods and technologies, but that of national policy guide and practical impetus. The other is a comparison with foreign countries. After referring to a lot of books and materials, we found out that both the theories and practices concerning ERM are experiencing an important strategic transition, specifically speaking, mainly including the transition from organization level to nation level, from decentralized management model to centralized management model and from stage-based segmentation management to seamless process management. Countries which enjoy a relatively high informationization have almost unanimously implemented or are implementing the above mentioned strategic transition (strategic development) . They all introduced big moves which reflect the benefits and will of the state one after another and marched into the brand new stage of “promoting the overall plan by top-level design and fostering the comprehensive development through national strategy in ERM, whether in the form of strategy initiatives, policy guidance or standards.

After the above comparison, we reached the conclusion that National ERM Strategy is desperately needed in China. Comprehensive development of ERM can be achieved by introducing and implementing

national strategies like overall laws, policies, development plans and projects. Only through these measures can we fundamentally improve national control for ERM, solve tough issues like legal evidence status and permanent preservation of electronic records, put the low quality and redundant ERM in various organizations under control and substantially enhance research effectiveness, eliminate “information isolated islands” and finally catch up with foreign countries and enhance our international influence. After sorting out all those ideas, we presented our report *Some Ideas Concerning the Comprehensive Introduction and Implementation of National ERM Strategy* to the State Archives Administration and General Office of CCCPC (Central Committee of the Communist Party of China) and received the recognition and instruction from Mr. Wang Gang, the incumbent director of General Office of CCCPC. Our application of the program “*Research on the National ERM Strategy: Elementary Theories and Framework*” for the National Natural Science Foundation was accepted without any mishap. Entrusted and authorized by Chinese Archives Society, we undertook the project “*Research on the ERM Mechanism*”, which was one of the key projects of China Association of Science and Technology in 2007. In that project, we analyzed both the necessity and basic ways to introduce macro-management of electronic records in China. Our research report even got instructions from Premier Wen Jiabao. Based on the instruction, General Office of CCCPC and General Office of the State Council jointly drafted and issued “*Electronic Records Management Interim Measures*” in 2009 and two of our team members took part throughout the whole process of drafting. Soon after that, National ERM Inter-ministry Joint Conference, which consisted of nine central government agencies, was established and thus began to plan and promote nationwide ERM in a comprehensive manner. The National ERM Strategy was actually and officially launched!

As the fruit for the National Natural Science Foundation funded research, this book consists of eight chapters, which forms a two-storey pagoda. The first three chapters, namely the upper storey, are all theoretical analysis. Chapter one, which is



at the top of the pagoda, begins our discussion with the development trend and constraint factors of ERM against the background of nationwide informationization and answers the question why we need to introduce and implement National ERM Strategy. As the supporting chapter for the whole idea, Chapter two deals with and puts forward the theoretical model of National ERM Strategy. The current development and specific characters of ERM in developed countries are discussed in detail in Chapter three and can serve as a useful example for our own National ERM Strategy overall plan. The rest five chapters, namely the lower storey, are the strategy design. Chapter four, which is at the top of this storey, is the overall design. It illustrates the overall objectives and short-term goal of our National ERM Strategy, including its five characters (nationwide, integration, system-engined, policy in advance and comprehensive) and seven key tasks. Focusing on ERM organizational system and mechanism, standard system, laws and regulations and demonstration projects respectively, Chapter five, six, seven and eight deal with our own specific ways towards National ERM Strategy. Interweaving with each other, the two-storey structure comprehensively and clearly shows our understanding and scenario about National ERM Strategy to the readers from different perspectives. It also serves as a route map on which the readers can have a panoramic view about the whole process of our National ERM Strategy, from introduction, formulation to implementation.

While targeting the latest development in foreign countries, we, on the other hand, keep bearing the specific and practical situation in China in mind. That's also an important character of this book. The specific and practical situation in China is taken into consideration throughout the whole process, no matter it is the introduction of the very idea "National ERM Strategy" or the formulation of both the general design and specific plans. The readers can find a lot of analysis about current situation of ERM in China, including the current social needs, records and archives

management regime and the status quo and development of ERM. Besides, we spare no efforts and painstakingly try to learn from some leading theories and practices in this field as much as possible. Except the systematic introduction in Chapter three, the readers can find quite a lot comparisons between foreign countries and China, among which, lots of information is obtained for the first time, therefore, bear much academic value. Based on this, we also compare our own specific situation with foreign experience to further explore the features and development trend of ERM in China, thus forming a set of creative and forward-looking plans in various areas such as theoretical framework construction, strategy implementation and measure design. We consulted experts both abroad and at home in this field by using questionnaires in the International Conference on National ERM Strategy in June, 2009 and got a lot recognition and acclaim from them, including the United States, Canada, Australia, Holland and of course, China.

We have tried our best to make this book easy to read. The *Abstract* at the very beginning of each chapter can help the readers to grasp the main idea of the whole chapter and do some selective reading. *English Abstract* is provided for the convenience of foreigners. There are ninety *Key Point* in total, which point out all the main ideas, important facts and data scattered among different chapters with the form of frames. Finally, the fifty two pictures and twenty four charts inserted also contribute to the illustration of the whole idea.

As the principle investigator of the research program, I would like to thank all the team members for their hard work on this highly exploratory project, both in theory and practice. I am also deeply impressed by their courage and scientific spirits. The following is the name list of team members: Zhao Guojun, An Xiaomi, Wang Jian, Hou Weizhen, Liu Yuenan, Qian Yi, Zhang Ning, Xu Yongjun, PhD candidate Zhang Yanhua and Ye Han. The whole book is designed and edited by Feng Huiling and Liu Yuenan. The following is the list of people who wrote and was



responsible for each chapter: Chapter one, Liu Yuenan, Chapter two, Liu Yuenan, Zhang Ning, Chapter three, Zhang Yanhua, Chapter four, Feng Huiling, Liu Yuenan, Zhang Ning, Chapter five, Liu Yuenan, Chapter six, Qian Yi, Chapter seven, Zhang Yanhua, Chapter eight, Qian Yi, Xu Yongjun. Zhang Yanhua did all the final revision. I would also like to express my thanks particularly to the Management Department of National Natural Science Foundation Committee for its support and patronage, to Madam Pan Yu with Renmin University of China Press, who painstakingly edited three monographs about ERM for us and made them a set. But what encourages and motivates us most is that the Communist Party of China and the Central Government attach lots of attention to the formulation and implementation of National ERM Strategy, and the whole process develops much faster than expected, we become much more confident and positive about the future of ERM in China.

With the further development of ERM all over the world as well as that of our own research, we become increasingly sure about the urgency of introducing National ERM Strategy. It is also getting more and more clear that ERM must merge with informationization and business. Since this book is the first one to deal with National ERM Strategy and the fact that the introduction and implementation of National ERM Strategy is a systematic, consistent process which needs to be constantly deepened, many ideas in it still need to be tested, revised and enriched in practice and there still exist many other questions waiting for us to explore. We eagerly hope that more people will join us and build Chinese own social memory in this digital era.

Feng Huiling
November 18, 2010

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