



MINISTRY OF SCIENCE AND EDUCATION OF UKRAINE

V. O. Sukhomlynskyi National University of Mykolaiv

Faculty of Pedagogy

Department of History

**Dmytro Nefodov**

**SOURCES ON THE HISTORY OF  
UKRAINE AND ARCHIVAL  
STUDIES**

*Lecture notes*

Миколаїв  
Видавець Румянцева Г. В.  
2023

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Для сучасного стану історичного знання характерний підвищений інтерес до теоретико-методологічних проблем історії, пошук альтернативних концепцій інтерпретації минулого, відмова від заданих ідеологічних схем і одновимірних трактувань. У зв'язку з цими процесами посилюється увага істориків до розробки фундаментальних проблем джерелознавства, архівної справи та методики дослідження історичних джерел, що займають все більш значуще місце в системі історичного знання.

Навчальний посібник є спробою поповнити навчально-методичне забезпечення підготовки майбутніх бакалаврів спеціальності 032 Історія та археологія за освітньо-професійною програмою «Історія та археологія» інформацією про історію та сучасний стан джерелознавства історії України та архівної справи, що, в свою чергу, поглиблює фундаментальну та професійну підготовку здобувачів та значно розширює коло цільової аудиторії.

Для здобувачів історичних спеціальностей закладів вищої освіти, викладачів, науковців. Може бути корисним усім, хто цікавиться історією України.

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## PREFACE

Historians study the past of human society. Everything that is created in the course of human activity, carries information about the diversity of social life and serves as a basis for scientific knowledge is a historical source. The current state of historical knowledge is characterized by an increased interest in theoretical and methodological problems of history, the search for alternative concepts of interpreting the past, and the rejection of predefined ideological schemes and one-dimensional interpretations. In connection with these processes, historians are increasingly paying attention to the development of fundamental problems of source studies, Ukrainian archaeology, and methods of researching historical sources, which are becoming increasingly significant in the system of historical knowledge.

The new strategy highlights the disciplines that contribute to the formation of a specialist capable of producing such an intellectual product as new knowledge at a high level of knowledge of specifics, deep understanding of theory and methodology. This concept includes scientists' and society's understanding of the place of history in the system of sciences, its social role, and influence on other forms of spiritual culture. Equally important is the consideration of issues related to clarifying the essence of the historians' scientific activity, the objective contribution of their works to the formation and development of historical science, methods of scientific communication, the formation of scientific schools and trends, and the techniques and methods of historical research. Nowadays, the problem of the historical professionalism quality is widely discussed. Scientific developments promote an interest not so much in ready-made knowledge as in the ways of obtaining it.

The study of sources on the history of Ukraine occupies a central place in the professional historical training system, as it ensures the formation of basic professional skills in working with various historical sources. This chapter of the textbook is aimed at providing knowledge of the theory and methodology of source

studies, as well as information about the preserved source complexes and methods of working with them.

The availability of source studies training is a prerequisite for historians' professional activity, an indispensable component of which is scientific organization and a high culture of processing, research and use of historical sources. Thus, the main objectives of source studies are to develop, on the basis of theoretical and methodological principles and techniques (historicism, objectivity), a study of the principle of adequacy of sources in relation to historical reality, as well as to develop methods for identifying, selecting and further processing the information contained in them. At the same time, unlike other historical disciplines, source studies develops the most general methods of scientific criticism and methods of researchers' work with the entire mass of historical sources. The development of skills and abilities to research and process historical sources is facilitated by the methodology of source studies – a system of methods, i.e., techniques, means and rules for carrying out the entire range of work related to the search, identification, selection of sources, their comprehensive critical analysis, establishing the reliability and informative value of the source, as well as its subsequent use in order to obtain scientifically verified information about the past of human society in all its manifestations. This discipline is of utmost importance in the process of historians' training, as mastering the methodology of research and processing of historical sources is a core part of historians' professional culture.

Archival studies is a complex scientific discipline that occupies one of the leading places in the professional training of a documentation science student. Studying the general document flow, rules and methods of record keeping, one should be aware of the final stage of a document existence, which is associated with its archiving and archival storage. It is through archives that documents created in the process of documenting and record keeping become part of the society cultural heritage and remain in its information heritage for centuries. Access to retrospective information of archives is an integral part of people's economic and social activities, one of the main aspects of daily work in the information sphere.

In the course of performing their direct duties, documentation science specialists constantly deal with archives and perform numerous operations related to the registration, description, and storage of archival documents.

In archival institutions documentation science specialists can hold various positions including managerial ones. Therefore, studying archival science and mastering the skills and methods of archival affairs is one of the main tasks of a documentation science student.

The study of archival science is a complex process that requires the use of numerous knowledge and special techniques. Textbooks take the lead in this process, as due to the archival science practical orientation they become not only a compendium of knowledge, but also a kind of reference book for practical activities. Unfortunately, in our country there is still a lack of textbooks on this discipline that could be useful for documentation science specialists. This manual should at least partially make up for this lack. It is built on the experience of teaching archival studies to documentation science students and the specifics of the records management approach to this field of knowledge. Considerable attention is also paid to issues not covered in traditional university textbooks on archival studies, in particular, the world history of archival affairs, the formation and structure of modern archival systems, etc. Issues of archival informatization are set forth in a separate chapter. In general, the textbook focuses on the theory of archival studies and general issues of the archival industry.

The content of the manual is fully compliant with the content of the relevant curriculum. At the same time, the author tried to take a creative approach to the presentation of educational material, including the most fundamental points and aspects. The educational material is presented from the standpoint of reasoning and openness of search.

The techniques and methods used in the textbook take into account the diversity and historicity of the relevant civilized way, and make it necessary to combine the national and the civilized, the unique and the universal.

Nevertheless, the texts of the lectures are not overloaded with lengthy definitions, and the material is well thought out and structured around the key issues of archival affairs and sources on the history of Ukraine.

All things considered, the author has written a generally new and original training manual.

The presentation of the material meets the basic requirements of the present, takes into account traditions and reality, reflects the achieved level of science, orientates higher education students to master the best practices, and has a certain practical orientation.

The training manual is a successful attempt to supplement the educational and methodological materials for the training of future bachelors majoring in 032 History and Archaeology under the educational and professional program “History and Archaeology” with information on the complex of all types of sources on the history of Ukraine and the state of archival affairs. Being written in the English language the manual allows to deepen students’ fundamental and professional training and significantly expands the range of the target audience as it can be used in the process of foreign students’ training. The author’s choice of the best options for translating historical terminology and consideration of the peculiarities of rendering non-equivalent units from Ukrainian into English deserves approval. The texts of the lectures are adapted to the students’ basic level of knowledge and are presented consistently, accessibly and competently, which demonstrates the author’s perfect command of the English language and knowledge of theory and practice of translation.



**MINISTRY OF SCIENCE AND EDUCATION OF UKRAINE**  
**V.O. SUKHOMLYNSKYI NATIONAL UNIVERSITY OF MYKOLAIV**

Faculty of Pedagogy  
Department of History



**SYLLABUS**  
**SOURCES ON THE HISTORY OF UKRAINE AND ARCHIVAL**  
**STUDIES**

Field of knowledge 03 Humanities  
Specialty 032 History and archeology  
Educational and professional program “History and Archeology”

2022–2023 academic year

Lecturer: Doctor of Historical Sciences, Associate Professor, Associate Professor of  
the Department of History Nefedov D.V.



Syllabus was approved at the meeting of the Department of History

Minutes № 1 of «29» August 2022

Head of the Department  (Ryzheva N.O.)

«29» August 2022

## **Abstract**

The academic program of the compulsory course “Sources on the history of Ukraine and archival studies” is compiled in accordance with the educational and professional program of bachelors’ training in specialty 032 History and archeology under the educational and professional program “History and Archeology”.

The subject of the academic course is the trends and regularities of the formation and development of source studies of the history of Ukraine and archival studies, scientific principles of working with documents and materials, their appraisal, classification, selection for storage, processing technology and organization of use.

The course has the following interdisciplinary connections: History of Ukraine (medieval), History of Ukraine (early 18th - 1918), Modern History of Ukraine, special historical disciplines.

The course task is the formation of future specialists’ knowledge and skills regarding a holistic professional understanding of processes and phenomena, regularities and features of source studies of the history of Ukraine and archival studies, the current state and prospects for their further development.

***Keywords:*** archive, archival system, source, history, primary source

## 1. Course Description

### Intramural form of study

Names of descriptors	Field of knowledge, educational degree	Characteristics of the course
		<i>intramural form of study</i>
Scope – 5 credits	Field of knowledge 03 Humanities	Elective
Individual scientific research task – multimedia presentation on the chosen topic	Specialty: 032 History and Archeology	<b>Semester</b>
Total number of hours – 150	Educational and professional program: History and Archeology	5 <sup>th</sup>
		<b>Lectures</b>
Weekly hours for intramural form of study: 10 classroom activities – 4 students' independent work – 6	Degree: Master	30 hours
		<b>Practical classes, seminars</b>
		40 hours
		<b>Independent work</b>
<a href="http://moodle.mdu.edu.ua/course/view.php?id=4941">http://moodle.mdu.edu.ua/course/view.php?id=4941</a>		80 hours
		<b>Final assessment:</b> examination

The language of teaching – Ukrainian

**Note:** The ratio of the number of hours of classroom activities to independent and individual work is the following: for intramural form of study – 70 hours – classroom activities, 80 hours – independent work (28,9% / 71,1%).

## 2. Course goal, objectives and student learning outcomes

**The goal of the course is** to develop students' knowledge and skills for a holistic professional understanding of processes and phenomena, patterns and features of source studies of Ukrainian history and archival studies, the current state and prospects for their further development.

**Objectives of the course are** to help students master knowledge about the historical development, current state and prospects for further development of source studies of the history of Ukraine and archival studies, the system of archival institutions, documentary resources, archival management bodies, and to train specialists for practical work in archives.

**Prerequisites for studying the course are the following:** History of Ukraine (medieval), History of Ukraine (early 18th - 1918), Modern History of Ukraine, special historical disciplines.

**The scope** – 5 credits.

### Student Learning Outcomes

#### Program results of teaching are the following:

**PRS-4.** To know the conceptual and categorical apparatus of historical science, scientific terms used in the professional environment.

**PRS -5.** To be able to work with written, material, ethnographic, oral, archival and other historical sources.

**PRS -9.** To have the skills to organize practical solutions to issues of historical memory and protection of tangible and intangible cultural heritage of Ukraine.

**PRS -12.** To communicate on professional issues with representatives of scientific, public, religious and national-cultural organizations and communities.

**1. 3. According to the requirements of the educational and professional program, the student acquires the following competencies:**

#### I. General competences:

**GC-2.** Ability to preserve and increase moral, cultural, scientific values and achievements of society based on an understanding of the history and patterns of development of the subject area, its place in the general system of knowledge about nature and society and in the development of society, technology and technology, to use various types and forms of physical activity for active recreation and healthy lifestyle.

**GC-4.** Ability to communicate in the national language both orally and in writing.

**GC-6.** Ability to search and analyze information from various sources.

**GC-7.** Ability to identify, pose and solve problems.

**GC-10.** Ability to work in a team.

#### II. Professional competences:

**PC-1.** To be aware of the relationship between facts, events, phenomena and processes in the past and present.

**PC-4.** To be able to use scientific works and information and reference publications (bibliographic directories, guides to archival collections, archival descriptions, etc.), modern information retrieval systems in professional activities.

**PC-5.** To be able to find historical sources necessary for educational and scientific activities (archival and published documents, ethnographic, cartographic materials, museum exhibits, archaeological artifacts, etc.)

**PC-6.** To be able to use relevant methods of processing historical and archaeological sources, including tools of special historical disciplines, as well as modern information technologies for processing historical data.

**PC-7.** To be able to use professional knowledge and professional skills to identify, protect and promote historical and cultural heritage.

**PC-9.** To be able to work with historical texts and documents, comment, annotate them in accordance with certain criteria; present and discuss the results of scientific research.

**PC-10.** To be able to freely use special terminology.

**PC-12.** To be able to select and accept artifacts and documents for preservation in accordance with the standards, organize archaeological activities, work in archives and museums, state scientific and research institutions in accordance with the accepted rules and regulations.

### **3. Course outline**

**Topic 1:** Subject, tasks and structure of source studies of the history of Ukraine

**Topic 2.** The concept of a historical source

**Topic 3.** Classification of historical sources on the history of Ukraine. Methods of working with historical sources

**Topic 4.** Material sources

**Topic 5.** Visual sources

**Topic 6.** Oral and linguistic sources. Written sources

**Topic 7.** Archival studies as a scientific system and an academic discipline. History of archiving.

**Topic 8.** The concept of “archival system”: structure, network and types

**Topic 9:** NAF of Ukraine, its structure and legal basis. Foreign archival Ukrainica

**Topic 10.** Work organization of archives

**Topic 11.** Classification of archival documents. Appraisal and acquisition of funds

**Topic 12:** Accounting and search tools of archives. Ensuring the safety of documents

**Topic 13:** Informatization in archiving

**Topic 14:** Research and methodological work of archival institutions

**Topic 15:** Use of archival documents and archival heuristics

### **4. Course program**

#### **Credit 1. Theoretical and methodological foundations of source studies of the history of Ukraine**

##### **Topic 1: Subject, tasks and structure of source studies of the history of Ukraine**

Definition of the subject of source studies. Source studies as a special branch of scientific historical knowledge, the science of historical sources, the theory and practice of their use in historical research.

Tasks of historical source studies. Theoretical tasks of source studies. Development of a general theory of source studies. Study of theoretical problems of individual components of historical science. Development of principles and methods of scientific research of historical sources and the use of source information. Practical tasks of source studies. Improvement of scientific methodological techniques and means of studying and using historical sources. Analytical and informative study of sources. Providing historical research with reliable sources and factual knowledge. Formation of a set of scientific facts on the basis of sources.

The structure of source studies. Internal structure of source studies as a system of knowledge about historical sources and their scientific use. The logical aspect and its components: the theory of source studies, methodology and methods of source studies, source studies practice. Analytical and informational source studies as a special study of individual sources and their groups. Subject matter and functional structure of source studies.

The relationship of source studies with other branches of knowledge. Special historical disciplines as components of source studies, their classification. A group of special historical disciplines that define certain types of sources and develop methods for their study. Formation of certain stages of work with sources in separate disciplines.

##### **Topic 2. The concept of a historical source**

Scientific classification of sources as a theoretical and methodological procedure and method of mastering source material. Tasks of classification, development of its principles. The concept of a classification feature. Identification of features that characterize typical external or internal features of different sources.

### **Topic 3. Classification of historical sources on the history of Ukraine. Methods of working with historical sources.**

The concept of a classification scheme. Application of various classification schemes in historical research. Conditionality of classification schemes. General and special classification schemes.

Typological classification of historical sources. The use of the feature of the method of coding information to identify the main types of sources. Modern types of sources that carry information with the help of technical means. Generic classification of historical sources. Dividing certain types of sources into genera based on external and internal characteristics. Species classification of historical sources. The concept of a source type. The use of formal and substantive features to distinguish certain types of sources.

Grouping of historical sources by chronological and geographical features, by origin, by the level of preservation, by the method of storage, by uniqueness and mass, by originality, by the method of creation, by paleographic features.

### **Credit 2. The main groups of sources on the history of Ukraine**

#### **Topic 4. Material sources**

General overview of material sources of the history of Ukraine. Numismatic sources. Architectural monuments. Items of armament. Items of clothing.

#### **Topic 5. Visual sources**

A general overview of visual sources of the history of Ukraine. Graphic book images. Portrait images. Genre and historical image sources. Film and video documents (audiovisual). Cartographic sources. Bonistic sources (pictorial aspect). Folk paintings.

#### **Topic 6. Oral and linguistic sources. Written sources**

General overview of oral sources. Prose oral sources. Poetic oral sources. Oral historical works. General characteristics of linguistic sources. Anthroponymic sources. Toponymic sources. Words of foreign origin. General overview of written sources. Chronicles. Official and administrative documents. Statistical sources. Materials of sociological research. Forensic documents. Documents of public associations and political parties. Periodicals as a historical source. Sources of personal origin. Hagiographic, scientific and fiction literature.

### **Credit 3. Theoretical and methodological foundations of archival studies. Archival system and network of archival institutions**

#### **Topic 7. Archival studies as a scientific system and an academic discipline. History of archiving**

Subject, object and methods of archival studies. Tasks of archival studies as an academic discipline. The main methods used in archival studies. Principles of science, historicism, objectivity and comprehensiveness in archival studies. Relationship of archival studies with other sciences and academic disciplines. Source base and historiography of archival studies.

The origins of archival studies. Archives in the Ancient East. Archives of Mesopotamia. The origin of the foundations of modern archival studies in Ancient Greece. Papyrus archives of the Hellenistic period. Archival studies in ancient Rome. Archival studies in the Middle Ages. Monastic and feudal archives. The origin of royal archives. City and university archives. The emergence of professional archival studies in the 16th-18th centuries. Archival reform of the French Revolution and its historical significance. Formation of archival systems of modern states in the nineteenth century. Genesis of archiving in Ukraine. Archives of the Lithuanian-Polish period. Archives and archiving of Cossack Ukraine. Archival studies in Ukraine in the late eighteenth and nineteenth centuries. Archives in Ukraine during the Soviet times (1920-1990). Archiving development in independent Ukraine.

#### **Topic 8: The concept of “archival system”: structure, network and types**

The concept of “archival system”, its main types. The system of Ukraine’s archival institutions. Leading trends in the process of reforming the archival system of Ukraine in the 90s of the 20th century. The main components of the system of archival institutions. Central state archives. Branch archives and specifics of their activities. Main functions of the central executive

body in the field of archival affairs and records management. Institutions providing scientific and methodological support of archival affairs.

**Topic 9: NAF of Ukraine, its structure and legal basis. Foreign archival Ukrainica**

The concept of National Archival Fund (NAF). NAF of Ukraine composition and structure. Main groups of documents in the structure of NAF of Ukraine. Ways of formation of NAF. Legal status and ownership of NAF documents. Organization of access to NAF documents. Legal, physical and intellectual access to NAF documents.

**Credit 4. Work organization of archives. Classification of archival documentation**

**Topic 10. Work organization of archives**

Status and structure of archives. Departments of archives, main archival technologies. Planning, reporting and economic activity of archives.

**Topic 11. Classification of archival documents. Appraisal and acquisition of funds**

Classification of documents within the archives. Features of determining the personal funds. Determination of fund affiliation of documents. Formation of united archival funds. Formation of archival collections. Classification of documents within the archival funds. The concept of document appraisal and its tasks. Principles of appraisal and criteria of documents value. Organization and methodology of document appraisal and registration of its results. Lists of documents. Acquisition of archives.

**Topic 12: Accounting and search tools of archives. Ensuring the safety of documents**

The concept of the material basis of archival documents. Technologies of archival documents storage. Ensuring physical and chemical safety of documents. Parameters for enabling the document storage mode. Restoration of documents and methods of restoring the mechanical integrity of documents.

**Credit 5. Informatization of archiving. Research work of archival institutions**

**Topic 13: Informatization in archiving**

The concept, purpose and objectives of archival informatization. World experience of the main ways of archival affairs informatization. Informatization of archival affairs in Ukraine.

**Topic 14: Research and methodological work of archival institutions**

The concept of research work of archival institutions. System of archival scientific and technical information. Tasks, content and forms of methodical work in archival institutions. Seminars, conferences as forms of scientific and methodological work.

**Topic 15: Use of archival documents and archival heuristics**

Archival heuristics. Archival marketing. Needs for archival information and groups of its consumers. Main directions and forms of archival information use. Archival heuristics. Characteristic features of the cross-media method of information. Factors that determine the effectiveness of the archival information use. Archival marketing and its basic principles. Free services of archives in providing archival information.



**5. Course Workload**  
**Intramural form of study**

Credits and topics	Total hours					
	Total	including				
		lect.	pr.	lab.	ind	indep work
1	2	3	4	5	6	7
<b>Credit 1. Theoretical and methodological foundations of source studies of the history of Ukraine</b>						
Topic 1. Subject, tasks and structure of source studies of the history of Ukraine	10	2	4			4
Topic 2. The concept of a historical source	10	2	2			6
Topic 3. Classification of historical sources on the history of Ukraine. Methods of working with historical sources.	10	2	2			6
<b>Total:</b>	<b>30</b>	<b>6</b>	<b>8</b>			<b>16</b>
<b>Credit 2. The main groups of sources on the history of Ukraine</b>						
Topic 4. Material sources	10	2	2			6
Topic 5. Visual sources	10	2	2			6
Topic 6. Oral and linguistic sources. Written sources	10	2	4			4
<b>Total:</b>	<b>30</b>	<b>6</b>	<b>8</b>			<b>16</b>
<b>Credit 3. Theoretical and methodological foundations of archival studies. Archival system and network of archival institutions</b>						
Topic 7. Archival studies as a scientific system and an academic discipline. History of archiving	10	2	4			4
Topic 8. The concept of “archival system”: structure, network and types	10	2	2			6
Topic 9: NAF of Ukraine, its structure and legal basis. Foreign archival Ukrainica	10	2	2			6
<b>Total:</b>	<b>30</b>	<b>6</b>	<b>8</b>			<b>16</b>
<b>Credit 4. Work organization of archives. Classification of archival documentation</b>						
Topic 10. Work organization of archives	10	2	2			6
Topic 11. Classification of archival documents. Appraisal and acquisition of funds	10	2	2			6
Topic 12: Accounting and search tools of archives. Ensuring the safety of documents	10	2	4			4
<b>Total:</b>	<b>30</b>	<b>6</b>	<b>8</b>			<b>16</b>
<b>Credit 5. Informatization of archiving. Research work of archival institutions</b>						
Topic 13: Informatization in archiving	10	2	2			6
Topic 14: Research and methodological work of archival institutions	10	2	2			6
Topic 15. Use of archival documents and archival heuristics	10	2	4			4
<b>Total:</b>	<b>30</b>	<b>6</b>	<b>8</b>			<b>16</b>
<b>Total for the course:</b>	<b>150</b>	<b>30</b>	<b>40</b>			<b>80</b>

**Lecture Contents**  
**Intramural form of study**

No.	Topics	Hours
<b>Credit 1. Theoretical and methodological foundations of source studies of the history of Ukraine</b>		
1.	Topic 1. Subject, tasks and structure of source studies of the history of Ukraine	2
2.	Topic 2. The concept of a historical source	2
3	Topic 3. Classification of historical sources on the history of Ukraine. Methods of working with historical sources.	2
<b>Credit 2. The main groups of sources on the history of Ukraine</b>		
4.	Topic 4. Material sources	2
5.	Topic 5. Visual sources	2
6.	Topic 6. Oral and linguistic sources. Written sources	3
<b>Credit 3. Theoretical and methodological foundations of archival studies. Archival system and network of archival institutions</b>		
7.	Topic 7. Archival studies as a scientific system and an academic discipline. History of archiving	2
8.	Topic 8. The concept of “archival system”: structure, network and types	2
9.	Topic 9: NAF of Ukraine, its structure and legal basis. Foreign archival Ukrainica	2
<b>Credit 4. Work organization of archives. Classification of archival documentation</b>		
10.	Topic 10. Work organization of archives	2
11.	Topic 11. Classification of archival documents. Appraisal and acquisition of funds	2
12.	Topic 12: Accounting and search tools of archives. Ensuring the safety of documents	2
<b>Credit 5. Informatization of archiving. Research work of archival institutions</b>		
13.	Topic 13: Informatization in archiving	2
14.	Topic 14: Research and methodological work of archival institutions	2
15.	Topic 15. Use of archival documents and archival heuristics	2
<b>Total:</b>		<b>30</b>

**7. Seminar Contents**  
**Intramural form of study**

No.	Topics	Hours
<b>Credit 1. Theoretical and methodological foundations of source studies of the history of Ukraine</b>		
1.	Topic 1. Subject, tasks and structure of source studies of the history of Ukraine	4
2.	Topic 2. The concept of a historical source	2
3	Topic 3. Classification of historical sources on the history of Ukraine. Methods of working with historical sources.	2
<b>Credit 2. The main groups of sources on the history of Ukraine</b>		
4.	Topic 4. Material sources	2
5.	Topic 5. Visual sources	2
6.	Topic 6. Oral and linguistic sources. Written sources	4
<b>Credit 3. Theoretical and methodological foundations of archival studies. Archival system and network of archival institutions</b>		

7.	Topic 7. Archival studies as a scientific system and an academic discipline. History of archiving	4
8.	Topic 8. The concept of “archival system”: structure, network and types	2
9.	Topic 9: NAF of Ukraine, its structure and legal basis. Foreign archival Ukrainica	2
<b>Credit 4. Work organization of archives. Classification of archival documentation</b>		
10.	Topic 10. Work organization of archives	2
11.	Topic 11. Classification of archival documents. Appraisal and acquisition of funds	2
12.	Topic 12. Accounting and search tools of archives. Ensuring the safety of documents	4
<b>Credit 5. Informatization of archiving. Research work of archival institutions</b>		
13.	Topic 13: Informatization in archiving	2
14.	Topic 14: Research and methodological work of archival institutions	2
15.	Topic 15. Use of archival documents and archival heuristics	4
<b>Total:</b>		<b>40</b>

### 8. Laboratory classes

Not applicable by the curriculum

### 9. Independent work Intramural form of study

No.	Topics	Hours
<b>Credit 1. Theoretical and methodological foundations of source studies of the history of Ukraine</b>		
1.	Topic 1. Subject, tasks and structure of source studies of the history of Ukraine	4
2.	Topic 2. The concept of a historical source	6
3.	Topic 3. Classification of historical sources on the history of Ukraine. Methods of working with historical sources.	6
<b>Credit 2. The main groups of sources on the history of Ukraine</b>		
4.	Topic 4. Material sources	6
5.	Topic 5. Visual sources	6
6.	Topic 6. Oral and linguistic sources. Written sources	4
<b>Credit 3. Theoretical and methodological foundations of archival studies. Archival system and network of archival institutions</b>		
7.	Topic 7. Archival studies as a scientific system and an academic discipline. History of archiving	4
8.	Topic 8. The concept of “archival system”: structure, network and types	6
9.	Topic 9: NAF of Ukraine, its structure and legal basis. Foreign archival Ukrainica	6
<b>Credit 4. Work organization of archives. Classification of archival documentation</b>		
10.	Topic 10. Work organization of archives	6
11.	Topic 11. Classification of archival documents. Appraisal and acquisition of funds	6
12.	Topic 12: Accounting and search tools of archives. Ensuring the safety of documents	4
<b>Credit 5. Informatization of archiving. Research work of archival institutions</b>		

13.	Topic 13: Informatization in archiving	6
14.	Topic 14: Research and methodological work of archival institutions	6
15.	Topic 15. Use of archival documents and archival heuristics	4
<b>Total:</b>		<b>80</b>

### 10. Individual scientific research task

1. The main complexes of material sources on the history of Ukraine.
2. Settlement and lifestyle of the Slavs in the Carpathian region according to archaeological data.
3. Greek colonial cities of the Northern Black Sea region in the coverage of ancient Greek authors.
4. Herodotus and his "History of the Greco-Persian Wars".
5. Strabo's "Geography" and his mention of the Roksolans.
6. Information about Rus in the European authors of the 9th – 11th centuries.
7. Historical information of the "Tale of Bygone Years" and its importance for the study of the history of Kyivan Rus.
8. Ancient chronicles of Kyivan Rus.
9. Sources of ancient Russian law.
10. "Russkaia Pravda" as a monument of law of ancient times.
11. Vladimir Monomakh's "Teachings".
12. "The Diaries of the Polish Sejm" as a source for the study of act materials.
13. "Description of European Sarmatia" by O. Guagnini.
14. Travelers' notes of the 18th - first half of the 19th century.
15. "Lvivska Gazeta" - the first newspaper in Ukraine (1776).
16. "Chronicle" by F. Safonovych.
17. Chronicling in Ukraine in the sixteenth and seventeenth centuries: main trends and monuments.
18. Chronicles of the 16th-18th centuries as a source for the study of the political history of Ukraine.
19. Source studies as a scientific direction of the eighteenth century.
20. Cossack chronicles of the eighteenth century: historiography of the problem.
21. "Description of Ukraine" by Guillaume de Boplan as a source for the study of the history of Ukraine.
22. N. Kostomarov's public and political activity.
23. M. Kostomarov's and P. Kulish's Memoirs as members of the Cyril and Methodius Society.
24. "Irredentist Ukraine" by Y. Bachynskyyi.
25. "Independent Ukraine" by Mikhnovskyyi.
26. Memoirs of the People's Republicans.
27. Memoirs of members of the social democratic movement.
28. Political portrait of Mykola Mikhnovsky.
29. The current state of scientific study of the history of Ukrainian political parties of the late nineteenth and early twentieth centuries.
30. The evolution of the public administration system and blocks of documents from the second half of the nineteenth and early twentieth centuries.
31. Memoirs as a source for the history of revolutionary events in Ukraine in 1917-1920.
32. The epistolary heritage of cultural figures and socio-political movements as a historical source.
33. Sources for the study of the ZUNR.
34. State-forming acts of the Directory of the UPR and the government of the ZUNR.
35. Circulation in Ukraine of legislative acts of the USSR in 1922 - 1991.
36. Regulatory documents of national democratic parties and organizations.
37. Legislative acts of the Ukrainian SSR: constitutions, decrees, regulations, orders, instructions.
38. Documents of the CPSU and their directive value.

39. Act of Declaration of Independence of Ukraine on August 24, 1991.
40. State-building legislation of independent Ukraine.
41. The relationship between the concepts of “document”, “information”, and “text”.
42. The sign nature of documentary information.
43. Definition of the concept of “document” as an object of study of related scientific disciplines.
44. Social functions of documents.
45. Development of communication, information and information technology as a continuation of the evolution of social functions of documents.
46. Definition of “archive”.
47. Correlation of the concepts of “documentary” and “archival” fund of the country.
48. The idea of the representativeness of the country’s archival fund.
49. The main factors of social development that influence the increase of documentary production and documentary fonds.
50. The concept of acquisition of archives.
51. The problem of acquisition of archives in the conditions of state monopoly on archival documents.
52. Acquisition of state and other archives in a democratic society.
53. Departmental right to archival documents, its influence on acquisition of branch archival systems.
54. The concept of document value examination.
55. “Functional approach” in value examination.
56. Ideas about universal, national, class, corporate and religious values, their influence on the development of ideas about the value of archival documents.
57. International treaties and conventions on the protection of archives as part of the cultural heritage of mankind.
58. Theoretical substantiation of modern criteria for the value of an archival document.
59. The concept of classification of archival documents.
60. The importance of classification of archival documents for their organization in archives and search.
61. The concept of the main classification units: archival fond, storage unit, file.
62. The concept of description of archival documents. Basic units of description.
63. Problems of informatization of description and search of archival documents.
64. Prospects and difficulties of developing automated search information systems in archives.
65. The concept of using archival documents.
66. The use of archival documents as a process of updating retrospective information.
67. Integrity of archival fonds and their complexes as a necessary condition for scientific organization of documents in NAF of Ukraine.
68. Classification of documents at the level of NAF of Ukraine, archives, archival fonds.
69. Classification of departmental archives as sources of acquisition of specific groups of state archives.
70. The concept of classification of documents within an archive.
71. The importance of classification for the rational placement of documents in archival repositories, increasing the efficiency of their search and use.
72. The continuity of the principles of document classification at the stages of departmental and state storage.
73. Formation of archival collections. Conditions of preservation and disbandment of collections in archives.
74. The importance of classification for the organization of documents within the archival fund and the search for documentary information.
75. Storage unit (an affair) as a unit of classification.

76. Types and purpose of methodical assistance for substantiation and realization of classification of documents and practical carrying out of works on their funding and systematization within the funds.
77. The concept of acquisition of NAF of Ukraine.
78. Scientific classification of documents - the basis of acquisition of state archives.
79. Interrelation and interdependence of classification of documents, their acquisition and expertise of their value.
80. Influence of acquisition on document funding.
81. Legislative acts and rules regulating the organization and procedure of acquisition of state and departmental archives.
82. Sources of acquisition of state archives.
83. Criteria for determination of institutions of sources of acquisition of state archives.
84. Determination of composition of documents, subject to state storage, and organization of their reception and state archives.
85. The concept of forms of documents reception.
86. Organization of replenishment of state archives with documentary monuments of history and culture owned by public organizations and individuals.
87. The importance of document value expertise in optimizing the composition of archival collections and their complexes.
88. Organization and methods of work on examination of documents value.
89. Organization and methods of work on selection for state storage of documents on personnel.
90. System of normative documents and methodical manuals on examination of documents value.
91. Accounting of documents in state archives.
92. Accounting for the most valuable documents.
93. Accounting of documents in archival bodies (departments and divisions).
94. Stock catalogs. Central stock catalog (CSC). Its structure. Procedure of keeping stock catalogs.
95. Purpose and organization of work on checking the availability and condition of documents.
96. The role of checking the availability and condition of documents in ensuring their safety.
97. The procedure and frequency of inspections.
98. Basic concepts of document storage technology.
99. Content and basic processes of documentary source storage technology.
100. General and special in providing physical and chemical preservation of documents that differ in technique and method of fixing information.
101. The concept of the destruction factors influence on documents, the mode and technological conditions of their storage.
102. Measures to ensure fire safety and prevent other external destructive factors.
103. Basic requirements for document storage facilities and their equipment.
104. General information on conservation and restoration of documents.
105. Influence of scientific and technical progress on ensuring long-term physical and chemical preservation of archival documents.
106. Development of scientific methods of long-term preservation of documents.
107. Purpose of the scientific and reference apparatus system.
108. The structure of the system of scientific and reference apparatus (SRA) and the direction of its development.
109. Archival reference book as a unit of SRA system of archives and NAF of Ukraine.
110. Determination of types and kinds of archival directories.
111. Informational and economic effects of scientifically grounded differentiation of documents and archival directories in the process of SRA creation.
112. Description of documents as a basis for creation of archival directories. The concept of document description.
113. Dependence of objects of description and volume of logical records on the type of reference books.

114. Specificity of the use of retrospective documentary information in the current activities of institutions, organizations and enterprises.
115. The importance of archival documents for the restoration and development of industry and agriculture.
116. The use of archival documents in the social and legal sphere.
117. The concept of the legal force of an archival document and archival certificate.
118. The concept of organization of archival documents use.
119. Primary and secondary documentary information as a means of using documents.
120. Transfer of information to consumers in the form of documents stored in archives, in copies of documents, in the form of information processed by archivists according to the requests of applicants.
- The grade on the ISRT is a mandatory score that is taken into account in the final assessment of students' academic achievements in the discipline "Archival studies".

### 11. Forms of work and assessment criteria

The course consists of 5 credits. Each credit includes lectures, seminars, students' independent work, which are completed by the rating control of the level of mastered knowledge of the program material of the certain part of the course.

The rating control of students' knowledge is carried out according to a 100-point scale:

#### Assessment scale: national and ECTS

ASSESSMENT ECTS	TOTAL GRADE POINTS	ASSESSMENT ACCORDING TO THE NATIONAL GRADING SCALE	
		examination	pass/fail
A	90-100	5 (excellent)	5/excellent/passed
B	80-89	4 (good)	4/good/passed
C	65-79		
D	55-64	3 (satisfactory)	3/satisfactory/passed
E	50-54		
FX	35-49	2 (unsatisfactory)	failed

**Forms of current and final control.** Comprehensive diagnosis of students' knowledge and skills in the course of study is accomplished on the basis of the results of the current and final knowledge control (CR). Current assessment (individual, group and general questioning, independent work, self-control). The task of the current control is a systematic check of comprehension and acquiring of the program material, ability to revise texts independently, to write and defend reference papers, to create multimedia presentations, to present certain material in public or in writing.

The task of the final control is to check students' in-depth knowledge of the course material.

#### Criteria for the assessment of the students' answers at seminars

**The following is taken into consideration:**

1. the level of comprehension of the educational material;
2. the level of formation of analytical skills and conceptual approaches;
3. the completeness of covering the issue, the logic of presentation, the culture of speech;
4. the usage of additional literature;
5. comparing, connection with practice, making conclusions.

<b>Grades</b>	<b>Assessment criteria</b>
«Excellent» – 5	Perfect knowledge and comprehension of the conceptual questions on one or another topic, free handling of various classifications. The answer to the given questions is complete, full of deep and detailed judgments. The presented material is of evidentiary, argumentative and consistent character. A student has a command of ways of concentrated presentation of the material. He demonstrates a creative application of knowledge during reformatting the question. There are hardly ever speech mistakes in the answer.
«Good» – 4	The answer is almost complete, it is of cognitive and quite detailed character. The conceptual foundation is based on the chosen classification. The answer is structurized, but there are several mistakes in presentation consequence. The evidentiary basis is not enough considered and argumentative. A student easily handles his knowledge, he can use it in a new educational situation. There are several speech mistakes in the answer.
«Satisfactory» – 3	The answer is incomplete, fragmentary. The knowledge is not enough consistent and coherent. It is used mainly for doing the tasks of reproductive character. There are no references to fundamental research on a particular problem in the answers. The answer is formal, it is not distinct and structurized. A student only uses certain knowledge in a new educational situation. There are factual and speech mistakes in the answer.
«Unsatisfactory» – 2	A student is unable to reproduce the information in a certain sequence. He only handles common phrases. He only reproduces separate fragments, presents isolated facts, gives an answer in the form of a judgment. There are gross factual and speech mistakes.

### **Distribution of points received by the students**

The number of points at the end of the semester should amount from 250 to 500 points (for 5 credits), that is, the sum of points for fulfilling all the tasks.

The corresponding distribution of points that students receive for 5 credits:

Current assessment and independent work									CR	Total points/sum
T1	T2	T3	T4	T5	T6	T7	T8	T9	40	500/ 100
30	30	30	30	30	30	30	30	35		
T10	T11	T12	T13	T14	T15					
30	30	30	30	30	35					

\*Note: The multiplier for the exam is 0.6. The number of points for the exam is 40.

### **12. Assessment Means**

Means of assessment and methods of demonstrating the teaching results are the following: individual, group and general questioning, written tests, test control. Independent work is checked by the way of writing reports, making multimedia presentations.



### 13. Teaching Methods

Oral presentation of the material, scientific information aimed at analyzing factual material; explanation – a verbal method of teaching which helps to reveal the essence of a certain phenomenon, law, process; problem-based teaching, work with a textbook and additional sources, comparative analysis; illustration – a method of teaching which includes the display of things and processes in their symbolic representation (drawings, diagrams, graphics).

### 14. Bibliographical guidance

#### Basic

1. Антонович В.Б. Курс лекцій з джерелознавства [A course of lectures on source studies]. 1880-1881. К., 1995.
2. Архівознавство. Підручник [Archival studies. Text-book]. (Керівн. автор. кол. Я.С. Калакура). К., 1998.
3. Власов В. Історичне джерело в арсеналі дидактичних засобів: чи здатна методика подолати втому від історії [Historical Source in the Arsenal of Didactic Tools: Is the Methodology Able to Overcome History Fatigue?]. Історія в школах України. 2009. №4. С.3–8.
4. Власов В. Роль підручника у формуванні вмінь працювати з історичним джерелом [The Role of the Textbook in Developing the Ability to Work with a Historical Source]. Історія в школах України. 2009. №6. С.3–9.
5. Галенко О.І. Документальні публікації з історії Української РСР: Теорія та джерелознавчий аналіз [Documentary publications on the history of the Ukrainian SSR: Theory and Source Analysis.]. К.: Наукова думка, 1991.
6. Гарнай І.А., Єсенков Ф.П., Фоланій Г.П. Деякі питання комплектування архівів документальними матеріалами [Some issues of acquisition of documentation in archives]. Історичні джерела та їх використання. К., 1964. Вип.1. С. 21-36.
7. Государственные архивы Украинской ССР: Справочник [State Archives of the Ukrainian SSR: A reference book]. К.: Наукова думка, 1983.
8. Довгопол В.М., Литвиненко М.А., Лях Р.Д. Джерелознавство історії Української РСР. Навч. Посібник [Source Studies of the History of the Ukrainian SSR. A study guide.]. К.: Вища школа, 1986. – С.7.
9. Стефанюк Г.В. Джерелознавство і архівознавство: опорні конспекти лекцій і самостійна робота. Навчально-методичний посібник для студентів факультету історії, політології і міжнародних відносин (заочної форми навчання) [Source Studies and Archival Studies: Lecture Notes and Independent Work. Study guide for students of the Faculty of History, Political Science and International Relations (extramural form of studying)]. Івано-Франківськ, 2016. 132 с.
10. Стефанюк Г.В. Джерелознавство і архівознавство: опорні конспекти лекцій, глосарій. Навчально-методичний посібник для студентів денної і заочної форми навчання спеціальності 014 «Середня освіта (Історія)» [Source Studies and Archival Studies: Lecture Notes and Glossary. Study guide for intramural and extramural students majoring in 014 “Secondary Education (History)”]. Івано-Франківськ, 2019. 142 с.
11. Стефанюк Г.В. Джерелознавство і архівознавство: інструктивно-методичні матеріали до самостійної роботи для студентів спеціальностей 014 «Середня освіта (Історія)» та 032 «Історія та археологія» [Source Studies and Archival Studies: Instructional and Methodological Materials for Independent Work of Students majoring in 014 “Secondary Education (History)” and 032 “History and Archaeology”]. Івано-Франківськ, 2019. 40 с.

#### Additional

1. Джеджула Т.А. Зарождение исторической мысли на Украине в XVII веке. Перестройка в исторической науке и проблемы источниковедения и специальных исторических дисциплин. Тезисы докладов и сообщений V-й Всесоюзной конференции 30 мая – 1 июня 1990 г. [The origin of historical thought in Ukraine in the 17th century. Perestroika in Historical

- Science and Problems of Source Studies and Special Historical Disciplines. Abstracts and reports of the Vth All-Union Conference May 30 - June 1, 1990.] К., 1990. С.43-45.
2. Джерелознавство історії України: Довідник [Source Studies of the History of Ukraine: A reference book]. К., 1998. С.5-8, 154 -212.
  3. Дорошенко Д.І. Огляд української історіографії [An Overview of Ukrainian Historiography]. К., 1996.
  4. Задорожна Л.В. Історичні документи як основа побудови пізнавальних завдань [Historical documents as a basis for building cognitive tasks.]. Історія в школах України. 2002. № 2. С. 35 – 39.
  5. Ісаевич Я.Д. Українська археографія в XVII – XVIII ст. Історичні джерела та їх використання [Ukrainian Archaeography in the 17th – 18th Centuries: Historical Sources and Their Use]. Вип.І. К.: Наук. думка, 1964. С.174-188.
  6. Калакура Я. Джерелознавство в дослідницькій діяльності Українського історичного товариства [Source Studies in the Research Activities of the Ukrainian Historical Society]. Український історик. Нью-Йорк, Торонто, Київ, Львів, Мюнхен. 1995. №1-4. С. 53-56.
  7. Ковальський М.П. Актуальні проблеми джерелознавства історії України XVI – XVII ст. [Current Problems of Source Studies of the History of Ukraine in the 16th – 17th Centuries.] Український археографічний щорічник. Вип. І. К.: Наук. думка, 1992. С. 261 – 270.
  8. Макарчук С. Писемні джерела з історії України: Курс лекцій.[ Written sources on the history of Ukraine: Lectures] Львів: Світ, 1999. С.8 – 11.
  9. Мацок О.Я. Роль філігранології у встановленні часу написання недатованих документів. [The role of filigree in establishing the time of writing of undated documents.] Історичні джерела та їх використання. Вип. 2. К.: Наук. думка, 1966. С. 256-258.
  10. Мережа центральних державних архівів України. [The network of central state archives of Ukraine.] Архіви України. 1992. №4. С.7.
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  12. Могорита В.М. Писемне джерело як компонент шкільного підручника з історії України. [A written source as a component of a school textbook on the history of Ukraine.] Педагогічні науки. Вип.LXXIX. Том.1. 2017. С.35–39.
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  14. Правила оформлення дисертації. [Guide to the thesis preparation] Бюлетень Вищої атестаційної комісії України. 1997. № 2. С. 20-22, 28-31.
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#### **Informational resources**

1. Державний комітет архівів України [State Committee on Archives of Ukraine]: <http://www.scarh.kiev.ua>
2. Національна бібліотека України імені В.І. Вернадського [Vernadsky National Library of Ukraine]: <http://www.nbuv.gov.ua>
3. Спілка архівістів [The Union of Archivists]: <http://www.vda.archiv.net>

# LECTURE NOTES

## CREDIT 1

### THEORETICAL AND METHODOLOGICAL FOUNDATIONS OF SOURCE SCIENCE OF THE HISTORY OF UKRAINE

#### LECTURE 1

### SUBJECT, TASK AND STRUCTURE OF THE SOURCE STUDIES OF THE HISTORY OF UKRAINE

#### Plan

- 1. The origin and main stages of the development of source studies of the history of Ukraine**
- 2. The subject and methodological principles of source studies of the history of Ukraine**
- 3. Tasks and functions of historical source studies**
- 4. Source studies problems of the history of Ukraine**
- 5. The structure of historical source studies**
- 6. Source studies in the system of historical science**
- 7. The main components of historical source studies**

- 1. The origin and main stages of the development of source studies of the history of Ukraine**

*Historical source studies is a special branch of scientific historical knowledge that studies the origin of historical sources, the theory and methodology of their use in historical research, the composition, structure and functioning of the source base of historical science.*

Modern historiography considers source studies not only as a structured knowledge system of historical science, but also as a research method that includes source analysis and source synthesis.

As a system of scientific knowledge, historical source studies began to take shape in the age of Enlightenment, when the historical knowledge accumulated by mankind acquired the character of a science, although its origins date back to ancient times. With the development of historical science, the expansion of the range of sources used by it, the source studies developed and improved, the understanding of the need for a critical attitude to sources came and was confirmed. An analytical approach to source studies as a system of knowledge about the source base of historical science and methods of source research makes it possible to reveal its complex structure, to highlight its main components. Source studies includes, first of all, theory and source study practice.

Like any branch of knowledge, source studies has its own history. It originated in the most ancient times and is inseparable from the main stages of the formation and development of historical science. Already in the works of ancient authors – Herodotus, Tacitus, Thucydides, Livy, Strabo, Sallust, etc. – attempts to critically use sources and compare them with other information carriers are traced. If Herodotus is considered the “father of history”, then Thucydides can be called the “father of source studies”, since his “History” was based on many source documents – treaties, declarations, laws, letters, and personal observations. It is true, that sometimes the author himself made up fictitious speeches of the Peloponnesian War participants, and then analyzed them.

The origins of Ukrainian source studies are connected with the princely era, with chronicle-documentary and other works of pro-Ukrainian historians. A careful, responsible and frugal attitude towards historical memory and historical sources was born and formed in Kyiv, and later in Galicia-Volhynia and Lithuanian-Russian states. The oldest annals that have come down to our time are based on a large number of various sources – sources of previous annals, chronicles, texts of contractual and charter documents, letters, literary works, as well as myths, legends,

etc. Although an uncritical attitude towards sources, providentialism, is a characteristic one to chronicles, however, there are reasons to claim that the first chroniclers already possessed the necessary skills of selecting sources, identifying their completeness and reliability.

The traditions of using sources in ancient Ukrainian chronicles were logically continued and enriched during the Cossack-Hetman period. Chronicles, diaries, Cossack-starshyn and other annals, including those of Samovydet, Samiil Velychko, Hrihorii Hrabianka, the works of Simonovych, Rigelman and other researchers, not only recorded the most important current events, but also connected them with the more distant past and were based on various sources: documents of military offices, station wagons, charters, letters, and folklore pieces. Not having B. Khmelnytskyi's authentic documents but willing to present a complete picture of the Ukrainian people's liberation struggles, following the ancient chroniclers' example, Samiil Velychko himself sometimes composed several the hetman's letters and universals, using the traditions of oral history, folk art, historical thoughts, songs, and remittances.

During the Age of Enlightenment, special knowledge about sources, their search, study and use was initiated. The authors of the famous "Encyclopedia", in particular D. Diderot, J. d'Alembert, and Voltaire, made a significant contribution to the development of the theoretical foundations of source studies. They significantly expanded the concept of the source in such articles as "Fact", "Authenticity", "Criticism", and "History". Encyclopedists moved away from medieval dogmas, criticized the absolutization of the written sources authority. "Narratives of monks-witnesses", material evidence, and objects of art were also attributed to historical sources. Diderot first attempted to divide historical facts into three classes: divine actions, natural phenomena, and human actions, believing that all of them should be subject to criticism. He drew attention to the complexity, contradiction and multifacetedness of the concept of "fact".

The Age of Enlightenment had a great impact on the development of historical knowledge and the enrichment of its sources in Ukraine. Lutsk, Lviv, Kyiv, Kharkiv

collegiums, Ostroh and Kyiv-Mohyla academies played a significant role in the Ukrainian educators' and thinkers' training. In these institutions history, built on sources, gradually became an independent academic discipline. The Kyiv-Mohyla Academy can be considered the cradle of historical science in Ukraine. In this educational institution F. Prokopovych, S. Kalynovskyi, F. Sokolovskyi and other outstanding scientists taught historiography using sources. In particular, F. Prokopovych used a wide range of sources in the section "On the purpose of writing history and on letters" of his course "On rhetorical art". He referred to the ancient authors Thucydides, Herodotus, Anaximenes, Curtius, medieval thinkers Gregory the Theologian, Augustine Aurelius, Renaissance historian Lucian, Polish chronicles of M. Polyak, M. Strykovskyi, M. Kromer, chronicles of Kievan Rus, historical novels, religious and educational works, etc. All this literature was recommended to students of the academy, which had a unique library, for independent study. By the way, almost all famous Cossack chroniclers were graduates of the Kyiv-Mohyla Academy, where they were taught to search and use various historical sources.

Many famous historians of the late 18th and early 19th centuries graduated from the academy, in particular P. Symonovskyi and V. Ruban. The latter is known to have collected and published interesting sources from Ukrainian history ("Short History of Little Russia" by an unknown author, "Map of Little Russia" by Prince Bezborodek, "Notes" by V. Hryhorovych-Barskyi).

An important place in the development of the theory and practice of source studies is occupied by the French school of "Great Historians" of the first half of the 19th century. Thierry, Guizot, Migne and other its representatives turned to a thorough study of a huge array of medieval sources that reflected the events of the era when the economic, social and cultural prerequisites of the bourgeois revolutions were formed. Verification of the authenticity of numerous documents required the development of the basic principles of source criticism, specific methods of research and use of medieval charters, and act books. The problems of source studies were most fully developed in the works of Guizot, who distinguished factual, textological,

logical, etc. criticism. He owns the famous saying that nothing falsifies history like logic, because the facts themselves do not make history, and the historian quite often has various motives for falsifying the facts.

From the middle of the 19th century a new stage in the development of European historical science in general and source studies in particular began. Professor Leopold von Ranke of the University of Berlin was the leader of a new direction of historical thought. He managed to create a unique direction and scientific school of German classical history<sup>1</sup>. Its representatives declared the main task of historiography to be the recording of historical facts contained in “primary sources” created by eyewitnesses or contemporaries of events. The main attention was paid to the study of documents of foreign policy institutes of various states, and the method of source analysis focused mostly on external criticism of sources.

The ideas of the Ranke School had a significant impact on Western European positivists, who also did a lot to develop the theory and practice of source studies. In addition, at its founding convention the American Historical Association, established in 1884, declared Ranke’s ideas canonical for American historiography.

Russian historians of the 18th century, H. Miller and V. Tatishchev, paid great attention to the search and research of various groups of historical sources. They contributed to the development of source studies in every way. H. Miller used the term “source” for the first time in Russian historical science in the work “History of Siberia”, and also tried to classify sources by origin (Russian and foreign). He greatly contributed to collecting and organizing of historical documents, educating the first generation of historians-archivists, Ukrainians by origin, M. Sokolovskiy, M. Bantysh-Kamenskiy, O. Malinovskiy, and others, who later did a lot to popularize documents on the history of Ukraine. V. Tatishchev initiated a critical method of analysis of some types of sources, in particular foreigners’ legends, church books, lives of saints, etc. Thanks to him, valuable pieces of ancient Ukrainian chronicles published by him, but lost in the original, have reached us, in particular, “Yakymivskiy Chronicle” and others.

Famous Russian historians of the middle and second half of the 19th century M. Pogodin, V. Solovyov, V. Kliuchevskiy and others made a significant contribution to the development of the source method. In particular, V. Kliuchevskiy defined the concept of a source as a monument of the past life of people and entire societies, divided sources into two types: remnants of the past and stories about it. He further subdivided each type into groups: acts, business documents were attributed to remnants, and chronicles, legends – to retellings. The scientist paid great attention to the criticism of sources, to the study of their separate groups, each of which, in his opinion, requires special research methods. The historian distinguished between criticism of texts (i.e. external) and criticism of content (internal). At the same time, he (as well as other historians of that time) believed that legislative acts, administrative documents, if their authenticity is proven, do not require special criticism of their authenticity.

A milestone in the development of Ukrainian source studies was the opening of universities in Lviv, Kharkiv, Kyiv, Odesa, Chernivtsi, the establishment of the Kyiv Archeographic Commission (1843), the creation of the Archive of Ancient Acts in Kyiv, and the activities of the Historical Society of Nestor the Chronicler. National and Western European traditions of using and publicizing sources were combined by the Archaeological Commission of the Scientific Society named after T. Shevchenko in Lviv, which, under the leadership of M. Hrushevsky, started the serial publication “Sources for the History of Ukraine-Rus”. The development and start of the project were connected with M. Hrushevsky and his historical school in Lviv and Kyiv, according to which the publication of chronicle, legal, act, historical-literary, historical-ethnographic, historical-statistical monuments, unique foreign source materials and materials on the history of the church, education, material culture of the Ukrainian people was planned.

With the accumulation of sources and the expansion of the framework of historical research, the transition to the creation of generalizing, synthesizing works on history, the need has arisen for the special processing of issues related to the search, identification and involvement of a wide variety of sources in scientific



works, the development of methods for checking their authenticity, the principles of description and storage documents, and their publication. The works of M. Bantysh-Kamenskyi, O. Markevych, O. Poletyka and other researchers initiated scientific approaches to the study of sources, their selection and methods of interpretation, in particular act materials, contractual documents, registers, privileges, etc.

One of the pioneers of the collection and scientific interpretation of Ukrainian historical songs, thoughts, and other sources of folk creativity was M. Maksymovych, the first rector of the University of St. Volodymyr, an outstanding historian, ethnographer, and connoisseur of antiquity. To collect, study antiquities and save them from destruction he initiated the establishment of the Archaeological Commission in Kyiv. M. Maksymovych's works on the history of Kyiv, Ukrainian Cossacks, Khmelnytskyi and others are based on extensive source material, that is why they have not lost their significance even today.

The research of M. Kostomarov, P. Kulish, and the activities of such historians as M. Vladimirskyi-Budanov, O. Lazarevskyi, M. Ivanyshev, V. Antonovych, V. Ikonnykov, and I. Franko, M. Hrushevskyi, D. Yavornytskyi, D. Bagalii, M. Vasylenko and others became a notable contribution to the study of the theoretical and methodological foundations of the search and processing of sources. The work of Taras Shevchenko, who was a member of the Kyiv Archeographic Commission and personally participated in the collection of the Ukrainian people's material and spiritual culture monuments, had a great ideological influence on the national coloring of the Ukrainian source studies origins. Within the historical schools of Kyiv, Kharkiv, Lviv, Odesa, and Chernihiv, groups of scientists were formed who fruitfully researched the sources of national history, thus laying the foundation of the national tradition of source studies. The most notable in this respect was the Kyiv historical school represented by V. Antonovych, M. Ivanyshev, O. Lazarevskyi, V. Ikonnykov, I. Kamanin and other researchers. It went down in history as a school of documentary studies.

Special attention should be paid to the source research activity of St. Volodymyr University professor V. Antonovych, the founder of the mentioned

Ukrainian historical school of documentary studies. For twenty years, he was the chief editor of the Kyiv Temporary Commission for the Review of Ancient Acts, and the head of the Historical Society of Nestor the chronicler. For the first time in Ukraine, V. Antonovych developed and read to students a source studies course on Ukrainian history in 1879. He substantiated the original classification of sources, according to which they were divided into three groups: chronicles, legal documents, notes of travelers and contemporaries. The historian did a lot for the establishment of the Kyiv Central Archive of Ancient Acts, the discovery of new sources and their publication. All his works on the history of Ukraine and the Ukrainian Cossacks are based on rich and diverse documentary material.

It is difficult to overestimate the role in the development of Ukrainian source studies of our most outstanding historian M. Hrushevskyi, the most talented student and follower of V. Antonovych. After graduating from Kyiv University, he headed the department at Lviv University, was the head of the Scientific Society named after T. Shevchenko, headed the Archaeological Commission, created a scientific Historical School in Lviv, and later in Kyiv. On his initiative, the serial publication “Sources for the History of Ukraine-Rus” was launched.

M. Hrushevskyi gave a brilliant example of the scientific use of the works of ancient authors, ancient Ukrainian chroniclers, foreign historians, chronicles, and a wide variety of archival documents to create the history of the Ukrainian people. A characteristic feature of all his works is thorough analysis and effective use of documents. Publications of sources made by M. Hrushevskyi have not lost their importance even in modern conditions.

Such Ukrainian historians of the second half of the 19th and early 20th centuries as F. Fortynskyi, M. Kostomarov, O. Markevych, P. Golubovskyi, M. Vladymyrskyi-Budanov also referred to the problems of the theory of source studies. We owe the latter a thorough study of ancient Ukrainian and Lithuanian law sources.

The search, compilation, collection, study of historical antiquities, including archeological and archival sources, contributed to the development of historical

knowledge and the elevation of historical consciousness. An important role in this process was played by the publication of scientific works by the National Academy of Sciences, the Ukrainian Scientific Society in Kyiv and its historical section, the publication of “Kyivska staryna” (“Kyiv antiquity”), the magazines “Ukraine”, “Ridnyi kraj” (“Native Land”) and others, and the activities of the provincial Academic Archive Commissions.

The Ukrainian revolution of 1917-1920, the formation of the Ukrainian People’s Republic, the establishment of Ukrainian universities, the Ukrainian Academy of Sciences, the National Library and the National Archives gave impetus to the further development of source studies, the collection and processing of sources from Ukrainian history, and the formation of scientific research based on them. With the establishment of Soviet power in the early days, in particular under the conditions of the “Ukrainization” policy and thanks to the return of M. Hrushevskyi from exile, the traditions of national source studies continued to develop due to the inertia of the Ukrainian revival. The works of M. Hrushevskyi, M. Slabchenko, I. Kamanin, O. Hermaize, D. Bagaliia and other scientists laid a solid foundation for the scientific study of sources. The research of V. Veretenikov and other historians had a beneficial influence on the development of Ukrainian archival studies and archeography.

Despite the fact that source studies, like all historical science, was placed under party-ideological control, archival affairs were centralized and access to archival funds was limited, and many historians and archivists were repressed, in the 1920s and early 1930s, a number of studies devoted to the theory of source studies, classification of sources, methods of their search and use were published in Russia and Ukraine. Considerable attention was paid to the collection and publication of outstanding historical sources. Academician B. Grekov, a well-known researcher of the feudal law sources, started a multi-volume scientific publication of legislative acts of the feudal era, which included documents from “Ruska Pravda” to “Soborny Ulozhnje” of 1649. Academician D. Lykhachev, a researcher of chronicles and narrative sources, contributed to the publication of many historical and literary

documents of Kievan Rus. Theoretical problems of source studies were considered in the works of such famous historians of the Soviet era as M. Pokrovsky, L. Cherepnii, V. Buganov, S. Schmidt, M. Tykhomyrov, I. Kovalchenko, O. Medushevskaya, O. Pronshtein, and many others.

The establishment of the ideology of totalitarianism, the practice of repression and persecution had an extremely negative impact on Soviet historical source studies. In the infamous letter of Y. Stalin “On some questions of the history of Bolshevism” (1931), under the slogan of revolutionary expediency, the idea of a class approach and the selective use and study of sources, ignoring facts, was proved and the departure from scientific principles was justified.

The resolution of the Politburo of the Central Committee of the CP(b)U “On Political Errors and Unsatisfactory Work of the Institute of History of Ukraine of the Academy of Sciences of the Ukrainian SSR” (1947), the atmosphere of “Zhdanovshchyna” and ideological repression, and the absolutization of science’s partisanship had a negative impact on the development of Ukrainian source studies in the postwar years.

The death of Stalin, the criticism of the cult of his personality, the “Khrushchev thaw” gave impetus to the expansion of source studies and the fuller involvement of sources. In 1964-1972 in Ukraine, a serial collection “Historical sources and their use” was published, which covered both theoretical issues of source studies and specific source materials. On the pages of the “Ukrainian Historical Journal”, founded in the second half of 1957, the thematic section “Source studies and historiography” was introduced. Employees of the relevant department of the Institute of History of the Academy of Sciences, the department of archival studies and source studies of Kyiv University, historians of Kharkiv, Lviv, Dnipropetrovsk and other universities took an active part in the development of the theory of source studies. In 1963, the teachers of the Kyiv University department published a study guide<sup>2</sup>, separate sections of which were devoted to source studies, archival studies, and some other special historical disciplines. The works of I. Krypiakivych, F. Shevchenko, V. Borshchevskiy, V. Strelskiy, M. Varshavchuk,

M. Ko/vwalskyi, A. Santsevych, Yu. Mytsyk and other Ukrainian scientists<sup>3</sup> played a notable role in the development of source studies of that era.

Despite the ideologization of historical science, total control over its development, restriction of access to archives, concealment of many important documents, falsification of sources, the development of Ukrainian national source studies was not interrupted. In the 1920s and 1930s and in the following period, it continued to develop and enrich itself thanks to the works of historians of Galicia, Bukovyna and Transcarpathia and representatives of the Ukrainian diaspora. A notable contribution to its development was made by students of M. Hrushevskyi, I. Krypiakeyich, S. Tomashivskyi, M. Korduba, V. Herasymchuk and other researchers. Centers of Ukrainian studies in Europe and America, in particular the Ukrainian Free University, the historical section of the Ukrainian Free Academy of Sciences, the Ukrainian Historical Society, the journal "Ukrainian Historian" (founded in 1963) worked fruitfully in the field of searching, identifying and processing sources of foreign archives, museum and library collections of Western countries and reproduction on this basis of the true history of the Ukrainian people, especially those pages that were silenced or falsified by Soviet historiography.

Works by D. Doroshenko, B. Krupnytskyi, S. Rudnytskyi, N. Polonska-Vasylenko, O. Ohloblyn, O. Pritsak, P. Mirchuk, I. Ohiienko, T. Hunchak, V. Kosyk, T. Matskiv, L. Vynar and other historians are valuable not only for their unique source material, but also for the method of its processing, interpretation, and systematization. They are imbued with the spirit of love for Ukraine, national consciousness, are characterized by the search for historical truth, and not by subordinating source facts to patriotic goals, but by their objective study. "A historian is an investigator," wrote O. Ohloblyn in his "Autobiography", "but not one who only ascertains the facts and establishes their causes and motives. He must see and understand not only events, institutions, but also people - the actors of history, the ideas they were guided by, the traditions they created and passed on to future generations"<sup>4</sup>. The above-said fully refers to the scientific and source studies traditions.

It is also worth emphasizing that historians of the Ukrainian diaspora adopted the latest Western European theories of source studies and enriched the national historiography with them. 20th century is connected with the formation of the so-called pluralistic source studies. Its essence lies in the fact that in world historical science there is a diversity of scientific schools that adhere to different methodological principles of interpretation of facts and historical sources. However, two leading methodological movements – “realism” and “idealism” – can be clearly traced.

“Realism” continues the traditions of the Ranke School and positivism. Source studies of “realism” develop mainly in the direction of improving the method of using sources in historical research. Thus, structural-historical and typological methods of interpreting facts, the use of quantitative methods of processing source information, and “biosocial” concepts of explaining the phenomena of the past have become widespread. The use of new methods stimulated the development of the logic of source studies. However, in general, the representatives of this branch of source studies adhere to the traditional approach to the “reflection” of the past. These are, first of all, the American historians M. Krag, R. Winks and others.

In contrast to “realists”, “idealists” adhere to the subjective-idealistic epistemology of historical science – neo-Kantianism, irrational psychologism, which received the name “critical philosophy of history”. In German philosophy after Kant, the opinion that the objectivity of knowledge should be sought in the subject itself, and not outside of it, became established. Based on this, the historicity of the source, that is, the presence of historical information in it, is determined by the historian himself.

A significant contribution to the development of the theory and practice of historical science in the 20th century was made by representatives of the French school “Annals”, primarily by its founders L. Febre and M. Blok. Relying on a thorough study of documents as the main prerequisite for solving a scientific historical problem, they offered at the same time an expanded understanding of the historical source, considered it necessary to study the data of economic science,

statistics, demography, psychology, historical geography, linguistics, etc. The “Annals” school paid considerable attention to the problem of source selection, developed new methods of source studies, in particular retrospective. The approaches to the study of history and historical sources advanced by this school greatly influenced the further development of European historical science.

At the end of the 20th century many historical theories, methodological structures and technologies were proposed, including in the field of source studies. The ability of historians to understand and study sources is being critically rethought. As one of the leading theorists of postmodernism, Hayden White, argued, history is only “an operation whose purpose is to create a verbal fiction.” Postmodernists treated historical narrative as one that creates a sequential series of events, placing random information from sources according to chronology<sup>5</sup>. Such views influence the use of specific groups of sources, mainly from the history of the Middle Ages. In particular, the modern Russian researcher I. Danylevskiy, relying on the principles of postmodernism, proposed a new approach to the study of ancient Russian chronicles and other sources of the Middle Ages<sup>6</sup>.

With the restoration of Ukraine’s state independence, a new stage in the development of Ukrainian source studies in the context of world historical science began. The democratization of social and scientific life, the abolition of restrictions on access to archives and the use of foreign sources, the return of source materials and the works of Ukrainian diaspora historians to Ukraine made it possible to rethink the source base of the Ukrainian people’s history, to reevaluate the old methods of processing sources, to modernize methodological principles and historical source studies. Source studies are intensified at the Institute of History of Ukraine, the work of newly founded institutions, in particular the Institute of Ukrainian Archeography and Source Studies named after M. Hrushevskiy, Ukrainian State Research Institute of Archival Affairs and Document Studies, Institutes of Manuscripts, Archival Studies, and Biography of the National Library named after V. Vernadskiy and others started.

The Faculty of History of Taras Shevchenko National University of Kyiv and its department of archival studies and special fields of historical science remains one of the centers of source studies. The department develops actual theoretical, methodological and practical problems of source studies, archival studies, archeography, historiography, document studies, provides teaching of these and a number of other special historical disciplines, conducts training of historians-archivists, highly qualified specialists – doctors and candidates of sciences in source studies, archival studies, historiography, prepares textbooks and teaching aids<sup>7</sup>. The question of uniting the efforts of all Ukrainian source studies scholars, increasing their role in creating the documentary history of Ukraine, and developing research in all areas of historical source studies remains relevant.

An All-Ukrainian program of archeographic research, publication of documents, materials on the history of Ukraine, unique historical documents, anthologies from various sections of history, thematic documentary collections has been developed. Only in the last five years there have been published collections of documents dedicated to the famines of the 1920s, 1930s and 1940s in Ukraine, organized by the totalitarian regime, the Chernobyl disaster in 1986, mass repressions, etc. Collections of documents about the Ukrainian Central Rada, the Ukrainian resistance movement, etc. caused a great resonance. A number of thematic documentary collections were compiled by Prof. V. Serhiychuk. Among the recent notable documentary publications, the editions of Bohdan Khmelnytskyi's universals from the multi-volume series "Universals of Ukrainian Hetmans", as well as the materials of the Archive of Kosh of Nova Zaporizhian Sich deserve attention.

On the pages of historical periodicals, topical issues of the theory and practice of source studies, its subject, structure, place in the system of special fields of historical science, the role of special historical disciplines of the source study cycle in increasing the informational potential of historical sources are discussed.

Historians-source studies scholars of Lviv, Dnipropetrovsk, Kharkiv, Chernivtsi, Odesa, Uzhhorod and other universities, Institutes of History of Ukraine,



Ukrainian archeography and source studies of the National Academy of Sciences of Ukraine and other educational and scientific institutions work fruitfully.

## **2. The subject and methodological principles of source studies of the history of Ukraine**

The subject of historical source studies consists of: regularities of the formation of the source base of historical science as a whole and individual groups of sources and their representation in the process of historical development, their functioning in historical research, the functioning of source studies in the system of historical science.

It is possible to single out several main groups of regularities that make up the subject of historical source studies. *The first group* covers the regularities of the emergence of sources and their presenting the phenomena of the real historical process.

*The second group* of regularities characterizes the “source – scientific historical knowledge” relationship. These are the regularities of the sources functioning in the process of historical knowledge. The specificity of historical knowledge is that a historian, as a rule, cannot directly observe the events and phenomena of the past, and the main purpose of the sources is to serve as a carrier of historical information. The source information, perceived and processed by the historian, turns into scientific historical knowledge, which expresses another regularity of the functioning of sources in historical science.

*The third group* of regularities reflects the processes of the functioning of source studies itself, as well as its components in the system of historical science, and characterizes the “source studies – historical science” relationship. The emergence, existence and development of source studies are closely related to the needs of historical science. The importance of historical sources, the understanding of the complexity of revealing their content, the need to improve the work of researchers with sources led to the separation of source studies into a special field of

scientific historical knowledge, into a special science about historical sources, which has its own subject and tasks – both theoretical and practical (applied).

In the methodology of historical source studies, the dominant place is occupied by general principles (rules) of scientific research of sources. They were formed on the basis of source studies practice over several centuries, are based on the laws of scientific knowledge, taking into account the peculiarities of working with different groups of sources. The theoretically generalized practice of source studies made it possible to work out a number of regulatory guidelines and mandatory rules for processing sources and obtaining source information. Their importance is not limited to the practice of knowledge, as they have a worldview character and are specifically used by historians of various fields and scientific schools.

Among the most important principles of the methodology of source studies, the following ones can be singled out: *the principle of a concrete-historical approach, the principle of objectivity, the principle of comprehensiveness and integrity of a source or a group of sources, a complex, etc.*

*The principle of a concrete-historical approach*, or historicism, requires the researcher to constantly take into account the concrete-historical conditions of the appearance of the source, its further fate, clarifying the specificity of the source substance of the artefact, its primary social functions. To study a source from the perspective of historicism means to discover its genetic roots, history and motivations for its creation, the extent of their influence on the nature and content of the source. In other words, adherence to the principle of historicism makes it possible to answer the classical triad: when and how the source arose; what stages of its development it went through and what changes it underwent; what has become of this source today.

*The principle of objectivity* in historical source studies guarantees obtaining objective, true, and reliable source information. It obliges a historian to perceive the source as an objective reality and opens up the possibility to discover, with the help of source criticism, the objectively true content of the source information, and to

ultimately obtain reliable scientific facts. The principle of objectivity sets a complex of requirements among which the most important one is to attract such a number of sources that it will ensure obtaining not isolated, fragmentary facts, but their aggregates; avoiding gaps in sources, and establishing the reliability of source information.

*The principle of comprehensiveness and integrity of a source or a group of sources or source complexes* is closely related to the principle of objectivity. The principle warns a researcher against developing a biased attitude towards the sources, one-sidedness and subjectivism in evaluating the source, in conveying its content, avoiding inaccuracies and distortions. There are numerous examples in the practice of historical research when not the whole document or a group of documents is taken into account, but only the part which is necessary to confirm the concept put forward by the author before.

One should bear in mind that the successful study of sources can be guaranteed if a historian consistently follows all three principles, which are closely related to one another. Violation of even one of them will inevitably lead to distortion or limitation of the completeness of the source information.

### **3. Tasks and functions of historical source studies**

Functions, theoretical and practical tasks of historical source studies as a special field of historical science derive from its subject. *The theoretical tasks of source studies include:*

- development of a general theory of source studies, which covers the development of systematized knowledge about the nature of historical sources, their functioning in historical research, basic concepts, categories and terms of historical source studies;

- study of theoretical problems of source studies individual components of historical science, including world history, history of Ukraine. Each field of

historical science, according to its subject, relies on a certain range of sources and must solve a set of questions common to these sources of their study. Source studies of separate fields of historical science, based on the general theory of source studies, considers the specifics of the formation of sources in this field, establishes their range, develops their classification, etc.;

- development of principles and methods of scientific research of historical sources and use of source information.

*The practical tasks of source studies comprise:*

- improvement of scientific methodical techniques and means of studying and using sources, development of the methodology of source criticism, which occupies a leading place in the methodological arsenal of historical science;

- analytical and informative study of individual sources or their complexes. This task consists in a special study of a specific source (complex), its origin, history, the content of the source as a historical fact, an objective-subjective phenomenon, a carrier of historical information, and its value for science. Analytical and informative study of sources provides an opportunity to solve priority issues of source studies practice, the implementation of which is based on theoretical and methodological principles;

- provision of historical research with reliable sources and factual knowledge, which form the basis for further scientifically based conclusions;

- formation of a collection of scientific facts based on sources. It is about the stage of research at which source criticism is closely intertwined with other methods and techniques of the historian's scientific work. Thus, source studies practice is integral part of the tasks of both source studies and the process of historical research as a whole. A historian acts as a source studies scholar only when he/she possesses the methodology and methods of source studies, works with sources at an appropriate analytical level.

These tasks presuppose the most important functions of historical source studies. The main ones are cognitive, worldview and prognostic functions.

*The cognitive* function provides a deep insight into the origin and nature of sources, their content and informative potential, a thorough investigation of the reliability of source information.

*The worldview* function is aimed at the fuller use of sources in the formation of a scientific worldview, historical consciousness, and the identification of patterns of the historical process.

An important role is played by the *prognostic* function of source studies, which opens up a wide space for searching, identifying and including in scientific circulation new, still unknown sources, obtaining new information from already publicized sources.

All these and other functions have a constructive orientation, as they draw the attention of historians-source studies scholars to “bottleneck”, shortcomings, contribute to the enrichment of the source base. And this, in turn, is very important, since without relying on sources it is impossible to create a scientific history, and without a deep knowledge of the past, it is impossible to understand the present and “look” into tomorrow.

Each new stage of the development of historical science and archeographic practice presents new tasks to source studies. This especially applies to the modern stage, when overcoming stereotypes and dogmas, generated by the totalitarian system, becomes especially relevant. It is not only about the fuller implementation of the functions of source studies, but also about the clarification and revision of definitions, concepts and categories that were unilaterally interpreted from the standpoint of a dogmatized materialistic understanding of history, the development of definitions that would reflect the current state of historical science, the study of the sources of civilizational and cultural positions that reflect all areas of people's lives at different stages of civilization.

#### **4. Source studies problems of the history of Ukraine**

One of the tasks of source studies is the development of source studies problems of certain historical sciences (subjects). Source studies of the history of Ukraine takes an important place among them. At the same time, the provisions of the general theory of source studies, methodology, and methods are used as starting points in each subject section of source studies, and also in source studies of the history of Ukraine.

In the conditions of Ukraine's independence, historians got rid of, on the one hand, party-administrative control and interference in research activities, and on the other hand, they got a wide opportunity to include new sources, systematize and enrich source knowledge, address theoretical problems. The main one is the definition of the concept of source from the history of Ukraine.

*A source from the history of Ukraine is any carrier of historical information of autochthonous (local) or foreign origin, containing information about the past of Ukraine and ethnic groups that have inhabited its territory since ancient times or inhabit now.*

A source on the history of Ukraine has the same features as any other historical source. General principles of source criticism and classification features of sources are applied to the development of the source complex from the history of Ukraine, since the source base of the history of Ukraine consists of sources of all kinds, types and subtypes.

The next important theoretical problem of source studies of the history of Ukraine is the determination of its subject and tasks.

*The subject of source studies of the history of Ukraine are the regularities of the formation and functioning of sources from the history of Ukraine, the formation of its source base, the establishment of relationships and mutual influences of certain types of sources, their cognitive functions and the measure of informativeness in the process of scientific research of problems, the development of source studies of the history of Ukraine in the system of Ukrainian studies.*

The main tasks are defined by the subject of source studies of the history of Ukraine:

- systematization of knowledge about the origin, development, nature and composition of the source base of the history of Ukraine, its functioning, internal interaction and external relations;
- development of methodology and methods of scientific research, study and use of sources from the history of Ukraine;
- figuring out the structure of source studies of the history of Ukraine, its place in the system of Ukrainian studies.

The problems of the theory of source studies of the history of Ukraine are an integral part of the general theoretical source studies and are constantly in the field of view of Ukrainian historians-source studies scholars. Current source studies problems are the search and identification of new sources from the history of Ukraine, the return of documents from abroad, the gaps filling in the source base, the disclosure of the concealed informative possibilities of known sources, the application of the principles of source study criticism to them in accordance with the modern development of historical science in general and the history of Ukraine in particular.

Thus, historical source studies as a special field of historical science comprises history, theory and methodology of using sources in scientific research and pedagogical practice. It has its own historiography, its source base, subject and object of research, specific patterns of development, its own terminology, it has a beneficial effect on the level of historical works, the professional qualification of historians, on the formation of public historical consciousness, and the preservation of historical memory.

The general theory of source studies and methodology is specified in source studies of the history of Ukraine, which is designed to contribute to the enrichment of the source base of Ukrainian history, its purification from falsifications and distortions, and overcoming stereotypes of the party-class interpretation of sources.

## **5. The structure of historical source studies**

At the current stage of understanding the structure of source studies, scientists hold different views on the composition, status and functions of its components. It will be appropriate to consider the meaning of the notion “structure” in historical science in general and in source studies in particular. In this case, the notion “structure” is one of the means of determining the form (that is, the form is viewed as a structure, internal orderliness, harmony of interaction between parts of the whole).

Let's turn to the concept “system”.

*A system is a set of components, the interaction of which leads to the appearance of new integrative (unifying) qualities that none of the separate components of the system has.*

A characteristic systemic quality of source studies is the generalization of the constituent components of the concept of source, logically ordered views on source theory, regularities of their occurrence and functioning. It is source studies that is characterized by these systemic qualities that unite the entire system of source studies knowledge around it.

Thus, source studies as a branch of historical science is in this case a system of separate special historical disciplines. Hence, the general tasks of source studies are considered in the complex of tasks of historical science itself. Historical source studies as a subsystem of historical science relies on its theory, methodology, develops on the basis of research experience accumulated over the ages. Given this, the structuring of source studies is inextricably linked with the structure of historical science, changes along with it, is supplemented and expanded. Fields of historical science form the basis for source studies fields<sup>4</sup>.

A key issue in determining the content and structure of source studies is the relationship between its two main parts: theory of source studies and practice of source study, defining the structural boundaries of source studies and its place in the system of historical science. To clarify these problems, it is necessary to determine



the connections of source studies with other related fields of historical science: historiography, archival studies, archeography, etc.

## **6. Source studies in the system of historical science**

The understanding of the source studies place in the structure of historical knowledge is facilitated by the establishment of its connections with other subsystems of historical science: world history, the history of individual regions, countries, eras, various spheres of social development, as well as with related fields.

It is most closely related to *historiography (the history of historical science)*, the subject of which is the regularities of the formation and development of scientific historical knowledge and their functioning in the system of socio-cognitive information.

The connections between source studies and historiography are multifaceted. Source studies as a branch of historical knowledge has its own historiography, which studies the history of its development. This history is an integral part of the development of historical science as a whole. The historiography of source studies solves a three-fold task, answering the following questions: which source studies problems have been studied with sufficient completeness in accordance with the current level of scientific development; which problems are partially or incompletely investigated; which aspects have not been studied at all, although there is an urgent need for their development.

At the same time, source studies provide a lot of information for historiography, since it, as a historical science, relies on its sources – historiographical. Despite their specificity, sources from historiography are studied on the same methodological basis as other sets of sources. In order to investigate the state of historical science at a certain stage of its development, to evaluate the work of this or that historian, the historiographer uses source-scientific means of checking

the completeness and reliability of the sources used in the works of the historian, that is, establishes the scientific value of these works.

Source studies have a lot in common with *archival studies*. Source studies methods in archival science are used for the purpose of organizing archival documents (determining the originality of the source, time and place of its creation, etc.), examination of their scientific value, classification, etc. Along with this, historians use the methods developed by archival science to find and identify historical sources. Extremely important for historical science in general and source studies in particular is archivists' activities in collecting, arranging and using the documentary base of archives.

Source studies is closely related to *archeography*, a science that develops the theory and method of publishing sources. All the textological work of the archeographer (attribution and commenting on the text, necessary for its correct interpretation, etc.) has a source studies character. At the same time, a researcher who uses published sources needs to know the principles of archeography, because by using sources, citing them, referring to them, forming a scientific reference apparatus, he/she acts as an archeographer. Source studies scholars and archeographers fruitfully cooperate on the preparation of documentary materials for publication, the development of a typology of publications, and the determination of clear criteria for their selection and evaluation.

Source studies also interacts with historical geography, which studies the historical aspects of physical, economic, political geography, the historical geography of the population, the historical relationship between nature and man in the past. Historical geography is a branch of knowledge bordering on history and geography. Where it acts as a branch of historical knowledge, historical sources and source methods are used. At the same time, the use of the historical-geographical approach enables source researchers to establish the topological and ononymic (historical-geographical) affiliation of the sources, the regional boundaries of their functioning, the place and conditions of their occurrence.

Source studies closely cooperates with archeology, ethnography, documentary studies, museology, codicology, bibliography, other special branches of historical science, which use source studies methods, studying their own sets of sources (archaeological, ethnographic, museum). At the same time, the practical knowledge accumulated by these branches is used by source studies in the process of developing general methods for researching various types of sources.

Thus, source studies closely interacts with many fields of science, at an interdisciplinary level, in particular with library science, bibliography, codicology, informatics, etc. Recently, scientists have been increasingly using integrative methods of working with different types of sources in historical research, which mutually enriches the methods of both source studies and other branches of science. At the same time, the process of differentiation is taking place in source studies: new methods of researching historical sources on the problems of the history of individual countries, peoples, and regions are emerging. All this indicates the need to apply a systematic approach in source studies in order to establish its structural components and their functioning.

## **7. The main components of historical source studies**

The initial stage of the source studies structuring was its division into theoretical (general) and practical (specific). These two components were the main and almost the only structural units for a long time. However, with the development of source studies as a separate field of historical science, the study of the concept of “historical source”, which is the cornerstone of source studies, its functions and tasks, the attitude towards the structural parts of source studies also changed. The scientists came to the conclusion that, firstly, these two categories (“theoretical” and “practical”) are closely related. If we treat “practical” as “specific”, then it should be borne in mind that “specific”, as a logical form, includes both theoretical and

practical parts; secondly, the structure of source studies is much more complex and requires a systematic approach to the selection of structural components.

The Russian historian S. Schmidt was one of the first who tried to present a well-founded structure of source studies. And although he also divided source studies into theoretical and specific, he disclosed the content of specific source studies in such a way that only the name remained traditional. According to the scientist, theoretical source studies consists of the theory of the source and the theory of knowledge of the source. And specific source studies includes the development of issues of various branches of historical science, various types and types of sources; sources of a particular region, country, period or a particular problem. In addition, specific source studies include source studies of separate classes of sources, descriptive and empirical (applied) source studies. At the same time, general source studies of individual classes of sources approaches theoretical source studies and can even act independently as a component of general theoretical source studies<sup>7</sup>.

The original structural scheme of source studies was proposed by the Russian historian I. Kovalchenko. He drew attention to the interrelationship of methodology, methods and research technique. The scientist used the concepts of theoretical (general) and specific (applied) as synonyms, which traditionally corresponds to the source studies structuring. Three directions of source studies are distinguished in his scheme. The first direction – theoretical and methodological – is connected with the study of historical sources in the direction of the analysis of reflective and informative processes in society, that is, it reflects the generally philosophical aspect of source studies. The second is general source studies, or purely disciplinary, its task is the study of historical sources of a separate era, or their separate types, as phenomena of historical reality. The third direction – applied, is the basis for the analysis of certain historical phenomena and processes<sup>8</sup>. Such a structural scheme of source studies more fully covers the main directions of source studies, more deeply reflects the structure of source studies as a complex science, and at the same time opens up opportunities for further specification of this problem.

## **LECTURE 2**

### **THE CONCEPT OF A HISTORICAL SOURCE**

#### **Plan**

- 1. Definition of a historical source**
- 2. The main stages of the existence of a historical source**
- 3. Objective-subjective nature of a source**
- 4. Source information**
- 5. A historical research source base**

#### **1. Definition of a historical source**

The theory of the historical source takes the central place among the theoretical problems of source studies. It comprises the definition of the concept of the source, clarification of its nature, essence, specifics of the reflection of historical reality in it, scientific understanding of the content and structure of source information, and the cognitive function of the source in a historical research.

Prominent historians of the past and present dealt with the source theory issue. In historical source studies, several main trends have developed in the interpretation of the concept of a historical source. Among them is the positivist one, which considers sources as “things” that contain “ready” or “semi-ready” facts that must be collected and studied.

Positivists believed that there is no history without documents. They made a significant contribution to the documentation of history, to the development of the theory and methodology of the source research, and to the development of source criticism. The second direction – Marxist – is based on the so-called historical materialism and interprets a historical source exclusively as a product of certain social relations, primarily class relations, built on a formative understanding of history. Despite all the limitations of this interpretation of the source nature, Marxist

historians made a notable contribution to the development of principles and methods of studying historical sources. The third direction – neo-Kantian – considers a source as a product of the individual human psyche. Its adherents, while not denying the overall significance of a source in a historical research, put the historian's intuition first in the interpretation of the facts recorded in the source.

In the last decades of the 20th century the fourth, postmodern approach to sources, the globalization of history was determined. Its supporters are the heirs of the famous "School of Annals", representatives of intellectual history, advocating a civilizational interpretation of the historical process, consider a source as a cultural phenomenon, as the only reality of the past accessible to the historian. The methodology of postmodernism gives priority to the relationship between the works of the historian and the historical narrative with objective reality. It is about the transition from the usual analysis of the sources to the intellectual one, that is, to the consideration of its philosophical, literary and artistic, psychological aspects, which means the involvement of linguistic, literary, sociological and other methods of processing the sources.

***A historical source is a carrier of historical information, arose as a product of the nature and man development and reflects one or another aspect of human activity.***

Given the specificity of historical science, which is unable to investigate its object directly, since the past cannot be repeated or reproduced in a laboratory way, a source acts essentially as the only carrier of information about the past of humanity, about various aspects of human activity in all spheres of public and private life.

## **2. The main stages of the existence of a historical source**

In modern source studies, the concept of two stages of a historical source existence was formed – *a source-to-be and a proper source*.

At the first stage of existence, all sources perform their natural or official functions: religious buildings are used for worshiping gods, educational works – for education, laws – for establishing certain social relations, paintings – for satisfying aesthetic needs, etc. In addition, at this stage of existence, things of the past can not only perform their immediate functions, but also undergo significant external influences: rewriting, reorganization, reconstruction, destruction, restoration, falsification, etc. Everything that happens to the things at the first stage is extremely important for their further existence and functioning as the actual source, i.e. at the second stage, when they come into the field of historians' attention and are introduced into scientific circulation, they become a part of the source base of historical science. A clear understanding of this is important in several ways.

Firstly, the fact that a source was a source-to-be makes it possible to consider it as a real phenomenon, as a phenomenon of the historical process, as a product of culture. Secondly, the role it played in the past greatly determines its place in the source base. The more significant the primary social function of the source was (influence on further historical events, processes, phenomena, the breadth of the sphere of action, etc.), the more significant the value of the source as a carrier of certain information will be.

It is extremely important to understand that considerable time can pass between the source-to-be and the proper source stages of a source existence. For example, the tools of primitive people lost their primary functional purpose with the end of the Stone or the Bronze Ages, and they began to perform the function of a historical source only in the 18th and 19th centuries, when the intensive development of historical science in general and archeology in particular began, when social interest in the most ancient periods of human history became greater. Such a category of historical remains that have already lost their primary function, but for various reasons have not been discovered or are not used by historians in scientific research, constitutes a large layer of potential source information. Its importance is difficult to overestimate, since it is due to the involvement of unexplored things of the past that the source base of historical science is constantly replenished, and it, in

turn, is enriched with new knowledge. At the same time, there is a significant circle of things that have not lost their original purpose, but are already being studied and used by historians for scientific purposes. For example, churches, monasteries, artistic and literary works, with few exceptions, continue to serve their original purpose. Or, let's have a look at the Constitution of Ukraine 1996. It is the current Basic Law of the independent Ukrainian state and it has already become the object of research of law historians, political scientists, source studies scholars, i.e. it is used as a historical source. The source base is also replenished due to those things that are being born today, before our eyes, in the creation of which our contemporaries take a direct part.

At the second stage of the existence of things of the past, as proper historical sources, the combination of objective and subjective factors significantly affects the level of study of their certain groups, individual documents, and the interpretation of the sources content, etc. Since history is a social science, its development is greatly influenced by the social ideology prevailing in one or another historical period, the level of development of the political system, its democratism or reactionism. In the history of Ukraine, there are many periods when historians were forced to study different groups of sources only within the framework of the great power or communist ideology, which led to a one-sided, distorted interpretation of the information contained in the sources, limitation of the source base, etc. In periods of democratization, historians can also be influenced by various social and political factors. An interesting observation about the method of interpretation of historical sources was made by a well-known English historian of the early 20th century T. Macaulay, who justly observed that every Whig historian was anxious to prove that the old English government was all but republican, and every Tory to prove that it was all but despotic. At the same time, their conclusions were based on the same medieval chronicles. These are, so to speak, social (objective) circumstances of studying and using historical sources.



### **3. Objective-subjective nature of a source**

Contrasting “objective” and “subjective” is one of the most complex and controversial problems of modern historical science. Quite often, there is an opinion that “objectivity” is necessarily a positive feature of any research, and therefore of a historical source, and “subjectivity” is a negative quality, since it expresses the views and ideas of an individual person – the author or a researcher of a historical source. In fact, a historical source is a carrier of diverse information that organically combines both qualities. The ability to distinguish between them, establish interactions between them, is one of the important components of the process of studying and using sources.

The objective-subjective nature of a historical source is important not only for source studies, but also for historical science as a whole. This is due to the peculiarity of historical knowledge, which consists in the fact that between the object of research (historical reality) and the subject of research (historian) there is a historical source – a kind of data bank about the past.

The main essential feature of a historical source is its ability to reflect real historical events, phenomena and processes. At the same time, it is extremely important to find out the interaction of objective and subjective factors in the formation of historical sources. Each source is subjective, as it is a result of human activity. On the other hand, a historical source is objective because it is capable of objectively reflecting historical reality. At the same time, a source not only reflects the facts of the past, but is itself a historical fact, a part of historical reality.

This interpretation of the nature of a historical source makes it possible to understand several important aspects of its essence. The content of a source is inextricably linked with historical reality, people’s actions. The source arises in the process of real human activity, which forms certain representations, ideas, judgments, values, etc. Human consciousness, culture, psyche are mandatory elements of creating a source. Therefore, modern source studies pay considerable attention to identifying and studying the processes of interaction and mutual

influence of objective and subjective factors, social and personal needs, which are manifested in the creation and functioning of individual sources and their complexes in the real historical process.

The ability of a historical source to reflect the past does not mean that this reflection is always reliable, adequate to real events. After all, the authors of sources are largely influenced by various factors of public and private life, a certain ideology and their own worldview, personal understanding of what is happening. In addition, an individual person is unable to grasp all aspects of his/her contemporary historical realities. Therefore, sources may reflect certain events incompletely, unreliably, and untruthfully. However, this does not reduce the importance of sources, since it is important for historians to establish the reasons for such a reflection of historical events, because the reality in the sources is reflected through the prism of individual consciousness, human feelings. In this sense, a historical source is an embodiment of the actually existing unity of objective and subjective, social and personal.

The organic combination of objective-subjective factors in a historical source manifests itself at all stages of its existence – in the process of creation and further functioning. It is important for a historian to find out the objective and subjective motivations for creating any thing of the past. No matter what areas of human activity we consider, there are always certain social needs (objective factors) that require the creation of certain products of human activity. At the same time, each product is created by a specific person or a group of people who embody a particular social need, social order in one form or another, according to tasks or own ideas, desires, level of giftedness, education, social status, etc. (subjective factors). The combination of social and personal motives in the process of creating sources is characteristic of each of them, regardless of their typology and kind. As an example, we can mention several outstanding things of the past, belonging to different groups of sources.

Objective-subjective reasons lead to the full or partial falsification of things of the past. Full falsifications include a wide variety of forgeries, and partial falsifications include interpolations, that is, falsified insertions into original

documents or removal of their parts. Public interests, as a rule, lead to the forgery of official documents regulating the relations of states, lands, social states, individuals, etc. Personal interests often lead to falsification not only of documentary sources, which is also a common phenomenon, but also of other types of things – works of applied and visual arts, narrative, historiographical sources, etc.

Thus, it is extremely important for historians-source scientists to study all the circumstances of the functioning of historical monuments at the first, a source-to-be stage, to establish those objective-subjective factors that influenced them precisely in this period, when an array of information was laid in the sources, which can later be used by historians for scientific purposes.

At the same time, each historian, choosing a certain research topic, always takes into consideration his/her own scientific interests, ideas, views, observations, etc. In the process of finding and studying historical sources, historians use their predecessors' experience, as well as develop their own methods, classification schemes, definitions of source studies concepts, enrich historical science in general and source studies in particular with their individual vision of the role and place of certain groups or individual sources in the source base of historical science. It is extremely important to exactly find out which objective and subjective factors influence the researcher in the process of studying sources and formulating certain scientific conclusions based on them, which can be well-founded or superficial, so that they bring us closer to the true interpretation of a source or distance from the truth.

#### **4. Source information**

One of the most complex modern concepts is the concept of “information”. In everyday usage, it means any message. For a long time, in human society there was an idea that only a person is capable of creating, receiving, realizing and processing information, i.e. presenting it in the form of knowledge. However, over time it has

become clear that information is not only social (i.e. that is created by a person and resides in human society), but also biological (for example, the movement of bio currents in the human nervous system) and technical (for example, the movement of electrons in electronic ray tube of the TV) <sup>2</sup>.

One of the important types of social information is that used by a historian and which is contained in various historical sources and obtained from them. Each historical source contains several layers of information that are deposited at different stages of its existence and have an objective-subjective nature. The complexity of the structure, the diversity of source information led to the development of modern methods of its classification and study from the point of view of the socio-philosophical doctrine of social information, which is understood as a set of knowledge used by society for its functioning and development (it can be considered as a set of applied knowledge).

According to M. Varshavchik, *source information* is a set of information types available in the source and stable connections between these types, which ensure its integrity and ability to serve as a basis for obtaining scientific factual knowledge <sup>3</sup>.

Any source contains a certain amount of social information, because at the first stage of its existence it was an element of information processes that took place in society. At the second stage, being the object of historical research, a source acts as a carrier of historical information, providing information about the content and nature of social and informational processes of the past.

The very fact that the source reflects the informational awareness level of people – social groups, collectives, individuals, whose activities are studied, proves its scientific value. Knowing the awareness degree of the authors of the sources, their ability to create and use information enables the researcher to reveal the motives and prerequisites of people's behavior, their actions, decisions, etc.

Source information consists of various types – economic, scientific, technical, political, cultural, religious, etc. Historians are interested in all the flaws of information. However, depending on the purpose of a specific historical study, each

historian decides what kind of information is basic for him/her and, accordingly, selects exactly those sources, or that part of them, that contain the information he/she needs. Thus, historians studying the political history of Ukraine pay the main attention to the study of documents of state institutions, political parties, movements, associations, works of political figures, etc. Historians specializing in the field of economic history first of all study documents of a statistical nature, materials on the history of individual enterprises, businesses, and banks. When studying the history of education, a historian must refer to the documents of the relevant ministries, pedagogical societies, educational institutions, works of outstanding teachers, etc. At the same time, historians also study those sources in which the type of information they need is not the main one. For example, when researching any problem in the history of Ukraine during the Soviet era, a historian cannot ignore the documents of the CPSU, which appropriated the functions of state administration and intervened in all spheres of public life. In addition, there are complex varieties of sources, in particular periodicals, which contain information of various kinds.

In order to increase the informative impact of a source and intensify scientific research, it is important to analyze a source information structure. There are several main types of source information – *open and closed (latent), hidden, direct and indirect, actualized and potential*.

**Open** information allows researchers to immediately find out what exactly they are working with – this is the form and content of a source. With regard to written sources, information related to the language and type of a source, the method of its creation, purpose, etc. is open. Every educated person can distinguish a legislative act from a letter, a manuscript from a printed text, Ukrainian from Latin. These are formal signs of open information. The same refers to the content: its literal meaning is what the document is about, what the author is talking about – these are content features of open information. Open information is extremely important in the process of classification of historical sources, in the implementation of specific research tasks.

At the same time, each historical source contains a significant layer of *closed* (latent) information, which can sometimes give a researcher much more scientifically valuable information than open information. Authors of various journalistic, memoir, and epistolary works often ignored reality, distorted or hushed up certain facts, and often came up with things that did not actually exist, etc. In such a case, it is important for historians to establish the reasons and motives that prompted the authors to represent the facts in such a way, i.e. to extract the hidden information of the source. Closed information may reflect the conscious intentions, the concept of authors, their ideological or political orientation, as well as their unconscious ideas, psychological state. The discovery of this information is not only an important condition for checking and evaluating the open information of a source, but also a means of establishing ITS plausibility. It has independent scientific significance for elucidating the motives behind the creation of a source.

Researchers often have to deal with *hidden* information from historical sources. It could arise intentionally, when the author of the source deliberately tried to hide reliable evidence due to various circumstances of public or private life. In the past, authors of political, journalistic, satirical and other works often hid their real names under pseudonyms. In general, pseudonyms were an extremely common phenomenon among representatives of the creative intelligentsia of all times and nations, so today there are many dictionaries of pseudonyms that can help a researcher determine the author of the source. To hide information, various systems of secret codes, conventional signs, ciphers, necessary for the transmission of secret information: certain data, rituals, actions, etc., were used. Each family had its own system of codes – nicknames, abbreviations of names, which makes it hard for contemporary researchers to understand personal letters content. Finally, it is necessary to mention the “Aesopian language”, which was quite common in the conditions of censorship oppression, which enabled the authors to say what they thought necessary, and at the same time avoid persecution.

*“Aesopian language” was understandable to contemporaries, but is incomprehensible today. For example, during the first revolution in the Russian*

*Empire, there was a joke: “Babies went on strike, shouting: “Get away romashka (the daisy)!”. A person could not be sent to prison, but everyone understood that it was about Mykola Romanov.*

Hidden information can appear in a source unintentionally, as a result of errors in the process of copying and rewriting. These are so-called technical errors, as a result of which parts of the text may be lost or dates, names, geographical names, etc. may be changed. In addition, for modern historians, unintentionally hidden information is the use of obsolete, not used and forgotten up to now terms, professional, industrial, economic, geographical names, etc. in sources. A bright example of this is the discussion about how to understand the term “mostnyky” (“bridgemen”) used in “Ruska Pravda”. Scientists agree that this is one of the construction and repair professions of the Kyivan Rus period, but they still cannot find out which one.

The information potential of a source includes such types of information as direct and indirect, or secondary. **Direct** information in a source is the information that directly relates to the researched problem, speaks about it directly. **Indirect**, secondary information indicates to the historian the way to search for other sources, in which the events and phenomena indirectly reflected in the first source would be covered directly, more fully. Secondary information prompts a researcher to search, to create complexes of sources necessary for solving relevant cognitive tasks, to implement a systematic approach to sources. In the case of identifying gaps in the sources, secondary information acquires special value, as it may be the only thing that will testify to certain facts of the past.

Many examples can be given when secondary information led to significant scientific discoveries. Thus, studying the history of the Grand Duchy of Lithuania, historians of the 19th century paid attention to the fact that in Polish chronicles, in particular in the chronicle of M. Strykovsky, Lithuanian chronicles written in the “Russian” (Church Slavonic) language are mentioned. Interested in this secondary information, the professor of the University of Vienna I. Danylovych in the 1820s of the 19th century began the search for ancient manuscripts in former Orthodox

monasteries in Belarus, where he later discovered the famous “Suprasl Chronicle” as well as three lists of the Lithuanian Statute.

Finally, important varieties of source information are *actualized and potential* source information. In order to understand their essence, it is necessary to understand how complex historical sources can be in terms of content. One source can contain a wide variety of information related to many aspects of human activity. For example, let’s mention annals – an inexhaustible source of knowledge about the medieval history of Ukraine in all its spheres: political, social, economic, cultural, religious for several centuries (for example, the “Ruskyi Chronicle” covers the events of the 6th-13th centuries). Undoubtedly, no researchers studying this or that problem of this period sets themselves the goal of analyzing all the information of ancient Ukrainian chronicles. They choose only those that give them the opportunity to comprehensively reveal the scientific question that interests them (for example, the genesis of princely power, the system of land ownership, the genealogy of the Riurykov family, the social and ethnic composition of the population, the formation of Christianity, etc.).

Summarizing everything said, it is necessary to emphasize that the development of the theory of the historical source remains a priority task of source studies. Other important theoretical problems of source studies are classification of historical sources, source analysis and synthesis (criticism of sources), problems of developing basic concepts, categories and terms of source studies, historiography of source studies, establishment of its internal structure and interaction with historical science, its special branches and disciplines, which will be discussed in the following chapters of the textbook. We note that the most common method of source studies is source criticism as a priority way of establishing the authenticity of the source, the reliability of source information, and obtaining scientific factual knowledge on this basis. In the process of source criticism, all specific research methods used by the historian are applied. First of all, those that have the character of general scientific analysis and synthesis, historical and logical, chronological and retrospective, etc. The historian also uses interdisciplinary methods, in particular statistical (including



statistical-mathematical, quantitative methods), sociological, etc. There are many special methods that are specific to historical knowledge: comparative-historical, synchronistic, diachronic, etc.

## **5. A historical research source base**

Along with the concept of a historical source, an important place in historical source studies is occupied by *the concept of a source base*, which is understood as a set of sources on which historical knowledge is based. S. Schmidt was one of the first to introduce the term “source base” (as opposed to the term “source knowledge base”) in the 1960s. According to the definition of M. Kovalskyi and Yu. Sviatets, a source base is a collection (system) of sources of various types, genera, species and varieties that accumulate optimal information about the historical process, phenomenon, event. The reference textbook on source studies of the history of Ukraine considers the source base as a collection of sources on which historical knowledge is based. It includes sources that are the product of human activity, as well as those that do not depend on it: natural, geographical, etc.

In its structure, a source base resembles the components of source information. It has two main levels: a) the original, or initial, source base, which was formed simultaneously with the events or shortly after them. As a result of natural disasters, social cataclysms, revolutions, military events, careless storage or purposeful actions, this initial base could be partially, or sometimes completely, lost; b) a real source base is a source corpus or complex of sources that has survived to this day.

A real source base is divided into two large subgroups: 1) an updated source base, i.e. historiographically assimilated through publications of an archeographic nature, analysis or citation in scientific studies; 2) a potential source base that actually exists, but is unknown to historians. It can be discovered, researched and made public. The real base is steadily enriched as a result of the search, discovery

of existing, but not yet known and not involved in scientific circulation sources, replenishment due to the creation of new monuments, which are deposited in the process of human activity. We are talking about a huge array of modern information, document circulation, periodical press, official and private correspondence, film, photophone, and video documents, memoirs and memories, materials of specific sociological studies, etc.

The outline and analysis of a specific problem source base, which is the subject of a course, bachelor, diploma, master or dissertation work, etc., is of great importance for the practice of scientific historical research. Regardless of their scope and purpose, each historian must adhere to the principle of a comprehensive study of the source base of the chosen problem.

Thus, the concepts of a historical source, source information, and a source base occupy an important place in the theory of source studies and historical science in general.

**LECTURE 3**  
**CLASSIFICATION OF HISTORICAL SOURCES FROM THE**  
**HISTORY OF UKRAINE. METHODS OF WORKING WITH**  
**HISTORICAL SOURCES**

**Plan**

- 1. The concept of source classification, its tasks and significance**
- 2. Classification features and criteria for classification of sources**
- 3. Basic schemes and models of the classification of sources**
- 4. Peculiarities of the classification of written sources**
- 5. Classification of sources from the history of Ukraine**
- 6. The concept of the methodology of historical source studies**
- 7. Stages of working with sources**
- 8. Methods of searching and identifying sources**
- 9. Study of sources. Source criticism**
- 10. Transition to analytical criticism as the beginning of the scientific use of researched sources**
- 11. Methods of working with mass sources**

**1. The concept of source classification, its tasks and significance**

Classification of sources is objectively conditioned by two main functions of source studies: heuristic and analytical. The heuristic function provides search, identification of sources, orientation in them (which is especially important, considering their diversity), study of the totality of certain groups of historical written monuments related to individual countries, regions or eras. The analytical function consists in the development of methods for analyzing historical sources, identifying the necessary information in them, and checking its authenticity.

If we consider the source base of historical research as a system of information carriers, a collection of objects of knowledge, then the need to divide them into certain classes and subclasses is obvious being an indispensable condition for the scientific analysis of each of them. In science, “class” means a certain number of objects or phenomena characterized by common features. The grouping of objects according to the most significant features or their totality is called natural classifications. In this way, they differ from “artificial” classifications, which are based on other characteristics determined primarily by practical goals. Natural classifications belong to the schemes of relatively long-term use in science or practical activity.

In relation to historical sources, natural classifications are based on the detection of internal related features that are formed as a result of the laws of source objects origin. Artificial classifications are carried out according to external features that do not reflect the quality of objects, but help to logically organize these objects (paper, books by alphabet in libraries, archival funds by numbers, etc.).

At first glance, it may seem that the classification is reduced to a mechanical grouping of sources and that it has no significant meaning for the historian. In fact, this is an extremely important and responsible procedure of a theoretical, methodological and logical nature, one of the research methods, which is of great importance both for the identification, study and use of sources, and for the organization of the researcher’s next cognitive activity, mastering source information. So, the peculiarity of the sources classification as a scientific method is that it relates to the theory and practice of source studies, covers the main stages of working with sources, and is based on the very nature and character of sources.

Modern source studies considers the *classification of sources as the division of their entire bulk into groups based on a certain essential common characteristic peculiar to each group*. Classification work helps to identify the most characteristic features of sources, their recurrence, to establish certain regularities and features of the formation of sources and, on this basis, to justify the choice of methods of their processing and use.

The task of classifying sources is to, firstly, develop general principles of their distribution into classes, types, genera, kinds, varieties; secondly, to identify specific features of sources as criteria of their kinship; thirdly, based on these features, to group the sources into certain groups and in this way ensure a differentiated approach to each of them, the selection of appropriate methods and techniques for processing various sources. Identifying the most characteristic and recurring features of sources makes it possible to learn and establish the regularities of their formation.

***The main principles of source classification are objectivity, historicism, scientificity, connection with research and pedagogical practice.***

Thus, the classification of sources is an important tool for their systematization, internal division according to certain characteristics, it is a method of deepening their cognition, a means of increasing the informative capabilities of sources. Classification helps to identify the place of the source in social life, to find out, so to say, its pre-source, that is, official or functional status. For example, before becoming a research source, Universals of the UNR Directory performed administrative or regulatory functions in the Ukrainian People's Republic. Historians should always take into account this circumstance (the functional purpose of the documents). The importance of classification is determined by the fact that it makes it possible to form groups of related sources based on common features and, accordingly, to select optimal methods of their use and research.

## **2. Classification features and criteria for classification of sources**

***The concept of a classification feature is related to the identification of the most essential, main feature of the source.*** If you take the entire totality of historical sources, their entire corpus, you can find a number of common, related or similar features of all sources, most of them or a separate part. Such common features are the natural-historical origin of sources, their subjective-objective character, common forms of information coding. While clarifying the dominant features that can be used

as a basis for classification, several preliminary caveats should be expressed. It is primarily about moving away from a narrow interpretation of historical sources, referring to them not only those that are the result of human activity and most fully reflect the historical process (monuments of material and spiritual culture), but also those that existed or exist independently of purposeful human activity and determine the development of social life, influence the course of the historical process and if these sources are not taken into account, the process cannot be reconstructed in full. They are the natural and geographical environment, climate, minerals, ecology, natural disasters (floods, landslides, earthquakes), technological catastrophes, etc. Therefore, these seemingly extra-historical phenomena in the context of the sciences of nature and society integration acquire a historical character and require relevant sources for research.

If we take the influence of man on the natural environment and vice versa as a criterion, then the circle of sources of the natural and geographical environment can be divided into two groups: those that influenced and influence society, but were not themselves influenced by man, and those that reflect the traces of human activity ( artificial reservoirs, canals, new riverbeds, new varieties of plants and breeds of animals, etc.). It is impossible to find out a person's biophysical and biopsychological development, the evolution of human communities, trace the influence of nature on the people's social life, and the mutual influence of nature and society without the study of natural factors.

Sources of historical origin, i.e. created in the process of human activity in the past and thus called historical, dominate in the historical science source base. They are presented in the form of material and spiritual culture monuments, remnants of past life, and documentary evidence of the present. This main class of sources is characterized by a number of features on the basis of which it is possible to distinguish related groups and study them accordingly. These related features refer to such criteria as the source origin, its authorship, form, internal organization, structure, content, and method of encoding information. The choice of one or more criteria and corresponding features of the sources is of decisive importance for the

characteristics of the classification scheme and depends on the purpose and tasks of the research, on the ontological study of the sources.

### **3. Basic schemes and models of the classification of sources**

The value of the scientific classification scheme lies in the fact that identification of the primary, not secondary, features of similarity, kinship and grouping sources on their basis make it possible to apply the same or similar research methods and techniques to them. It should only be borne in mind that the same characteristics are viewed as primary in one research tasks, while they are secondary ones in others.

*The concept of a classification scheme or model is understood as a set of certain parameters of the grouping of sources according to selected dominant features for the purpose of their thorough research and obtaining the most complete and most reliable information.*

As it has already been mentioned, science distinguishes two main types of classification – natural and “artificial”, or auxiliary. In source studies, the natural classification of sources is more widely used, and it is based on the principles and criteria developed by the science and practice of source studies.

Despite the fact that any division of sources into classes, types, nature, kinds, varieties, etc. should be based on related features of their similarity, this does not mean that science has developed a universal scheme of classification.

All existing in modern source studies models of grouping sources are relative, flexible and depend on the subject of research, its purpose, tasks, nature and peculiarities of the source base itself. At the same time, source studies based on the theory and practice of classification has developed general requirements that any classification scheme must meet:

- it should be specified by the source base nature, determined by the peculiarities of the historical era, elements of which are certain objects, and thus

contribute to the discovery of new groups of sources and their addition into the general scheme;

- organically derive from the purpose and tasks of the research, its subject matter, the specifics of research, educational or scientific and educational work;
- contribute to obtaining the most complete and reliable source information;
- take into consideration the researcher’s experience in source studies and the level of training of people who master historical knowledge.

Based on these requirements, the following types of the classification of sources can be proposed.

### **Types of the classification of sources**

<b>Typology</b>	<b>Types of sources</b>
According to the method of information encoding and reproduction	Material
	Verbal (oral and written)
	Figurative
	Sound (phonic)
	Behavioral
	Conventional and others
According to the content	Socio-economic (economic)
	Political
	Lawyers
	Cultural
	Religious, etc
According to the origin	Individual
	Collective
	According to the founder, etc.



According to the chronological and geographical feature	Historical eras, periods
	Regions, countries, etc.
According to the form	Buildings
	Annals
	Pictures
	Movies, etc.

### Classification according to the kinds of sources

<b>Artifacts</b>	<b>Written</b>	<b>Audio</b>
remnants of people	acts	gramophone
tools of work	letters, agreements	magnetic
tableware	questionnaires	laser
jewelry	treatises, novels	electronic, etc.
weapons, etc.	letters, etc.	

The classification according to the nature and kind can be applied to audio sources as well. It is quite common to distinguish phono documents, which include gramophone, magnetic, laser and other recordings of spoken language, song and musical works. Despite their certain originality, they have a common related internal

structure and form of information transmission. Coming across this type of sources, a historian must first of all determine the authenticity of the phono record, its authorship, and the time of creation.

#### **4. Peculiarities of the classification of written sources**

Taking into account the significance and leading role of written sources in historical science, we will consider some approaches to their classification in detail, and find out their features. The determining criteria for the classification of written sources is their nature, content and form. On the basis of these criteria, we distinguish documentary and narrative written sources, and among them there are such main types as: acts, official records, statistical documents, memoirs, letters, diaries, scientific, scientific and informational, popular scientific and educational literature, works of art, and periodicals. It is worth noting that literature acts as a source of a special purpose: historical and historiographical.

Each type of written sources has a related form of presenting information, which is largely determined by its nature, content and purpose. If we take into consideration such a feature of written sources as origin, then they can be conventionally divided into sources of collective and individual (personal) origin. It often happens that a historian deals with a source whose origin is connected with the activities of large social groups, authorities, political parties, public associations, and movements, and in this case, it is relevant to find out to what extent it reflects its creators' moods, aspirations, and views.

Acts, laws, decrees and other official documents are mostly grouped by their purpose and place in socio-political, socio-economic and cultural life. Official documents of higher governing institutions and administrative bodies, which determine the content and directions of state policy at one or another stage of social life, have a certain internal affinity. A certain specificity is characteristic of diplomatic acts – international treaties, agreements, notes, letters of credit, messages,

statements, declarations, etc. This specificity can be traced both in the very content of documents devoted to foreign policy and international relations, and in the form that corresponds to the diplomatic protocol and established international rules. A separate group of official documents contains clerical and forensic materials, which always have a personalized character, reveal certain biographical facts, and reflect the legal system of a particular country or a certain historical era.

According to the intragroup principle, works of political, scientific and artistic literature as one of the written sources components are distinguished. Political works are mostly represented by books, brochures and articles, and in terms of their content and method of presentation, they are very close to journalism, besides, they are distinguished by a more thorough, reasoned approach to highlighting problems. The source value of political works is twofold. On the one hand, they contain a generalization and understanding of mainly current events, their evaluation and can be a source of historiography, the study of the history of the historical and political thought formation. On the other hand, the analysis of their thematic orientation, author's point of view and evaluations of certain events and phenomena of our time gives an opportunity to obtain additional information about the society political life. Political literature, as well as other written sources, needs criticism, having in mind the fact that it bears a deeper imprint of subjectivism than other official documents.

## **5. Classification of sources from the history of Ukraine**

The theoretical and practical approaches to the classification of sources, the most common classification schemes and models considered in this section fully apply to the classification of sources from Ukrainian history. At the same time, the history of each people, each state has its own characteristics, related to their originality and uniqueness, with the specificity of the source base itself. The history of Ukraine is based on a fairly wide and diverse source base, the main groups of which are presented in the first chapter of the second part of our textbook. Here we

will only highlight that the selection of the main types and the most common classes and kinds of sources according to dominant-related features is an indispensable condition for their study and the basis of a thorough and comprehensive study of the history of the Ukrainian people from ancient times to the present in the context of world history.

It is also necessary to pay regard to some specific historical features of the formation of the Ukrainian history source base. These features are related to both temporal (chronological) and spatial-geographical factors. The sources of the ethnogenesis of Ukrainian history date back to ancient times. Archaeological monuments testify how and when early men developed the current territory of Ukraine, the way ethnogenesis took place on Ukrainian lands. We can see the historical remains of the Paleolithic, tools made of flint and mammoth bones, traces of the oldest settlements of Trypilska, Chernyakhivsk, Mizynsk and other cultures. The tribes of the Cimmerians, Scythians, Sarmatians, Huns, and Goths left artifacts of the most ancient agriculture, cattle breeding, goldsmithing, pottery production, and weaponry. We have a large layer of artifacts about our immediate ancestors: Ante, Polyan, Derevlian, Volhynian, and Severian. The princely era of Ukrainian history gave us not only material, pictorial, oral, linguistic, but also written sources. All of them testify to the autochthony of Ukrainians, human life expectancy and continuity on their ethnic territory, which covers a long historical period from the Nativity of Christ to the beginning of the third millennium. That is why the temporal (chronological) approach to the classification of sources from the history of Ukraine occupies an important place in the process of their grouping. The periodization of the history of Ukraine accepted in modern historiography may become its basis. We are talking about such milestones as the most ancient times, princely times, Cossack times, the period of the Ukrainian land division between two empires, the times of the Ukrainian revolution, the First and Second World Wars, the times of totalitarianism, the period of restoration and strengthening of Ukraine's state independence. Each of these milestones corresponds to adequate sources of different

types, nature, kinds, forms, etc. Any classification scheme must consider changes depending on the historic era.

Other important factors in the classification of sources are natural and spatial-geographical ones. As a result of specific historical conditions, the source base of the history of Ukraine was formed on the motherland, i.e. on the ethnic territory of Ukraine. Even when its lands were dismembered and temporarily included in other states (Poland, Lithuania, Russia, Hungary, Romania, Austria), the process of source creation acquired peculiar features, but was not interrupted. Unfortunately, many unique material, pictorial, written and other sources were taken to the metropolises, stored in museums, libraries, archives, and private collections there, and many of them were destroyed. A significant part of historical sources is still outside the national territory of Ukraine, especially in Russia, and their return is one of the urgent issues of national importance. A significant layer of sources from the history of Ukraine is related to the activities of the Ukrainian diaspora, both Western and Eastern. These sources reflect not only the history of all waves of Ukrainian emigration, but also the life of the diaspora, its socio-political, cultural and scientific centers, publishing and educational centers. Valuable verbal and other written monuments continue to be preserved in the libraries and archives of the Ukrainian Free University, the Ukrainian Free Academy of Sciences, the Museum of the Liberation Struggle, other Ukrainian studies centers, and private collections. After the restoration of Ukraine's independence, the return of archival and other sources to the historical homeland was initiated. The archive of the UNR Government in exile, the so-called Prague archive, the archives of V. Vynnychenko, O. Oles, and others have already been returned to Kyiv.

Therefore, a researcher of one or another era of Ukrainian history, of any sphere of life of the Ukrainians, discovering, studying and systematizing sources, will inevitably face the problem of their classification. Taking one of the common classification schemes as a basis, depending on the topic and tasks of the research, a historian must necessarily take into account the mentioned temporal (chronological),

natural and spatial-geographical factors of the formation of the source base of the Ukrainians' history.

Summarizing what has been said about the classification of sources, it is worth noting that this is not a formal procedure, but an important theoretical and methodological task, one of the research methods of processing sources, which contributes to clarifying the nature and origin of the source, its objective and subjective nature, and structure. All existing classification schemes are based on the priority of certain features of kinship of sources, and therefore have a rather conditional character. The choice of classification schemes is not an end in itself, but an objective necessity. The determining factor is always the problem of scientific research, its purpose and tasks, structure and nature of the source base. The perfection of the classification scheme, its compliance with the tasks of a specific study, as well as how skillfully a historian applies this scheme, is an important prerequisite for the successful achievement of the set goal.

The general rule of any historical study of the work should be the justification of the reasons for choosing one or another model of the classification of sources and the corresponding characteristics of each of the selected groups in the source studies introduction part. This is an indicator of scientific culture, one of the criteria for the level of research, which significantly affects its effectiveness and evaluation.

## **6. The concept of the methodology of historical source studies**

*Methodology of source studies is a system of methods, i.e. techniques, tools and rules for carrying out the entire complex of works related to the search, identification, selection of sources, their comprehensive critical analysis, establishing the reliability and informative value of the source, as well as its subsequent use for the purpose of obtaining scientific verified information about the past of human society in all its manifestations.*

The most common form of information expression is oral and written language. Written sources were and remain the main type of sources for a historian (with the exception of certain specialties, such as archeology, ethnographers, etc.). That is why the problems of the methodology of working with them occupy a priority place in the historian's work. However, absolutization of written sources should be avoided. Representatives of one of the most authoritative historical schools – the Annales school (L. Febvre, M. Bloch, etc.) believed that a source for a historian is everything that indicates the presence of a person in the historical process. So, it can be concluded that a historian must have skills to work with all types of historical sources.

### **Methods of source research**

<b>General Scientific</b>	<b>Historical</b>	<b>Source Studies</b>
Analytical	Historical-comparative	Critical
Synthetic		Heuristic
Logical	Chronological	Metrological
Historical (retrospective)	Synchronistic	Archeographic
Mathematical	Diachronic	Iconographic
Illustrative	Typological and others.	Paleographic and others.

For many years, the issue of the interdependence of the methodology of source studies and the methodology of history, as a system of principles and foundations of theoretical and practical activity of a historian, has been discussed in the scientific literature. And this is natural, because the source does not mechanically reflect reality, but reproduces it through the prism of the perception of events by the author

of the source. Historians have long noted the existence of a certain bias in the sources of the authors, compilers or copyists of texts in the coverage of events. Back in the 19th century M. Kostomarov pointed out the need to take into account not only the factual material of the source, but also its author's tendency. This also applies to the oldest chronicle sources. According to O. Shakhmatov, an outstanding connoisseur of ancient Russian chronicles, 'the hand of the chronicler was guided by political passions and worldly interests.' A historian is required to find and use such means of sources analysis that would make it possible to extract objective information from them.

On the other hand, one cannot reject the influence of worldview and moral guidelines of a historian working with the sources on the interpretation of the written monuments of the past. As it has already been mentioned, a researcher's political or ideological involvement can lead to the fact that he/she does not notice important information in the sources and, on the contrary, "sees" what is not there. Thus, the party-class approach to the analysis of sources, which was put forward by Soviet source studies in the foreground, led to the fact that some sources and even their complexes fell out of the researchers' views, while others were so prepared that their content was impoverished or distorted. The indiscriminate introduction of the principle of party-class approach to the evaluation of authors and the content of sources by Soviet source studies caused enormous damage to Ukrainian historical science.

So, the collective efforts of source studies scholars of many generations have created a rather streamlined system of source research, generalized by the methodology of source studies: the main tasks and stages of the historian's source research work were defined, their content, general laws, principles, techniques, rules, methods of obtaining from sources not only open, but also closed and hidden information were formulated.



## 7. Stages of work with sources

It is very important for historians to clearly realize and follow the sequence in working with sources, because the effectiveness and quality of their research depends on this. Scientists express different opinions regarding the number of stages in working with sources: some distinguish five stages (M. Varshavchyk, A. Nikolayieva), others identify six ones (V. Strelskyi). The stages are named differently as well. That is explained by several reasons.

Firstly, this issue is not sufficiently researched, in particular, there is a lack of scientific substantiation of the criteria for selecting one or another stage. Is it necessary, for example, to highlight the source re-creation stage? Indeed, historians sometimes have to deal with this question. Academician O. Shakhmatov, while working on the ancient annal compilation “Povist vremennykh lit” (“The Tale of Bygone Years”), carried out the re-creation of this outstanding written monument. But in practice, historians and philologists rarely resort to the re-creation of written sources, since it is a complex process that requires high erudition and long-term work. In addition, the re-created written monument loses the original source features. Thus, the stage of source re-creation may not be singled out in the historians’ routine work, although it is sometimes called so.

Secondly, in a number of cases, the scientific approach to defining stages is replaced by conjunctural considerations. In Soviet times, it was necessary to distinguish the stage of class analysis of sources. It was a kind of tribute to the principle of partisanship, which was ideologically obligatory for all historians, regardless of the field of their activity.

Thirdly, sometimes they confuse the stages of source studies scholar’s work on a specific source and on a complex of sources on a certain problem, although the latter concept is much broader. In our opinion, the following most important stages can be distinguished in the historian’s work on sources:

- search, identification and preliminary selection of sources for further work with them;

- classification of sources (see section IV);
- research of sources, their analytical criticism;
- synthetic criticism and scientific use of researched sources.

Each of these stages also has its own structure, which should be clarified in detail.

## **8. Methods of searching and identifying sources**

The quality and effectiveness of any historian's work depend to a decisive extent on the completeness and quality of the sources he used. Therefore, the historian's professional duty is to know the research source base. As it is mentioned above, the research source base consists of sources that have already been introduced into scientific circulation (that is, published) and those that have not been used in scientific works yet. The mandatory rule of searching for sources is that it should start with published sources on the topic, i.e. with the study of the bibliography. This process includes:

- familiarization with the textbook bibliography in the course of working on the scientific literature on the research topic;
- working with library catalogs;
- viewing bibliographic indexes.

When starting work on the topic, first of all a researcher turns to the publications of his predecessors (if any), as well as generalizing works that can become a starting point for researching the problem. Already in the course of this work, the historian gets the first ideas about the circle of sources that may interest him. However, the main bulk of published sources can be found only on the basis of a targeted bibliographic search, work with catalogs, as well as with current and retrospective bibliographic indexes of published books.

In scientific libraries there are several catalogs: alphabetical, systematic, reference, special (publications in foreign languages, periodicals, etc.). Researchers

turn to the alphabetical catalog when they already have the titles of the required books. A systematic catalog is used to search for sources on a specific topic.

When starting research and bibliographic work, you should have an idea about the types, kinds and forms of document editions adopted at different times. Among the three types of document publications (scientific, popular science, and educational publications), scientific publications are of greatest interest to the researcher.

The types of documentary publications are quite diverse: collections, thematic, documents of a certain type, of one person. According to the form and method of issuing documents, they can be divided into the following groups;

- corpus (collection) of documents;
- series of documents;
- collection of documents;
- mono-edition (the book is devoted to one source);
- album;
- poster;
- publication in periodicals;
- publication in appendices to scientific or popular scientific works;
- publication in the text of a scientific or popular scientific work.

## **9. Study of sources. Source criticism**

The level of reliability of the historical sources used by the historian, their value is not the same. Since sources reflect reality by mediated through the author's consciousness, they all require a critical approach. However, in Soviet times, there was an opinion that some sources did not need critical analysis. They included, in particular, resolutions of congresses and other governing bodies of the CPSU, works of classics of Marxism-Leninism, etc. Modern historical science has resolutely

rejected such a non-scientific approach, since all historical sources without any exception must be subject to scientific source criticism.

Certain objective and subjective obstacles and difficulties often arise on the way to scientific knowledge of sources. Most often, one has to deal with such objective difficulties as incompleteness, dispersion of sources, multi-step transmission of facts and events in them, uncontrollability of some links and censorship filters in the transmission of historical information, as a result of which it is sometimes difficult to establish even those factors that led to distortions of facts in the sources. As for the subjective obstacles, personal bias, historians' ideological commitment, limitations of their knowledge or abilities (for example, lack of historical culture, special knowledge, intuition) pose a special danger for scientific analysis. To overcome these obstacles and ensure an objective analysis of sources, it is important to remember several mandatory rules.

*Firstly*, the source cannot be studied in isolation from the specific historical reality in which it arose. All sources bear the imprint of their time, the era in which they appeared. Each of the sources is called to life by certain conditions, motives, reasons, tasks, and goals. The same person, under different circumstances, can create documents or works that differ significantly from each other not only in form, but also in evaluations. Moreover, the sources appeared at different times in relation to the events: at the time of the event, in its immediate aftermath, or many years later. And all this affects the quality of information and the level of credibility of the sources.

*Secondly*, it is important to know the history of the source text, the circumstances of its creation, because in the process of working on it, there may be many lists, variants, and revisions. Therefore, it is appropriate to study the history of publications of the source (if there were any), to find out, in particular, by whom, when and for what they were carried out, whether the source was intended for publication immediately, how many editions it has, what changes were made to each of them, etc. One should also take into account the fact that in the history of Ukraine there were many periods when all information was subject to censorship. This had a

negative impact on the sources, often leading to the emasculation of their original content.

*Thirdly*, in the process of working on the source, it is necessary to study not only its origin and text, but also the critical literature dedicated to it. First of all, this applies to the most ancient sources, for example, chronicles, as well as sources of personal origin.

*Fourthly*, the degree of scientific study of the source by previous researchers should be paid attention to. In addition, some of the sources are very difficult to master, they often require special source studies, restoration, bringing the written monument to an appropriate condition to be used by historians. Thus, the world-famous historical written monuments “Povist vremennykh lit” (“The Tale of Bygone Years”) and “Ruska Pravda” were the objects of source-study analysis by specialists of many generations, who investigated their origin in different ways, established the level of authenticity and reliability as a source. Using these, at first glance, well-studied sources, contemporary historians can give them their own interpretation, notice in them information opportunities that have not been discovered yet, because each researcher, based on his/her own idea, extracts from the source and analyzes the material that interests him/her, applying the latest research tools and methods.

Source literature contains many attempts to develop principles, methods and criteria of scientific criticism of sources, substantiation of a system of logical procedures, techniques, using which a historian is able to establish the real value of each source. And although the authors approached their formulation in different ways, some general rules and criteria of source criticism can be singled out, which may be applied to all sources, regardless of their types, kinds, time of creation, historical origin, and which are mandatory for researchers. The complexity and diversity of the sources themselves and the information they contain, the presence of not only direct, but also hidden, indirect information in them require the use of the entire complex of methods and techniques acquired by science and practice for their analysis. Source criticism accumulates several groups of methods:

- general scientific (analysis, synthesis, historical, logical, retrospective, chronological);
- interdisciplinary (statistical, specific social studies);
- general historical (historical-genetic, historical-chronological, historical-comparative, historical-typological, historical-systemic);
- special source studies (textological and paleographic study, etc.).

Analytical criticism is related to the historian's work on a specific source. It includes a complex of mandatory elements, among which the following can be singled out:

- determination of the external features of the written monument;
- proving its authenticity (authenticity);
- reading the source text;
- establishment of time, place, authorship, circumstances and motives of origin;
- interpretation of the text;
- determination of the source's plausibility, its reliability, scientific significance

One of the most important components of reliability is the authenticity of the source, in other words, whether this source can be recognized as a valid testimony of certain historical phenomena and events. Determining the authenticity of a source depends on many factors, primarily on how chronologically and spatially the source coincides with the events described in it. As a rule, the most authentic sources are those that accumulate information obtained from direct participants or eyewitnesses of the events at the time of their occurrence. But some periods of history are almost not represented by such sources. For example, the first authentic chronicles relating to the early history of Ukraine have not survived to our time, and this complicates the analysis of chronicle summaries created later. It is not all that simple with the sources of new and modern times. A lot of historical sources have been deposited in archives and printed publications, which researchers mistakenly refer to as authentic documents. In particular, we know many falsified B. Khmelnytskyi's universals.

Polish authors created them with the aim of compromising the prominent hetman; the Cossack chronicler S. Velychko, on the contrary, created them to glorify him. In “The Tale of the Cossacks’ War with the Poles”, not having B. Khmelnytskyi’s real documents at hand, S. Velychko himself composed the text of several of his universals. Other authors also created universals (in order to obtain certain privileges, etc.).

One of the elements of working with the source is the evaluation of its completeness, which is understood as the ability to reflect the essential aspects of certain historical events and phenomena. Establishing the level of completeness is achieved primarily by comparing and contrasting the content of the studied source with others already known to science.

In the same way, the informational novelty of the source is evaluated – the presence of information in it that is absent in already known sources included in scientific circulation. However, conclusions about the novelty of the source should be made very carefully, because for this it is necessary to have information about the content of all sources known to science on a given topic or problem.

A comprehensive analysis of the source content will enable the researcher to draw a conclusion about its representativeness, i.e. the ability to correctly reflect the historical object as a whole even with partial information.

## **10. Transition to analytical criticism as the beginning of the scientific use of researched sources**

Analytical criticism of each individual source is only a stage of its source research, it organically develops into synthetic criticism, the purpose of which is to form a set of scientifically verified information. After all, facts turn into knowledge only when connections are established between them, when they are built into a certain cause-and-effect system. Randomly selected and used facts, even from verified sources, give rise to illustrativeness, descriptiveness, lead to attempts to

mechanically confirm the researcher's previously prepared schemes and biased conclusions.

The researcher's goal in working with sources is to obtain a set of facts, and for this, it is necessary to use not individual sources, but the optimal number of them – a collection, a complex. This involves the historian establishing objective connections between individual sources included in the complex, the systematization of source information, during which each source is compared with others and receives an appropriate rating. This approach makes it possible to avoid overestimating the value of some sources, to objectively determine the place and role of each of them. In other words, in working with sources one cannot be limited only to analytical criticism, which has some of the sources as its object and extraction of some facts as the goal. It is necessary to move further – to synthetic criticism, which has a complex of sources as its object, and obtaining a set of facts as its goal. Synthetic criticism makes it possible to evaluate the entire complex of sources on a certain topic in their interrelationship, interdependence, to reproduce the integrity of not only a single source, but also a complex of sources, as a kind of cultural phenomenon of the corresponding time.

The representativeness of a set of sources depends on the nature of the historical events they reflect. If even single sources can be representative for one-time acts of history, then heterogeneous sources must be used to characterize large events and processes. When it comes to long historical processes, it is necessary to involve mass sources with their processing using modern methods. Thus, the choice of the optimal number of sources necessary for objective coverage of events depends primarily on the nature and scale of these events.

## **11. Methods of working with mass sources**

A characteristic feature of the historical science development in the last decade is the widespread involvement of mass sources from socio-economic,



political history and spiritual life of society in researches. Thus, greater attention to the development of methodological basis for their use is required.

Complexes of sources from a certain problem or period of history are called mass. They have essentially the same features and characteristics (ordinary origin, homogeneity of the content, uniformity of the form), but they differ from one another in terms of quantitative indicators.

The ordinariness, i.e. the sameness of the circumstances of the sources origin, is due to the fact that complexes of mass documents appear as a result of pre-planned mass actions: conducting censuses, surveys, sociological studies, questionnaires and interviews of participants of various kinds of mass events.

The second characteristic feature of mass sources is homogeneity, repetition of content. For instance, if a survey of peasant households was carried out, then the content of all materials will be devoted to this problem.

The third feature of mass sources is the uniformity of their form. Censuses, surveys, questionnaires, etc. are carried out according to forms (census letters, questionnaires, etc.) that have a clearly defined structure. Sometimes multiple examinations are conducted after a certain time according to the standard form. Uniformity of the forms significantly simplifies the subsequent processing of the received information, its analysis, and comparison of data received at different times.

Informational richness of mass sources due to their mass nature, and temporal proximity to the facts reflected in them, i.e. their primary nature, create favorable conditions for their use for the purpose of characterizing the typology of social phenomena, and revealing historical regularities. The value of sources lies in the fact that they characterize the state, structure, and features of such objects of reality that form certain systems.

Mass sources began to accumulate in Ukraine in the Middle Ages. Economic descriptions of cities, castles, estates (so-called inventories, regular descriptions, lustrations) left behind large masses of information on the history of Ukraine in the 15th-18th centuries. In the 19th-20th centuries the significance of mass sources

increased greatly due to the periodical press development, the distribution of proclamations, leaflets, appeals, regular censuses of the population, land holdings, industrial and agricultural enterprises, and later sociological studies.

Historians showed interest in mass sources as early as the 19th century. But they could not physically cover the huge amount of gathered stuff. The limited possibilities of statistics, the imperfection of then existing methods of processing mass information became an obstacle to the wide involvement of this type of sources in historical research. Numerous censuses of the population, industry, agriculture, zemstvo-statistical yard surveys of peasant farms became the object of research only in the 20th century.

The method of working with mass sources has its own specifics. Scholars of source studies believe that it is impossible to create a single methodology for the study of all types of these sources, since each of them has its own peculiarities of encoding information, and limits of informativeness. In addition, every historian, working with mass sources, sets himself specific goals arising from his ideas. However, some aspects of the methodology of working with mass sources are of a general nature. In working with them, in particular, several tasks should be solved step by step:

- when starting work, it is worth outlining the scope of each complex of mass sources on the topic of research, in order to find out the degree of their representativeness, probability, and the possibility of data comparison;

- to study the origin, purpose and history of the form, on the basis of which certain mass sources arose. For example, population censuses in the Soviet Union were conducted according to the census sheet, which was gradually improved in accordance with the requirements of mathematical processing and the growth of information requirements, while maintaining its basic structure. The All-Ukrainian population census of Ukraine in 2001 had an even more distinct “electronic” orientation;

- to determine specific methods of information processing depending on the purpose of the research, the volume of mass sources, the specifics of encoding

information in them. This work is usually carried out by a historian together with specialists in mathematics, so most of the modern source studies works devoted to mass sources are written by historians in co-authorship with mathematicians.

The specifics of working with mass sources necessitated the development of a special methodology for their analysis, which prompted historians to turn to quantitative (mathematical) methods. Unlike descriptive methods, these methods make it possible to determine the quantitative parameters of certain properties or features of historical phenomena. Moreover, turning to mathematical methods made it possible to shift the focus from the study of individual historical events and processes to the study of historical-typological structures (ethnic-national, social structure of society, property, agrarian relations at different times, etc.), as well as to the disclosure (through statistical trends) of patterns of mass social phenomena.

Throughout the centuries-old history of science, researchers have created a huge arsenal of source science methods and techniques. Today, historians effectively use methods that were born not only in historical science and its special disciplines (paleography, diplomacy, metrology, chronology, textology, sphragistics, heraldry, etc.), but also in related sciences, primarily in sociology, statistics, mathematics, and cybernetics. This gives an opportunity to significantly enrich and improve the historians' scientific toolkit, to actively include a huge volume of previously inaccessible mass sources in the circle of their scientific searches.

**CREDIT 2**  
**MAIN GROUPS OF SOURCES FROM THE HISTORY OF**  
**UKRAINE**

**LECTURE 4**  
**MATERIAL SOURCES**

**Plan**

- 1. General overview of material sources from Ukrainian history**
- 2. Numismatic sources**
- 3. Architectural monuments**
- 4. Weapons**
- 5. Clothing**

**1. General overview of material sources from Ukrainian history**

An important place in the source base of the history of Ukraine is occupied by material sources, that is, those objects that preserve historical information about the past and primarily reflect people's production and creative activity. Material sources are often referred to as objects of material culture.

Material sources are the oldest in the source base of historical science. Fossil objects, which are studied primarily by archeology, constitute a separate complex among them. As a result, some historians call material sources archaeological, although this term is much narrower and can only be applied to sources studied by archaeology.

Material sources are extremely diverse and numerous. General and special classification signs such as time, origin, purpose, form and content, scientific or artistic value, production method, style, etc. are used to group them. Based on these features, the main groups, types, and kinds of material sources are distinguished,

which is important both in the general scientific aspect and in each specific case of studying and using material sources in historical researches. General principles of source criticism are applied to material sources, and special methods of their research considering the specifics of this type of historical objects are developed.

The most widespread is the division of material sources according to their functional purpose into two groups – means of production (from the oldest tools to modern technological devices) and results of production (household items, buildings, weapons, clothing, medical and musical instruments, etc.). These two groups are divided into corresponding types. The main types of means of production are certain groups of objects (tools) that were used to process certain natural materials and manufacture from them objects and things necessary for man. The first primitive stone tools used for thousands of years also belong to this group. The first natural materials that man learned to process and make perfect tools of for that time were stone, bone, and wood. The study of these sources makes it possible to trace how, with the development of production, its tools were also improved. Over time, such types of material sources as metalworking tools, construction equipment, mechanical devices, etc., have developed. Each type, in turn, is divided into subtypes, and kinds. Material sources are also classified according to the nature of the material they are made of, for example, stone tools, wooden structures, earthenware. Metal objects, as a rule, are distinguished by metal – copper, bronze, iron, silver, gold, etc. Establishing and studying the material the source is made of is mandatory in the process of source criticism not only of material sources, but also of all other types of sources.

Material sources are distinguished by origin. These are primarily objects of local (autochthonous) and foreign (allochthonous) origin, personal or collective, of a certain cultural and ethnic origin.

As well as other types, objects of material culture are classified according to a chronological feature, in particular, sources of the Paleolithic era, the Middle Ages, modern times, etc. At the same time, combined classification schemes are often used (Ukrainian weapons of the Cossack period, etc.).

Often, in objects of material culture, features of several sources are organically combined: physical, verbal, and pictorial. For example, there is a significant complex of epigraphic sources, that is, inscriptions on solid objects – stone, metal, glass, clay, etc. Inscriptions and images are preserved on natural rocks, stones, walls of monumental structures. They are organic elements of coins, medals, seals, etc. A book is a unique source of the human activity history. It is not only the carrier of information recorded in verbal form, but also a result of production, that is, it is studied as an object of not only spiritual, but also material culture. Items of applied art such as jewelry, high-art tableware, stone and wood carvings, clothes embroidered with gold and silver, precious weapons, etc. also combine the above-mentioned typical features. Of course, when studying one or another type of material sources, the researcher must take into account their synthetic nature.

## **2. Numismatic sources**

A special group of sources from the history of Ukraine is made by coins that constitute numismatic sources. They are found during excavations of ancient settlements, barrows, burials, and ethnographic expeditions. Historians get the greatest numismatic material thanks to the finds of coin treasures. During the century-long existence of Ukrainian numismatic science, several thousand treasures and separate coins found on the territory of Ukraine were described and studied, which significantly expanded our understanding of the past, and supplemented information from other sources. Numismatic objects were and remain the subject of collecting and scientific study.

The first appearance of coins on the territory of our country is associated with the Greek colonization of the Northern Black Sea region, which began in the 7th-6th centuries BC. At its beginning, the Greeks of Asia Minor did not know minted coins yet. Scientists have proven that the oldest coins were cast mainly from electrum (an alloy of gold and silver), and in the North-Western Black Sea region the oldest coins

were made of bronze (an alloy of copper and tin). The patron of the Ionians, who founded most of the Greek settlements on the territory of Southern Ukraine, was Apollo Delphinus. Therefore, it is not by chance that in Olbia they first began to make bronze dolphins, which, in fact, were not yet coins, but already performed the function of not only charms, but also money. Later, the Olbiapolitans began to cast large bronze coins – aces – of face value 3 with the image of an owl. Minting of coins in Panticapaeum began around 530 – 520 BC. Interesting samples of coins produced not only by the state, but also by the temple of Apollo the Physician were discovered. This fact is connected with the activities of the noble Miletus family of Archeanaktids representatives, who became hereditary priests of this temple. The last of them issued a coin with the image of a lion's scalp. Coins were also minted in some polises (Nymphaea, Feodosia, Chersonese, Thira, etc.). Among them are excellent examples of bronze (chalkas, tetrachalkas), silver (drachmas, didrachms, tetradrachms) and gold (staters) coins. Their content and form reflect the political, economic and social historical conditions of the development of the Northern Black Sea region ancient cities.

With the beginning of the Roman expansion in the South and in the central regions of Ukraine, Roman coins, mostly silver denarii, appeared. The oldest of them are dated 2nd-1st centuries BC, in particular the silver denarius of Lucius Verus minted in 162 BC. This coin was discovered in Pechersk, in Kyiv, in 1937. However, Roman coins were most widespread in our lands in the 1<sup>st</sup> – 3rd centuries AD., which is convincingly evidenced by numerous treasures of Roman coins, things, jewels, etc. The coins of Ancient Rome are believed to have been the first monetary unit of Kyiv and were in circulation until the 8th century.

Starting from the 5th century Byzantine coins enter Ukrainian lands. But there were obviously not many of them in circulation, so the finds of Byzantine solids, miliarisii and folis in treasures of the 5<sup>th</sup> – 7<sup>th</sup> centuries were scarce. For example, about 10 treasures with Byzantine coins and precious things (with Roman ones – four times more) were discovered in various parts of Kyiv region. Roman and

Byzantine coin systems had a significant impact on the development of medieval European coinage, including that of Ukrainian lands.

At the end of the 8th century an Arab silver coin – the Kufic dirham – is spread on modern Ukrainian lands (the inscriptions on it are made in a stylized Arabic script – “kufa”). There are no images on Arab coins, as Muslim religion required. There are inscriptions on both their sides, where in addition to quotations from the Koran, the names of rulers, years and places of minting are given. The study of Kufic coins is associated with increased interest in the study of Arabic manuscripts containing information about ancient Rus. In particular, the famous Russian numismatist of the beginning of the 19th century Z.M. Fren stated that the first dirhams that entered the territory of Ukraine were mostly minted in North Africa. He also discovered and researched Ibn Fadlan’s notes and other Arabic manuscripts about the Rus and the Slavs.

In the second half of the 10th century Kyiv princes already realized the need to start issuing their own coinage. The matter was also facilitated by the fact that a significant number of shabby dirhams and other coins were accumulated in the country. They became the raw material for the creation of domestic numismatic objects. To trace the development of the coin industry in Ukraine is extremely difficult, as nothing except the coins themselves remained from the coin production of the Middle Ages. It is still not known exactly where the mints in Kyiv and Lviv were located.

Minting of coins on the territory of Ukraine began at the end of the 10th century at first in Kyiv, and then in Tmutarakan (second half of the 11th century). Unique numismatic finds indicate that the first attempts to mint coins were made during the times of Olha and Sviatoslav. Thus, in 1957, during archaeological excavations in Kyiv, at a depth of two meters, the oldest silver coin minted during the reign of Olha and Sviatoslav was discovered. There is a bident (symbol on the lead seals of Sviatoslav) on the one side of the coin, and on the other side there is a hand bent at the elbow holding a cross (symbol on the seals of Princess Olha). This



find is unique, as such coins have not been found in any other treasures yet (the coin was handed over to the museum of the Institute of Archeology of Ukraine).

Coins in Kyivan Rus were issued by Volodymyr Sviatoslavych, his sons Sviatopolk Okaiannyi (the Damned or the Accused) and Yaroslav the Wise, as well as Prince Oleh-Mykhail of Tmutarakan. The volume of minting was insignificant. In total, only a few thousand coins were minted. Therefore, few of them have survived up to our time – about 10 gold and 250 silver coins of the 10th – 11th centuries. It is obvious that for such a small-scale production it did not make sense to set up a stationary mint. According to Western European chronicles, the mint master of that time “carried the mint in a bag.” In order to produce several dozen coins per day, the work of one person who had a couple of stamps, a manual hammer and several other tools was enough. The insignificant number of ancient Ukrainian coins indicates that they could not completely replace foreign coins in circulation, and their issue had mainly political, not socio-economic significance. The discovered coins testify to the readiness of the Kyiv state to introduce its own money, since the gold and silver coins were made at a high artistic level, with Slavic inscriptions, the Rurikovich family coat of arms and the princes’ portraits.

In the 13th century in Ukraine, the coins of the Golden Horde had a certain distribution – dirhams that are found in treasures. In particular, a silver Golden Horde coin of the 13th century was found in Kyiv on the territory of the Sophia Monastery in 1882. A larger number of dirhams entered Ukraine in the 14th and 15th centuries. The Golden Horde is known to have been in a state of deep political crisis in the second half of the 15th century. The khans changed so quickly that the coins they issued were the only mention of them, which allowed scientists to learn about the years and time of their reign.

Coin minting on Ukrainian lands was restored at the Lviv and Kyiv mints in the 14th century. Their exact location is still unknown, but numismatic objects and sporadic references in written sources make it possible to trace the history of coinage in Ukraine during the 14th and 15th centuries. In particular, it is known that the Lviv Mint belonged to the Polish king, and in 1408-1411 the city authorities tried to buy

it. The Lviv Mint used raw materials brought from Semigrad. The basis of the monetary base was the silver hryvnia weighing about 198 g. During 1389 –1399 almost pure silver coins (875 – 938 proof) weighing up to 0.96 g each were issued here. However, gradually, they began to add an alloy – an admixture of base metals (tin, copper) – to the coins. At the end of the 14th century Galician coins contained only 50% pure silver. Minting of coins at the Lviv Mint lasted from 1351 to 1414.

In the second half of the 16th – the first half of the 17th centuries monetary reform took place in Poland, the result of which was the introduction of the zloty monetary system. The numerical term “golden” (“zloty”) was first used for a unit of monetary circulation, worth 30 grosz. Among the coins of this system were: shostak (6 groszy), troiak (3 groszy), pivtorak (1.5 groszy), fish, half grosz (1/2 grosz), sheliag (1/3 grosz), chetvertak (1/4 grosz), and denarius (1/8 grosz). Since 1528, Poland began minting its own gold coin modeled after the Hungarian ducat. The largest values (troiaks, shostaks and ducats) had a profile image of the king on the one side and heraldic images of the eagle or all the lands subject to the Polish king on the other. On rare ducats and shostaks, one of the coats of arms is the lion of Galician Rus. Before the appearance of portraits, a crown was depicted on Polish coins, and a rider (the so-called “Pohon”) on Lithuanian coins. In 1564, a real silver zloty was issued – the Polish-Lithuanian thaler, which became widespread on Ukrainian lands in the 17th century.

During the 19th-20th centuries the process of ousting coins from monetary circulation by paper money (bonds) took place. However, it was impossible to completely cast aside coins, since, on the one hand, they are a monetary equivalent (when it comes to providing the entire state monetary mass with gold), and on the other hand, they are used as small change money. In the conditions of acute political and socio-economic crises, which Ukraine had to experience during the 20th century, the monetary systems on its territory underwent significant changes. In particular, not only expensive gold and silver coins fell out of circulation, but also small change ones (population kept the former for a “black” day, and the latter were simply not needed in the hyperinflation conditions). Ukraine managed to restore its

own coin production only after the declaration of its independence (in 1991). In 1992, the minting of Ukrainian coins with face value 1, 2, 5, 10, 25, and 50 began, which are still in circulation today. Coins made of precious metals are also minted to commemorate outstanding historical figures and events. They become collectibles and do not enter monetary circulation, since their real value is much higher than the nominal one. You can familiarize yourself with these coins on the pages of the journal “Ukrainian Numismatics and Bonistics.”

Thus, numismatic objects are an important component of material sources from national history, they contain valuable information that makes it possible to clarify and supplement information from other groups of historical sources. Paper money sometimes got the names of ancient coins. For example, “hryvnia”, “Karbovanets” (minted coin), and “ruble” (rubbed coin). They remained in the oral language for a long time, for example, a Soviet three-ruble bank note was called a troiach (troiachka), and a 5-kopeck coin was called a piatak. It is interesting that other names of Russian small coins, which were in circulation in Ukraine for quite a long time, did not catch on and were almost not used in oral language (hryvenyk – 10 kopecks, altyn – 3 kopecks, five-altyn – 15 kopecks). Numismatic names and terminology occur in written and oral sources, and this makes it possible to more precisely determine the time and place of their creation, authenticity and originality. The names of ancient coins have remained in modern monetary terminology. For example, the name of the coin “grosh” in the plural began to be used for the entire complex of payment means of Ukraine. The study and use of numismatic objects in historical research is one of the important tasks of historical numismatics and source studies.

### **3. Architectural monuments**

Architectural monuments make up a significant part of the complex of material sources. They refer to informationally complex sources that store

information about various aspects of human activity in the field of production of both material and spiritual values. The construction of certain architectural monuments is always connected with specific historical events, spiritual processes, with the practical needs of society as a whole, or certain groups of people, certain individuals. Architectural monuments contain valuable information of a historical, regional and cultural nature, are an organic component of the source base on the history of ancient Ukrainian cities and towns, monastic complexes, noble estates, etc.

It is customary to classify architectural monuments according to various characteristics. So, according to their purpose, they are divided into residential, religious, economic, defense and burial buildings. Often, a certain monument performed several functions at the same time, in particular, temples were used as religious and defensive structures, castles were used as defensive and residential. Multifunctionality is inherent in other types of sources, however, only by determining the main purpose of the source, it is possible to comprehensively analyze the historically important information contained in it. Architectural monuments, as well as other groups of sources, are usually divided by the time and place of origin, by the technique of creation, by the material from which they were built, etc. Historians studying architectural buildings as a historical source must understand the stylistic features of their individual groups. Methods developed in art history, history of architecture and other sciences help researchers here. A significant number of scientific studies have been devoted to architectural monuments of Ukraine.

As it has already been mentioned, the oldest remains of residential buildings on the territory of Ukraine belong to the Middle Paleolithic era.

During archaeological research in the village of Molodove on the Dniester, at a depth of more than 10 m, the remains of a round-shaped stationary dwelling with a diameter of 5-8 m were discovered. In addition to the main living chamber, it had two side extensions. Similar structures of the yaranga type became widespread in the late Paleolithic because of cooling. Residential structures of the Cro-Magnons

are represented by two, winter and summer, types. Winter homes are rather complex structures designed for long-term use. Wood, bones of mammoth, reindeer were used to build the frame. The frame was covered with animal skins. There was a hole in the roof for the smoke to escape. Inside the dwelling, one or two fireplaces were stirring, fueled by wood. Light and heat were provided by greasers – hollowed out stones or bones filled with fat. The entrance to the house was covered with skins. In general, these residential buildings had a round or oval shape and a hemispherical volume, which resembled the yarangas common among the northern peoples. You can familiarize yourself with the reconstruction of similar monuments in the Kyiv Natural History Museum and other museums.

The appearance of the first structures that had a social, ceremonial purpose on the territory of Ukraine belongs to the Late Paleolithic period. In particular, studying the largest structure of the Mizyna settlement in Chernihiv Region, scientists came to the conclusion that the Cro-Magnons used it as a “house of rites”. It eventually caved in, hiding under a thick layer of building bones objects used during ancient rituals and festivals, including a unique set of percussion instruments made from mammoth and reindeer bones.

One of the oldest defensive constructions on the territory of Ukraine is a unique fortified settlement of Yamna culture tribes (Bronze Age) near the village of Mykhailivka in the Kherson region. It is located on two hills with steep slopes and a part of the plateau adjacent to them. The total area of the settlement reached about 1.5 hectares. The defensive structures surrounding it consisted of a whole system of walls and ditches. A 60 m long wall was built on the side of the plateau along the hillside. Several more walls were built in front of the main line of fortifications for additional protection against possible attackers. The defense system was closed, stone walls and ditches were interspersed with a wooden palisade. In some places, the height of the remains of the walls exceeds 2 m. They were made of large limestone slabs of various sizes, mostly untreated. The remains of such complex and large defensive structures testify to a fairly high level of construction work in the south of Ukraine at that time.

Thus, a careful study of the remains of ancient buildings gives reason to assert that before the beginning of the Greek colonization of the Northern Black Sea region, the population living in various regions of the modern territory of Ukraine had skills to build various objects for residential, economic, religious and defensive purposes, using such common materials as wood, clay, stone, etc. However, real architectural monuments built according to certain projects, with the observance of appropriate technologies, appeared in the south of our country only in the Greek cities-colonies of Olbia, Chersonesus, Panticapaea, etc.

Grandiose construction on the territory of Ukraine is characteristic of the Old Princely era. According to scientists it is indisputable that in the 10th-11th centuries in Ukraine, samples of Byzantine construction prevailed – the so-called middle age of the development of Byzantine art, during which a special type of church arose, which spread on the shores of the Black Sea (in particular, in Chersonese and Kerch), as well as in Armenia, Georgia, Bulgaria and Macedonia.

It is impossible to examine in detail the source significance of all architectural monuments of Ukraine from the Old Russian period to our time. Therefore, we will focus our attention on the consideration of religious buildings and their role in the cultural history of Ukraine.

The crossed-dome type of temple common in Byzantium was taken as the basis of the cult buildings of Kyivan Rus. The main feature of such buildings was that their internal space in plan had the shape of a cross, above the middle part of which the main dome was raised, supported by elastic arches and sails (special building structures) on four pillars. Altar apses were located on the eastern side. More complex versions of the cruciform temples had six, eight, and sometimes even twelve pillars.

The first stone buildings for residential purposes have been known on Ukrainian lands since pagan times, in particular, the princely palace of Sviatoslav Ihorevych in Kyiv, mentioned in the annals. The beginning of the stone temples construction is associated with the construction Church of the Mother of God

(Bohorodytsa) in Kyiv in 989 – 996, or, as it was popularly called, the Church of the Tithes (Desiatynna Tserkva).

Sophia Cathedral has been relatively well preserved to our time, although it underwent significant destruction and reconstruction during the 13th – 20th centuries. It is a large five-story crossed-domed church, surrounded from the north, west and south by two rows of originally open galleries, with thirteen domes. Two towers, which were covered with tent tops in ancient times, are adjacent to the western corners of the structure. Spiral staircases in the towers lead to the second floor of the cathedral – the choirs. Twelve nativity scenes in the plan of the pillars divide the inner space of the cathedral into five naves. In plan, it has the shape of a cross, above the middle part of which rises the main dome. The architectural and artistic features of Sophia of Kyiv had a great influence on the further development of domestic temple construction.

In the 30s of the 11th century, the Transfiguration (Spassky) Cathedral was built in Chernihiv by Prince Mstislav Volodymyrovych's order. It has also survived to this day. According to the structural type, it is a large, three-aisled, eight-pillared temple, topped by five domes. A tower adjoined the north-western side of the temple. On the opposite side, the baptistery was mixed. The peculiarity of the building is the absence of galleries and the extension of its plan along the east-west line. The marble columns were decorated with capitals of the Ionic order. The interior of the temple was painted with frescoes that have not survived to our time. Remains of laic buildings were discovered near the cathedral: princely houses, gates, etc.

Among the unique preserved monuments, we should mention the church of St. Michael in the Vydubyskyi Monastery. It was built by Prince Vsevolod Yaroslavych in 1070-1088. In this building, the features characteristic of Kyiv temple buildings of later times can be traced, in particular, the single-dome structure and the absence of galleries. A new direction in the development of Kyiv architecture was embodied in the Dormition Cathedral of the Cave (Pechersk) Monastery, built in 1073-1089 pp. According to its construction, it was a six-column, three-nave, cross-shaped temple with one large dome, without galleries.

The Ilyinsk Church, built at Bohdan Khmelnytskyi's expense, is considered to be the masterpiece of Ukrainian architecture. Relatively small, it gives the impression of a monumental defense structure. In plan, the church is almost square with a hexagonal altar ledge in the east. The inner space of one nave is divided in half by a spring arch, and the church is covered by a box vault. Narrow stairs hidden in the walls lead to the choir and the attic. The temple is well adapted for defense – its strong walls are up to 2 m thick. The exquisitely shaped baroque pediment is divided along the vertical axis by a pilaster and two horizontal cornices. There are four gun emplacements on the second tier, two more are located in the pilasters of the northern and southern facades (their purpose is to prevent the enemy from entering the entrance with rifle fire).

The era of the Ukrainian Cossack-Hetman state was marked by a true rise of culture in all its manifestations. A kind of construction boom began at the end of the 17th century in the era of the dominance of a new architectural style, which in Ukraine took the form of the so-called Cossack, or Mazepa, baroque. It is characterized by the magnificence and grandeur of compositions and decor. Ancient Ukrainian churches, which are beginning to be rebuilt and repaired, also acquire new baroque forms, while preserving the original spatial structure.

From the outside, St. Sophia's Cathedral, Dormition Cathedral of the Kyivan Cave Monastery (Kyievo-Pecherska Lavra), Transfiguration (Spassky) and Borys and Gleb (Borysohlib) Cathedrals in Chernihiv are decorated with decorative pediments and portals, characteristic for the Baroque style decoration of windows, doors, niches, domes, roofs, etc.

A significant achievement of Ukrainian monumental architecture was the construction of multi-dome, five- and nine-chamber churches in Nizhyn, Izium, Hustyn, Novhorod-Siverskyi, Hlukhiv, Pryluky, Chernihiv, and Kyiv. Among them are the Trinity Cathedral of the Hustyn Monastery (1671), St. George Cathedral of the Vydubychi Monastery (1696 –1701) and many others. The Trinity Cathedral in Chernihiv (1679 –1695, architect I. Baptist), the Holy Cross Exaltation Cathedral in Poltava (1689 –1692), the cathedrals of the Bratskyi and Mykolaiv monasteries in



Kyiv (the 1690s, architect O. Startsev). Features of ancient Ukrainian multi-columned churches as well as some religious buildings of Lithuania and Poland are seen in the architecture of these buildings.

The brick walls of the temples were plastered and whitewashed, the metal roofs were painted green, and the domes and chapels, covered with sheet copper, were often gilded. Buildings were decorated with paintings, decorative carvings and stucco. Temples with bell towers located nearby, surrounded by low-rise buildings and picturesque landscapes, became the main dominants of settlements, cities, and monasteries.

The events of the Northern War and I. Mazepa's defeat brought untold calamities to Ukraine. In addition, in March 1710, smallpox, brought from Lithuania, broke out and raged until January 1711. In Kyiv, only a tenth of the inhabitants were lucky to survive. The epidemic did not affect the Zolotoverkhyi monastery, in which the Kyiv Governor-General Prince D. Golitsyn found salvation. In recognition of this, as he believed, miraculous salvation, D. Golitsyn radically rebuilt the side altar of St. Barbara's, arranges the iconostasis of the altar and the wooden carved canopy over the great martyr's chest.

Buildings that appeared in Ukraine during the 19th – beginning of the 20th centuries have a source value. Not all of them were distinguished by high artistic qualities, but all remained witnesses of the era, were associated with important historical events, the history of social and cultural development. Some of them are rightfully considered real pearls of national culture. Among them, it is worth mentioning the church-mausoleum on Askold's grave in Kyiv (1810, architect A. Melenskyi), the Volodymyr Cathedral in Kyiv (1862-1882, with the participation of architect O. Beretti), the Intercession Church in the village of Parkhomivka in the Kyiv region (1903 –1906, architect V. Pokrovsky), the Alexander Church in Kamianka (beginning of the 20th century), and others. It should be noted that in the second half of the 19th century in Naddnieprianshchyna, the Russian authorities implemented the so-called pseudo-Byzantine-Russian style, according to the requirements of which not only new buildings were built, but also ancient

monuments of church architecture were restored in Kyiv, Ovruch, Volodymyr-Volynskyi and other cities. In the western Ukrainian lands, which were part of Austria-Hungary, forms of mainly Romanesque and Gothic styles were introduced at that time.

Concluding the review of the religious buildings of Ukraine as a historical source, it should be noted that most of the buildings of the end of the 19th and 20th centuries, which were made in the Art Nouveau and pseudo-Russian style, are not included in the register of monuments protected by law. In Kyiv, for example, the buildings of the St Pokrovskyi Monastery, built at the expense of Grand Duchess Alexandra Petrivna Romanova, who later received tonsure there, are not registered as monuments of history and culture. Among them are the Church of the Intercession and the Mykolaiv Cathedral, built in the pseudo-Russian style in the second half of the 19th and early 20th centuries under the supervision of Kyiv architect V. Nikolaiev.

To sum up, architectural monuments are a valuable source of national history and culture, containing multifaceted information about various aspects of the past of our state. This gives the researcher the opportunity to compare, clarify and confirm or refute the information of other source complexes.

#### **4. Weapons**

Weapons occupy a significant place among the huge variety of material sources. A lot of researches have been dedicated to them. Since ancient times, on the territory of Ukraine various peoples and tribes have used certain sets of weapons, which were divided into two main groups: cold weapons and protective equipment, which arose later in connection with the improvement of combat weapons. The earliest examples of weapons appeared in the Stone Age and developed from primitive sticks to rather complex weapons, such as axes, bows, arrows, spears with sharply sharpened stone tips, made mainly of flint. Some tribes created so many war

items that they even got a name after them (for example, the tribes of the “battle axes” culture).

The beginning of the use of metals – copper, bronze, iron – in the economy contributed to the improvement of weapons. Archaeologists have found wonderful samples of weapons created by the Cimmerians, Scythians, and Sarmatians in the south of Ukraine. The nomadic peoples, who were horse warriors, significantly improved not only the techniques of horse combat, but also the rider’s armament, they were the first in our lands to use items of protective equipment.

Military weapons of the princely era were influenced by Western military culture brought by barbarians to the Rus, and also absorbed local traditions that existed in ancient Slavic times. Discovered objects make it possible to trace the path of the prince’s druzhyna (a military privilege, as well as an advisory governing body) – from a hired Varangian druzhyna, later a Varangian-Slavic druzhyna. To the princely boyar druzhyna, which consisted only of the Slavs. The druzhyna ceased to be similar to the Varangians, a hired detachment adapted to the local type of military operations, typical to the local population of the 11th century, in accordance with the military requirements at that time, the main striking force of the troops of Kyivan Rus became the horse-armed cavalry. Druzhynnyky started riding horses, mastered the techniques of equestrian duel. At the same time, the tactics of fighting on foot did not remain unchanged, which required constant improvement of the weapons used on the battlefield.

In weapon science, it is customary to divide the entire array of weapons into several groups, mainly by purpose. In particular, melee weapons are represented by objects that have received the name of cutting, hacking, stabbing, crush and throwing weapons. A separate complex consists of protective equipment and armor that were widespread during the period of the dominance of cold weapons and lost their practical significance with the spread of firearms, which make up the last, third group of weapons.

Cold weapons arose in the Paleolithic era and were an invariable attribute of the entire history of the development of human society. Some types of cold weapons,

such as knives, batons and others, still remain part of the equipment of servicemen of some military branches. Among the most common groups of cold weapons that were in Ukraine in different historical eras, cutting and hacking weapons such as knives, swords, sabers, axes, etc. prevail.

From ancient times, a knife was an indispensable component of the armament of every warrior, both on foot and on horseback. It had not only a military, but also a domestic purpose, it could be worn on the waistband, in the quiver or behind the boot shaft. The waistband knife was attached to the belt with the help of a hook that was placed on the scabbard of the sword or saber. The blade of the waistband knife had two cutting edges 10-15 cm long. Boot knives were worn behind the boot shaft. They had a curved blade, which, unlike other knives, was not called a strip, but a shliakh (remember the swearing wish “may the shliakh hit you”). A lanyard could also be attached to the handle of the boot knife.

One of the ancient types of cold weapons was also a sword consisting of a blade, a cross and a hilt. The blade was 1 m long and 5-6.5 cm wide. It was sharpened on both sides, that is, it had two cutting edges. The flat parts of the sword blade are called holomia, or holomeni. A wide groove was almost always made on them - dol, which started from the grip and ended at the point. It played the role of a stiffening rib and gave the blade of the sword stability. The blade of the sword was separated from the hilt by a cross. The hilt of the sword was mounted on the chereni (the tip of the blade is opposite the point) and ended with a round or elongated “yabloko” (pommel). There were several types of swords – konchar, or koncher (long straight sword, intended for stabbing blows), tesak, or tasak (sword-shaped knife, further transformation of a knife), etc. They were made not only of high-quality steel or bulat, but also of simple iron. Among the swords, there are highly artistic samples, which grips are decorated with precious metals and precious stones. Swords were worn on the waist on the left side in scabbards made of wood, covered with leather or expensive fabric, decorated with metal, sometimes precious, ornaments.

In the 9th-10th centuries in the Kyiv state, they began to use the saber, which appeared in the steppes of Eurasia according to archaeological research in the 7th-

8<sup>th</sup> centuries and was most likely an invention of nomadic peoples. Therefore, it is not surprising that it spread primarily among horsemen.

The saber, as well as other types of cold weapons, has its own properties. Thanks to the curved blade, the saber strike has a circular character, captures, compared to a straight blade, a larger surface and is hacking and cutting at the same time. The saber could also be used to deliver effective stabbing blows, as the last third of the blade — the elman — sharpened like a sword blade on both sides. The piercing blow and other features of the design of the saber (and later the checkers, which entered service with the Russian army at the beginning of the 20th century) were strengthened. With the development of heavier weapons and armor from the 14th-15th centuries the saber becomes longer – up to 117 cm, wider – up to 5 cm, heavier. The protective component of the hand develops – instead of a simple cross, a guard appears.

After the formation of the Ottoman Empire, the scimitar, derived from the Persian kanjar – a weapon with a characteristically curved blade and a specific handle – became widespread throughout the Arab-Turkish world. Scimitars were common as a trophy weapon in the Cossack Ukraine, although the main element of the Cossack weaponry undoubtedly remained the saber.

For thousands of years, various types of slashing weapons have been used during hostilities. Its main variety for a long time remained the battle ax, which came from the stone axes of the pre-metal age. Farm axes were also widely used, which, if necessary, could also serve as a means of self-defense. Axes were used as weapons by many peoples, including the Varangians. They were in service with the princely army, and did not lose their popularity in the future, in particular in the Cossack front. The big ax later transformed into a berdysh, which, in turn, has a significant number of modifications. Berdysh were widespread not only in Ukraine, but also in Western Europe, Russia, and Central Asia.

Strike weapons are melee weapons. It started with a stick of the primitive man, a thick branch with a thickening at the end. Over time, the tops of the sticks began to be artificially weighted – hammered with nails, forged with metal or simply made

of metal. Gradually, it was transformed into a mace, which later became a symbol of the Hetman's power. Strike weapons were common among many peoples of the world, therefore objects that are similar in shape to a mace are represented by numerous archaeological and pictorial sources. In some places, the tops of maces were made of several metal plates. This kind of it got the name "pernach" (a sign of the authority of a colonel in the Cossack state). In addition to the mace and its modifications, a strike weapon can include a pick (obushok) – a metal ball or pick tied to a leather belt or chain up to half a meter long. Sometimes the chain was tied to a wooden handle. The mace and pernach, as attributes of state power, were sometimes decorated with jewels, in some places they had a dagger that was screwed into the handle.

Finally, the last group of cold weapons is throwing. It includes bows and crossbows. Bows arose in the Mesolithic era in connection with the need to improve hunting techniques and for a long time remained a weapon not only for combat, but also for hunting. They were made of wood and horn and were already quite complex in the Scythian era.

In Russia, craftsmen perfectly mastered the art of making bows. The middle part of the bow was called the handle, the long, elastic, curved halves were called rohy (horns) or plechi (shoulders). A rih (a horn) consisted of two or more wooden slats and horn plates. They fit tightly and were glued together with very strong fish glue. For elasticity, the back of the bow was glued with veins, which were additionally fixed near the handle and at the ends. A string made of veins or fibers of plant origin passed through the lower pads at the ends of the horns. The total length of the bow reached two or more meters. In this form, it existed among nomadic peoples until the 18th century, and in Ukraine – until the 17th century.

Arrows for bows were about 75 cm long. The material for their manufacture was bulrush, cane or wood – birch, apple, etc. On one side of the arrow, so-called "piria" ("feathers") were made, which consisted of bird feathers, pieces of leather or parchment. It played the role of a stabilizer in flight. Another important component of the arrow was the tip, which, depending on its purpose (combat or hunting), had

different shapes. Arrows are divided into kaidaliks (with a flat point), tomars (without a metal point, intended for hunting fur animals), severga (with a narrow point), and others.

The improvement of the bow led to the appearance of the crossbow. In domestic written sources, they are sometimes called “kusha”, which comes from the French name of this weapon. “Kusha” is known to have been Kyiv’s heraldic symbol for a long time. Crossbows, or improved bows, were known even in the Roman Empire, but after its fall in Europe they were long forgotten, although in the East they continued to be used. They returned to Europe at the end of the 10th – at the beginning of the 11th century. The crossbow (from the Latin *arcus balista* - throwing bow) shot different types of arrows – ordinary, weighted and bolt (belts). The crossbow became the weapon of the non-noble strata of the population, as the bolt penetrated ring armor at a distance of 300 paces, and the best panzer of the Milanese work at 200 paces. Finally, the townspeople got a reliable weapon to fight against the noble knights. The townspeople quickly gained experience in the use and production of crossbows. Crossbow masters occupied one of the places of honor in the structure of shop management. It is not for nothing that some researchers consider “kusha” to be the coat of arms of the craft Podol of Kyiv. The crossbow was a powerful, but not fast-firing weapon. This led to the fact that in the 16th century bows again supplanted crossbows. But in the end, both bows and crossbows soon left the historical arena, supplanted by firearms.

Protective armor. It is an indispensable component of a warrior’s equipment on the territory of Ukraine since ancient times. The Scythian rider was already protected by a helmet and special clothing. Shields appeared later and were known in Russia from the 8th-11th centuries. They were round in shape and covered about a quarter of the warrior’s body.

One of the most common protective armors for a long time was mail, a long shirt made of metal rings or plates. In some places, rows of copper rings were woven into the mail for beauty. After assembly, it was cleaned and polished. The finished chain mail weighed 6-7 kg. This is a very expensive piece of armor: its manufacture

required high skill and took a lot of time. Therefore, chain mail was an indicator of the property status of its owner. Ring armor was cheap, made of cloth, on which rows of metal rings were sewn. They also protected well against chopping blows.

Firearms also have a history. The time and place of the invention of explosive mixtures, which preceded its creation, are still debatable. There is a popular version of the origin of gunpowder from China, where it was known long before the new era. There are many references to the use of “Greek fire” by the Byzantines. The nomads of the southern Ukrainian steppes were familiar with “living fire”, which was used to fill special jars that were thrown over the walls of besieged cities. However, the use of explosive and incendiary mixtures cannot be equated with firearms, artillery, where gunpowder is used as a propellant to give the projectile an initial impulse.

The first examples of firearms – cannons – begin its history, as hand firearms were created later. The first cannons appeared on the territory of Ukraine during the Lithuanian rule. Scientists assume that they could get to Ukrainian lands from Western Europe (Germany) or from the East (via Byzantium and Crimea). The presence of artillery in Ukraine was recorded by written sources already at the end of the 14th century. First, cannons were installed in Lviv and Kyiv. With their help, the people of Kyiv repelled the attacks of the Hordes. These guns were imperfect, inefficient, manufactured using primitive technology, but this was compensated by the psychological factor: fire, smoke, and roar. The process of development of a new type of weapon took place primarily by increasing the mass of guns, technical improvement of machine tools and carriages, and especially the technology of barrel production. Until the 16th century there were the following types of guns: bombard, tarasnitsa, semi-tarasnitsa, mozdir, hufnytsia (later transformed into a howitzer), semi-hufnitsa, shrubnitsa, semi-shrubnitsa, shrotivnia (shot gun) and foglier. The shapes and sizes of guns depended on their purpose, as very quickly artillery was divided into fortress (used for the defense of fortresses) and field (used directly on the battlefield together with the infantry for the first salvo, which often decided the



fate of the battle). Heavy guns were used during the siege of castles to breach and destroy their walls, set fire to the city, etc.

Cannons developed rapidly. New types of these weapons appeared, technologies were developed and improved. The first forged cannons were made of iron, later copper and bronze were used for their casting. Until the 17th century such types of guns appeared as serpentines and serpenpnets, falcones and falksnots, colobrinns and bastard colobrinns, cartovans, petrieres, etc. The appearance of metal cores, gunpowder, explosive bombs, and granulated gunpowder contributed to the increase in the combat effectiveness of new weapons.

Arms production should be mentioned separately. Constantly being at the center of important military and political events, Ukraine needed a significant number of various weapons, which stimulated the development of trade and its own arms production. The production of cold weapons of high quality was well established in Ukraine. The largest centers of its production were Kyiv, Lviv and other cities. Iron for it was smelted in local mines from swamp ore, the deposits of which were in Kyiv Region, Chernihiv Region, Volyn, and Galicia. Zaporizhzhia Sich was a notable center for the manufacture and repair of weapons. Most types of cold weapons, mainly sabers, were made in Ukraine according to oriental designs adapted to the needs and tastes of the local consumer. Already in the 16th century the concept of “Cossack saber” appears, which in Russian sources was called the saber of “Cherkassky business” and was in great demand in Russia. Cold weapons, moreover, of high quality, were apparently produced in Ukraine in sufficient quantity, at least in historical sources there is no information about the import of significant batches. Even in the 18th century, despite Russian commodity expansion, neither sabers nor spears were imported into Ukraine. At the same time, the Cossack army used a certain amount of trophy weapons, it was considered especially honorable to have expertly made expensive samples of Turkish and Tatar weapons.

Thus, weapons are a valuable source not only of the history of military affairs, but also of socio-economic, political, ethnic history, they significantly expand our

understanding of the level of development of Ukraine's technological and military culture since ancient times.

## **5. Clothing**

Clothing items constitute a significant share of physical sources, objects of the material and spiritual culture of Ukraine. Clothing has gone through a long path of development – from the simplest pieces of skin, which protected the primitive hunter from bad weather, to the sophisticated, embroidered with silver and gold uniforms of representatives of the upper classes of society of different historical eras. The history of Ukrainian clothing was reflected in the scientific work of national scientists <sup>5</sup>.

The history, manufacturing technology, variety of clothing items are primarily influenced by their functions, which over time became more and more complex and multifaceted. The most important function of clothing is undoubtedly protective. It is directly related to the geographical and climatic features of a certain region of the Earth (by the way, some dry and hot regions of our planet are inhabited by tribes that still have not created their own clothing, because there is no need for it). Geographical conditions have a significant influence on the variety of forms and types of clothing, the technology of their manufacture, the composition of the materials used, etc. This can be traced on the example of even one country, if it occupies a large enough territory and covers several natural zones. For example, on the territory of Ukraine, which is located in a temperate climate zone, there are unique natural regions – the Carpathian Mountains, forest, forest-steppe, steppe, which led to the appearance of local specificity in clothing. For example, folk sleeveless clothing spread throughout Ukraine had some differences depending on the area of residence. In the mountainous regions of Western Ukraine, this is a warm short sleeveless coat made of fur – keptar; in the northern and northwestern regions of the foothills – a cloth sleeveless jacket — a leibyky, a bruslyky; in the territory of

the Middle Naddnieprianshchyna – a lighter, albeit longer sleeveless – kersetka, etc. Similar local specificity is characteristic of other items of clothing, including shoes, hats, etc.

The protective function of clothing was manifested not only in the fact that it protected the human body from natural factors – cold, wind, rain, heat. According to our ancestors, clothes were supposed to protect against evil spirits, witches, etc. That is why clothes were given talismanic, magical properties. This is confirmed by the use of certain elements of clothing (for example, shirts) in magical actions and rituals. An important protective role was played by the color and ornamentation of clothes, various decorations, belts, ribbons and other accessories. Ceremonial and associated protective functions of clothes at the end of the 19th - at the beginning of the 20th century have lost their ancient meaning.

Another important function of clothing since ancient times was aesthetic. Already primitive man made the first attempts to decorate clothes with plates from boar tusks, stones, shells, etc. The decoration of clothes gradually turns into its necessary attribute, reflects the artistic and aesthetic tastes of a certain people, its separate ethnic, social groups, etc.

The ethnic function of clothing makes it possible to trace the kinship of certain human communities based on ethnic characteristics. The costume, along with the language, customs, beliefs, etc., becomes a sign of the difference of the population of one area from another. The formation and development of the ethnic function of clothing is also influenced by ethno-cultural ties between peoples from ancient times to the present day. Despite the commonality of many elements of the Ukrainian national costume, its local varieties retain a bright originality, in some cases containing archaic features, in others – features that arose in the process of ethno-cultural exchange with neighboring ethnic groups or peoples.

Clothing, as well as other groups of historical sources, reflects the social development of society, performs an important social function. It acts as a sign of a person's belonging to a certain social stratum, professional group, etc. Hence there is a socio-economic differentiation of clothing, its quantitative and qualitative

indicators. In the feudal society of many European countries, the regulation of clothing was even provided by legislation: it was forbidden for commoners to wear silk or velvet clothes, red clothes, etc. The mandatory introduction of Hungarian and then German clothing for all Russian classes, except for the clergy and the peasantry, was one of the characteristic features of the “great” reforms of Peter I. The official, uniform clothing of certain professional groups is still regulated by state laws today (military, police uniform, school uniform, etc.).

Among the important functions of clothing, we should also mention the age function, which is related not only to the physiology of the human body, but also to the nature of the activities of people of different genders and ages and, accordingly, to their position in society. For example, men’s trousers are a rather late phenomenon, the origin of which, in addition to climatic reasons, is connected with the development of horse riding, as well as the arable method of cultivating the land. The gender function of clothing was closely related to folk ethics. A person’s non-observance of generally accepted norms of dress in accordance with the age, sex, status, even taste criteria of a certain historical era was perceived as a violation of social morality (and sometimes the law).

According to the functional purpose, as well as the variety of human needs, clothes are divided into a significant number of groups, types and varieties. The basis of the most general classification of clothing is its division depending on the gender of a person into male and female according to age groups. For example, women’s clothing is divided into girls’ clothing, clothing for young women, and elderly women (as well as for men – youth clothing, adult and elderly men). In modern times, the boundaries of this division are gradually being erased.

Climatic conditions affect the number and variety of clothing. In Ukraine, with its temperate climate, the basis of the costume was body clothing – mainly men’s and women’s shirts, combined with waist or thigh clothing – wrap-around or straight skirts for women, trousers for men. Ukrainians used this set of clothing mainly in the summer, although temperature fluctuations even in the summer period forced the use of light auxiliary clothing that protected the upper part of the body. It

could be with sleeves (sweaters, jackets) and sleeveless (keptari, leibyky). In the autumn-winter period, various types of warm clothing were used, which protected the whole body from cold. Items constituting this group are worn over the main set of clothes, therefore it is called outerwear.

A separate group of human clothing is represented by headwear performing a protective function (including against weapons), which in ancient times was combined with that of defending. Interesting types of headwear were also those that were supposed to decorate the girls (wreaths with ribbons, crowns, etc.) and were used for ceremonial purposes. Headwear is divided into summer and winter, women's and men's, according to social and professional characteristics.

Footwear is an important group of clothing items. In Ukraine, there were shoes that covered the foot (lychaky (bast shoes), postoly (a kind of leather or straw shoes strapped to the feet), cherevyky(boots)), the foot and the shin (high-heeled women boots, felt boots). The footwear group also includes various auxiliary types of insulation and foot protection. Footwear, as well as other items of clothing, reflects various aspects of the owner's life and activities.

Clothes are classified according to various formal and substantive features, for example, by material (leather, linen, silk, etc.), by manufacturing technique (braided, knitted, woven), by purpose (holiday, every day, work, ceremonial), etc. Finally, an important feature of clothing items is their ethnicity.

All groups of clothing have their own origin and a long history of development, a significant number of local options, which were determined by such factors as cut, color, ornamentation, the nature of the combination into a complex, ways of wearing, etc. The oldest materials for clothing in Ukraine were animal skins, plant fibers and wool. With the invention of the spindle, the spinning wheel, and especially the loom, the use of materials from plant and animal fibers expanded significantly.

The first forms of clothing were capes and were made from pieces of cloth or animal skin. Capes were fastened with ties or pins on a person's shoulders or neck. The thighs were also wrapped with pieces of fabric that were attached to the waist.

The production of clothes was gradually improved thanks to the improvement of the skill of draping fabrics around the human body. With the mastery of the technique of stitching individual pieces of fabric or leather, clothing items became more perfect and varied in shape and purpose. The next step in the further evolution of clothing was associated with mastering the cutting technique, which made it possible to create such forms of clothing that most accurately replicated the natural proportions of the human figure, allowing it to move and act freely.

Ukrainian traditional costume is characterized by a combination of different ways of creating multifaceted forms of clothing. Here you can single out ancient types of thigh clothing (zapaska, derga), rectangular pieces of fabric which were held on the figure with the help of ties or belts. Along with this, partially sewn clothes - plakhta, which is mentioned in documents of the 16th century. Three centuries later, it became an element of the festive dress of the women of the Middle Naddnieprianshchyna. Different ways of draping a long rectangular piece of fabric have been preserved in such a female headdress as a hat, which has an ancient origin. This tradition continues in modern ways of tying scarves.

A costume is a concrete-historical phenomenon, a product of the development of a certain ethnic group, nation, ethnographic or local group. It reflects this development with the specificity of its functions, material, cut, ways of wearing, the very essence of color, ornamentation, various accessories, and the uniqueness of the overall silhouette. Features of ethnic specificity and ethno-cultural kinship in the costumes of different peoples are an important source of knowledge of ethnic history from ancient times to the present day. The traditional costume is an important product of the culture of a specific people, the study of this phenomenon sheds light on the question of the genesis of this ethnic group, its historical development, clearly reveals ethno-cultural relationships and mutual influences.

According to the Ukrainian researcher T. Nikolaieva, precisely those territories where women's waistcloths made of one or more home-made fabric pieces, tunic-like shirts, complicated rigid forms of women's headdresses – ochipka, etc. (Naddnistriashchyna, Naddniprianshchyna, southern Podillia) have been

preserved there was a border along which, at the turn of two epochs, the interpenetration of ancient and ancient Slavic cultures, the ethnocultural contacts of our ancestors with the civilizations of the Ancient World took place.

The presence in Ukraine of various types of Eastern-style clothing – wide men's trousers, gold-woven men's belts, and women's gown-like autumn and winter clothing – testifies to ancient and long-lasting ethno-cultural ties with other peoples. The stitched forms of clothing, home-made woven shoes of Ukrainians have many common features with Belarusian, Asian, Russian and Baltic clothes, testifying to their communication in the past with their northern neighbors. At the same time, the combination of all elements into a costume complex, the use of original manufacturing technologies and clothing decoration enables researchers to unmistakably identify clothing complexes that have been in Ukraine for centuries.

Thus, items of clothing, together with other source complexes, make up a significant share of material sources containing valuable information about the historical past of the Ukrainian people, other ethnic groups that inhabited the lands of Ukraine in different eras, make it possible to clarify and supplement information about the ethnogenesis of the Ukrainian nation, the history of individual ethnographic-regional, social, professional and age groups, development of culture, lifestyle, and spirituality.

Material sources, together with other source complexes, form the source base for research into historical facts, events, and phenomena.

## **LECTURE 5**

### **VISUAL SOURCES**

#### **Plan**

- 1. General overview of visual sources from Ukrainian history**
- 2. Graphic book images**
- 3. Portraits**
- 4. Genre and historical visual sources**
- 5. Cine-photo-video documents (audiovisual)**
- 6. Cartographic sources**
- 7. Bonistic sources (visual aspect)**
- 8. Folk paintings**

#### **1. General overview of visual sources from Ukrainian history**

Visual sources, unlike other types of sources, contain information encoded in certain visual images. It is as complex as any other source information (can be open, closed, hidden, etc.). Comprehensive research, bring out and use of information from visual sources allow a historian not only to supplement and illustrate certain historical facts, which is also important for scientific research, but also to look at them in the literal sense of the word.

Let's recall the folk wisdom: "It is better to see once than to hear a hundred times." It contains one of the basic postulates of any cognition, because the visual range of information perception is as important as the auditory, tactile, and intellectual. It plays an important role in the process of not only scientific and cognitive, but also teaching, educational, and state-building activities. In fact, when researching, for example, the Ukrainians' tragic history of the first half of the 20th century, it is necessary to study and analyze thousands of written documents, memories of participants in the events, periodicals, to state hundreds of figures, but



only in newsreels, photos, pictures, the past seems to come alive, embodied in real people – participants or witnesses of the events.

Thus, one of the main qualitative features of the vast majority of visual sources types is the direct recording of historical information at the moment when the event occurs. However, it does not mean that all the information of the visual source automatically becomes absolutely objective and reliable as its author is a certain person with his own vision of events, purpose, intentions, degree of giftedness, etc. Therefore, when researching visual sources, the basic source criticism principles and postulates should be followed in the same way as in the process of working with other types of historical sources.

Various types and groups of visual sources were the subject of research of such Ukrainian historians and art critics as M. Hrushevskyi, Ya. Zapasco, Ya. Isaievych, M. Dmytrienko, L. Markitan, D. Stepovyk, R. Tkhorzhevskyi, S. Khvedchenia, S. Vysotskyi, S. Kilessso and others.<sup>1</sup> In order to study various historically important images, historians and source researchers have to use, in addition to original works, their numerous publications in the form of art albums, exhibition catalogs, sets of art postcards, etc.

Foreign authors' works of fine art contain a huge array of visual information on the history of Ukraine. This can be confirmed by the handwritten albums of de la Flise, the French researcher and artist of the middle of the 19th century; two volumes of them have already been published by the M. S. Hrushevsky Institute of Ukrainian Archeography and Source Studies. The first of them contains B. Khmelnytskyi's and I. Mazepa's portraits, images of Kyiv temples, village buildings in Poltava and Chernihiv regions, specimens of churches, etc.

When studying visual sources, historians use not only general historical and source studies methods, but also methods developed by art experts. In particular, the division of visual sources into graphic, sculptural, painting, works of applied art has an art history origin. This classification takes into account at one time the method of the source creation, its form, features of use and can be applied in source studies.

The classification of visual sources by another formal feature – by size – is also common. Thus, visual sources may be large (monumental), medium, and small (miniature). The monumental form, which is characteristic only for sculpture and painting, is mostly associated with architecture, certain varieties of which are attributed to visual sources. Among the monumental images, an important place is occupied by frescoes, mosaics, reliefs, and stained-glass windows. Primordial rock paintings – petroglyphs – can tentatively be considered a prototype of monumental painting.

There are different forms and types of visual sources, all of them should be considered as a complex phenomenon. In some of them, real historical events are recorded with the help of an eyewitness-artist's brush, a camera or a movie camera. In others, along with real phenomena, moods, color and temperament, various aspects of objective reality, surrounding the artist and prompting him to create certain images, can be reflected.

Visual sources, as historical objects of the era, uniquely characterize the features of the society development, literally reflecting historical reality. The study of their complex requires a scientific approach, special methods of researching art works of different origins.

## **2. Graphic book images**

Since ancient times, handwritten and printed books in Ukraine have been adorned with various decorations and illustrations, which have not only historical-artistic value, but also cognitive, and historical-source one. Researchers tentatively divide book graphics into two groups: miniatures of handwritten books and engravings of printed books. The main difference between the two is that miniatures are actually direct drawings in the text, while engravings are first performed on wood, metal or other material, and then reproduced on the book pages by printing.

A. Artsykhovskiy, the well-known scientist and expert in the history of the Ancient Russia culture, was one of the first to raise the issue of the need to examine and use book miniatures as a historical source. Studying miniatures and comparing them with other sources allowed him to single out among them those that reflected political, cultural and spiritual life, socio-economic processes, development of agriculture, crafts, military affairs, everyday life, natural phenomena, etc. While researching the miniature, the scientist used a large number of ancient Ukrainian handwritten monuments, whose originals are preserved mainly in Moscow and St. Petersburg.

Among the oldest miniatures on the pages of ancient Ukrainian handwritten books, the images of the evangelists John, Luke and Mark in the Ostromyr Gospel (1056 – 1057) attract special attention. This large liturgical book impresses with its beautiful artistic taste. Its text is written on parchment in a large uncial in two columns. In addition to the mentioned miniatures, the text is decorated with artistic headpieces reminiscent of the fresco ornamentation of Sophia of Kyiv, and large capital letters – initials.

The images of another well-known book art monument of the 11th century – Izbornik of Sviatoslav (Sviatoslav's collection) of 1073 – contain valuable information. Among them, the original miniature with a family portrait of Prince Sviatoslav Yaroslavych makes a special impression. In the margins of the book there are drawings of the zodiac signs (Virgo, Sagittarius, Cancer, etc.), which testify to the development of scientific and natural knowledge. The text is decorated with wonderful headpieces, tailpieces, initials written in gold and colors.

Such well-known ancient Ukrainian book art monuments of the 12th century as Mstislavovo Evangelie (Mstislav's Gospel) (about 1115) and Yurievo Evangelie (Yurii's Gospel) (1119-1128) are also decorated with miniatures, artistic headpieces, and beautiful initials. In the latter, the initials are made in the form of animals, birds, human figures, and woven plant ornaments. The drawings have a direct connection with ancient Ukrainian folklore.

The art of illustrating handwritten books reached a high level in the 14<sup>th</sup> – 15<sup>th</sup>

centuries. The miniatures of the Kyiv Psalter, copied by the monk Spyridonii in Kyiv in 1397, are considered a true masterpiece. On the white parchment there is a series of beautiful miniatures, executed in blue, red, crimson, green, golden ochre colors, covered with a thick grid of gold touches, thanks to which they shine and shimmer, making an unforgettable impression on the audience. At the same time, this manner of making miniatures has a source value, as it sheds light on the widespread in Ukraine style of illustrating handwritten books of the late Middle Ages. Among the miniatures of the Kyiv Psalter, in contrast to previous monuments, there are many genre paintings: a tower construction, potters' painting of dishes, and battle scenes. The color scheme, high skill of execution, and the glow of the golden strokes of the Kyiv Psalter miniatures inherit the traditions of the mosaics of the Kyiv temples of the 11th – 12th centuries.

A new direction in the decoration of manuscripts was discovered by an unknown master of the Gospel of the end of the 15th – beginning of the 16th centuries. He was one of the first to start surrounding the entire page of the text, the background of the Gospel miniatures, with floral Gothic-Renaissance ornament. His work influenced the further evolution of the book miniature, which gradually became less conventional. The exponent of new ideas was the master Andreichyna, who illustrated such books as “The Kholm Gospel”, “The Gospel” (preserved in the Lviv Museum of Ukrainian Art) and others.

An important source for studying the book art history of the end of the 16th century is the “Peresopnytske Gospel”, written in Volyn (now preserved in the Institute of Manuscripts of V. I. Vernadskyi National Library of Ukraine). It organically combined a wonderful calligraphic execution of the text, four ornamental compositions with miniatures depicting evangelists, rich decorative ornament, perfect tailpieces, headpieces, initials full of Renaissance motifs. This book is destined to play an important role in the social and political life of the country in our time – it is on the “Peresopnytske Gospel” that the presidents of Ukraine take an oath of office.

The graphics of books published in Lviv, Ostroh, Kyiv and other cities in the 16th and 17th centuries is important for the study of the history of Ukraine. They are valuable monuments of the history of culture, printing, and graphics. Masters of old printing saw about a perfect internal structure, an attractive aesthetic appearance, paid a lot of attention to script styles, composition, typesetting, printing, often two-color, artistic decoration of the publication as a whole.

The decoration of Ukrainian early printed books with heraldic images is of source importance. The tradition of adding dedications to influential people in liturgical books required placing their coats of arms and verses under them. In many editions of the Lviv Fraternal Printing House there are poems about the coat of arms of the Lviv Brotherhood, in which the idea is repeated in different versions that the coat of arms naturally combines the image of a lion, the symbol of Lviv, and a tower, a symbol of the stability of the brethren in the struggle for Orthodoxy.

Engravings with instructive, moralizing content were common in early printed books. The “Teacher’s Gospel” (1637) contains the engraving “The Parable of the Rich and Death”, which depicts an arrogant lord watching the serfs working for him – winnowing rye, pouring bread into the pantry. And death with a scythe is already standing behind him.

The presence of a large number of story engravings in Ukrainian prints of the 17th century shows that in this way the demand for illustrated books, conveying knowledge to the masses, expanding their horizons, and influencing aesthetic ideas, increased. It is no coincidence that already in the first half of the 17th century an engraved book appeared without a text, with only story images. Kyiv-Pechersk printing house, which for the first time in the practice of East Slavic printing began to publish engraved books (the initiator of their release was Pamvo Berynda), also published separate engraved sheets with easy-to-understand plots. Illia, Nikodym Zubrytskyi, Inokentiy Shchyrskyi, Oleksandr and Leontiy Tarasevichi, and others were prominent masters of illustrated engraving.

Early printed books show that Ukrainian masters were well acquainted with the printing business of Western Europe. Ivan Fedorov showed an example of

creative mastering of Western art. Engravings of Western European artists as Ergard Schon, Hans Sebald Beham, Heinrich Aldegrever, and others became prototypes of some of his figurative and ornamental decorations. When creating the Illuminated Bible (1645 –1649), the talented Ukrainian engraver Illia skillfully used the engravings of the Dutch master Fischer (Piscator). Prints directly from the original plates, which were previously used in Polish and German editions, are found in Ukrainian types. At the same time, researchers of Ukrainian printing found out that some plates of Ukrainian printing houses were transported to printing houses in Warsaw, Poznan, and Iass. This testifies to the cooperation of Ukrainian printers with European masters.

Ukrainian engraving of the 18th century testified to Ukrainian masters' significant achievements in the genre of not only book engraving, but also machine engraving. Relatively simple and cheap to produce, the engraving was of great importance in the Ukrainians' cultural life. The main places of engravers' training were the Kyiv Academy, collegiums in Pereiaslav, Chernihiv, and Kharkiv. In addition, engravers' training was also conducted in the Kyiv Pechersk and Pochaiv Lavras. Some masters continued their training abroad (Poland, Germany).

Thus, monuments of book graphics – miniatures and engravings – make up a valuable source complex of Ukrainian history. Due to the fact that until the end of the 18th century Cyrillic handwritten and printed books mostly had a cult purpose, the thematic space of miniatures and story engravings was somewhat limited, nevertheless this does not diminish their source value. When illustrating a liturgical book, artists often sought to convey their life impressions, social ideals and moods. The story images are of great artistic and historical value, as elements of everyday life, home furnishings, economic activities, military affairs, entertainment, architecture, symbols of that time are faithfully reproduced in them. Book graphics received further development in book printing in the 19th and 20th centuries, which makes it possible to trace the improvement of the technique, the enrichment of the forms and content of images.

### **3. Portraits**

One of the most valuable historical images is a portrait, with the help of which a historian can study not only a certain person's appearance, but also the era the portrait belongs to. In fine arts, a portrait is an image of a certain person (or group of people), that reproduces his image, reveals the inner world in his individual uniqueness. The history of a portrait is the humanity history embodied in personalities. Studying a portrait can become a source of a wide variety of knowledge about the person himself, as well as his time, social status, occupation, clothing and fashion of the era. The emergence of the portrait genre is connected with those historical stages when a person sought to realize himself as a personality, unique in revealing his qualities, appearance, and temperament.

The so-called family portraits, i.e. commissioned by a person for his family to be remembered by heirs, have their specificity. Thus, rich families' genealogical portrait galleries appear, which can be used to study changes in appearance, people's spiritual world, and historical living conditions.

A vivid contrast in characters, appearance, and clothing is reflected, for example, in the genealogical portraits of the Cossack-starshyna family of Semen Sulima. If the senior members of the family – Semen Sulima and his wife Paraska – are depicted as typical representatives of the Cossacks' prosperous class, in rich clothes decorated with all kinds of patterns, which were supposed to symbolize their belonging to a noble Ukrainian family, then the portraits of their son Akim and daughter-in-law Maria, on the other hand, are practically no different from the popular noble portrait typical of many European countries.

A portrait is also one of the common images of an artistic miniature, which was performed with a thin brush on bone, parchment, metal, porcelain or other material using enamel, gouache, watercolor, etc. Such images were mostly of an intimate nature and were intended for individuals. Miniature of the 18<sup>th</sup>-19<sup>th</sup> centuries is one of the important sources for the personification of that time history.

The portrait in miniature should be considered in an inseparable connection with other portrait genre sources in order to identify historical personalities.

Other informatively important and common types of portrait images are pictural, graphic, and portrait photos. Today we have a unique gallery of Ukrainian history and culture figures' portraits of the 11th-20th centuries.

Images of the princely era are of special value for historians. First of all, they include the frescoes of Sophia of Kyiv, which depict a group portrait of Yaroslav the Wise's family. Initially, the composition was placed on the northern, western and southern walls of the main nave. The central part of the composition, which was located on the western wall and has not survived to our time, is known from Abraham van Westerfeld's drawing of the year 1651. The drawing depicts Yaroslav the Wise with a model of St. Sophia Cathedral in his hand and Yaroslav's wife, Princess Iryna. In the center of the composition there was the figure of Jesus Christ, on either side of which, perhaps, there were the founders of Christianity in Rus, Prince Volodymyr and Princess Olga. Yaroslav and Iryna were followed by their sons and daughters in the solemn procession. Four figures on the southern wall of the central nave and two on the northern wall have been preserved from this large composition.

The creation of another interesting portrait art monument is connected to the family of Prince Izyaslav Yaroslavych. While Izyaslav and his family were in exile, the archbishop of Trier gave his wife Gertrude the Trier Psalter (kept in the city of Cividale in Italy) as a gift. By the princess's order, several miniatures were added to the book, including "Our Lady of Pechersk", "Christ on the throne crowning Yaropolk-Peter and his wife Yaryna Konigunda" and "Gertrude, Yaropolk and Yaryna in front of Saint Peter". The portraits of Yaropolk Izyaslavych and the princesses are very characteristic, perhaps they accurately conveyed the facial features.

A unique monument of ancient Ukrainian portrait graphics is the so-called original miniature, an illumination on the second sheet of the Izbornyk of 1073 where Prince Svyatoslav Yaroslavych, for whom the work was prepared, and his



family are depicted. The prince is depicted in a blue *plashch-korzno* (a kind of cloak), edged with a golden border, fastened with a fibula on the right shoulder. On his head is a princely hemispherical cap with a fur brim. The princess is dressed in a long white dress with wide sleeves, fastened with a gold belt. On the head there is a *plat* (a kerchief). The prince's sons are dressed in red clothes and wear belts. This miniature, made in the best traditions of the icon painting of the time, presents portrait images according to the canons of the scriptures of saints who were princes during their lifetime, although in this case the book miniature is a portrait of secular persons. In the 10th-11th centuries artists' creative fantasies, whatever genre they worked in, were limited. Therefore, these images have a conventional character, their purpose was to show a Christian high-moral, wise, good ruler, a faithful son of the church, the head not only of the state, but also of the family, husband and father.

For a long time, art in Ukraine, like everywhere else in Europe, was of a purely religious nature. This was manifested, in particular, in the absence of a secular portrait. However, secular motifs are gradually entering icon painting, book graphics, etc. A specific environment, many household items – furniture, clothes, fabrics, and genre scenes appearing in handwritten books are beginning to be depicted in icons. From the 15th century on icons, especially such as “*Vozdvizheniya*” and “*Pokrova*” (“*Intercession*”), patrons, local figures or founders of temples are depicted alongside the saints. Portraits of real historical figures in the compositions of icons and temple paintings are becoming a fairly common phenomenon of Ukrainian art, thanks to which we can significantly increase our knowledge about the life and activities of representatives of different strata of Ukrainian society for several centuries, and about that period artistic styles and moral values.

The icon of “*Intercession*” with the image of the last *kosh* (camp) *otaman* (chieftain) Peter Kalnyshevskyi, which was kept in the destroyed Nikopol *Intercession Church*, has been preserved to this day. One of its variants attracts attention due to the absence of the church interior, the figures of Roman *Solodkospivets*, the king, the bishop, and other clergy. It is not they, but the *kosh*

(camp) otaman (chieftain) on behalf of the army, who turns to the Mother of God with a prayer. From his mouth comes the inscription: “Please, protect us with your bona fide covering and save us from all evil.” The icon embodies the understanding that the Cossack volnitsa (the self-governing Cossack community) is living out its last days, and no one, except the Mother of God, will help it.

The icon “Pokrova Bohorodytsy” (“The Intercession of the Virgin”) from the Intercession Church in the village of Sulymivka, Kyiv region, depicts the Sulyma’s family members. In general, there were a lot of “Pokrov” (“Intercession”) icons depicting Cossack colonels holding a pernach (a type of flanged mace) in their hands and dressed in wonderful outfits, Ukrainian women in a traditional headdress “korablyk” (a small women’s cap of an oblong-rounded shape with low edges and horns sticking up in front and behind that was a traditional headdress of noble married women, widespread throughout Ukraine during Cossack times). People got used to these icons, they became a necessary attribute of every large settlement, every temple in it. Back in the 19th century in the villages and hamlets of the Left-Bank Ukraine, one could see icons painted by the Cossacks themselves at the prompting of the local icon-painters, where all the positive characters of the Holy Bible looked like their friends or acquaintances, and the negative ones looked like enemies of the Ukrainian people. The Mother of God often had a purely Ukrainian face, it is possible that it was the face of the mother, lover or wife of the donator or master. A significant part of the iconographic portrait variety has not survived to our time, but what has survived is an invaluable source of information on the history of the Ukrainian Cossacks, and its personification.

Portrait images, which for a long time were combined with monumental painting and icon painting, from the 17th century began to be distinguished into a separate genre that could mainly be found among the feudal nobility, the Cossack nobility, the Polish nobility and the wealthy middle class. Depending on the purpose there were donators’ portraits, tombstone portraits, epitaphial portraits, founders’ portraits, church wardens’ portraits, and family memorial portraits. They differ in a variety of themes, stylistic features and artistic methods of execution. Epitaphial and

tombstone portraits were executed in a restrained manner, reflecting people's individual features and character (portraits of the Krasovsky couple from Lviv, Yevdokia Zhoravko from Novhorod-Siverskyi).

Ukrainian museums preserve a lot of portraits of real historical figures of the 17th-20th centuries: hetmans, the Cossack nobility representatives, Ukrainian nobility, church and public figures, outstanding scientists, political leaders, cultural figures, etc. The portraits of Dmytro Vyshnevenky (Baida) (18th century), Hetman Petro Sahaidachny (18th century), Mykhailo Korybut Vyshnevetsky (18th century), Raina Vyshnevetska (late 16th – early 17th centuries), executed by unknown artists, are among them. Only the last of these portraits was painted from life, moreover, by a very talented artist who managed to reproduce Raina Vyshnevetskaya's individual features of appearance and character. The source for making the portrait of Hetman Sagaydachny was probably an engraving from a drawing by an unknown artist, included in "Poems on the pitiful burial of Peter Konashevich Sagaydachny..." (1622) by K. Sakovych. Numerous details of the portrait prove this: elements of clothing, the image of a mace, coat of arms, etc. However, the artist of the 18th century, relying on a rather conventional monument of the 17th century, showed the hetman as the Ukrainian society of the period imagined him: a wise, powerful, strong personality, and a real state governor.

Portrait images of Bohdan Khmelnytskyi are of great interest to researchers. Unfortunately, not a single portrait of the hetman, painted from life, has been discovered yet. Most of his later portraits are from engravings by Wilhelm (Guillaume) Hondius, the Dutch artist who worked in Gdańsk.

Another well-known portrait of the hetman is found on the pages of Samiilo Velychko's annals. In addition, the annals also contain ten ink drawings, slightly tinted with watercolors. In addition to the portrait of B. Khmelnytskyi, the images of hetmans I. Vyhovskyi, Yu. Khmelnytskyi, P. Teteri, I. Briukhovetskyi, P. Doroshenko, D. Mnohohrishnyi, M. Khanenko, I. Samoilo vych, I. Mazepa are presented here. The author of the portraits is unknown, researchers assume that he could be S. Velychko himself, at least of the portraits of those hetmans whose

activities the chronicler condemned. These are somewhat caricature images (Yu. Khmelnytskyi, P. Doroshenko, I. Briukhovetskyi) or profile images (P. Doroshenko, D. Mnohohryshnyi), which are not endemic to Ukrainian portraiture.

In Velychko's annal Bohdan Khmelnytskyi is depicted at an earlier age than in the engraving by Gondius. He is portrayed bareheaded, dressed in a mail, with a delia (a kind of a cloak or coat) slipped on it, and holding a mace in his left hand. We see an energetic, intelligent, soulful, and worthy of respect person. The portrait is also interesting as its framing composition includes the hetman's own coat of arms with flags, cannons, balls, spears and timpani.

Hetman's portraits also appear in compositions of Ukrainian icons of the 17th-18th centuries. One of them is on the icon of the Intercession of the Holy Mother of God of the end of the 17th century, originating from the southern parts of the Kyiv region. The portrait of Chernihiv Archbishop Lazar Baranovych (1620 – 1693), standing under the right hand of the Mother of God, dates the icon. She covers Tsar of Moscow (probably Oleksii Mykhailovych) and Bohdan Khmelnytskyi with her left hand. Other figures on the icon are indistinct. Here the hetman is seen quite young, full-bodied, with a proud head posture, and a watchful gaze. In the portrait of the first half of the 19th century from the Medvedivskyi Monastery Bohdan Khmelnytskyi is depicted as a real young Cossack, slender, handsome, with a black mustache and black eyebrows. Mykhailo Hrushevskyi included the portrait into the "Illustrated History of Ukraine". This is how the people wanted to see their hero, so his image is close to folklore and folk paintings.

T. Shevchenko's portraits have a considerable source value. Among them are excellent examples of pencil drawings (portraits of Ye. Shevchenko, A. Lyzohub, M. Lazarevskyi, M. Maksymovych), watercolors (portrait of Ye. Hrebinka), and oil paintings (portrait of I. Lyzohub). The master made a series of portraits of renowned Russian cultural figures (F. Tolstoy, P. Klodt, F. Bruni) in the etching (metal engraving) technique. T. Shevchenko's female portraits, in particular A. Lazarevska, G. Zakrevska, M. Maksymovych, M. Kryzhevych, M. Katerynych, are

characterized by special lyricism and respectful attitude. The portrait of A. Uskova sitting and holding a child on her lap, is painted in sepia on paper in 1853 – 1854.

Studying T. Shevchenko's portrait images, a historian gathers information not only about the author's attitude towards the depicted personalities, but also about the real individual features of their appearance, character, temperament, manner of dressing, professional occupations, preferences, etc. It was in the ability to reveal and show the person's inner world that the talent of T. Shevchenko, a portraitist, was most embodied. It is worth mentioning that St. Petersburg Academy of Arts highly appreciated Kobzar's skill and awarded him with the title Academician Engraver for a series of etchings.

#### **4. Genre and historical visual sources**

Painting, like other forms of art, is one of the forms of social consciousness, a means of knowing the world. Artistic images created by painters mostly do not develop over time, but reflect a certain moment of a historical event or phenomenon. By methods of typification and corresponding means of artistic expression, painting reveals the essence of phenomena and the regularity of life processes, reproduces not only the external appearance, but also the inner world, people's characters, and their social relationships. For example, it can be said about T. Shevchenko's genre and landscape drawings, which realistically show the Ukrainians' life and lifestyle. The great Kobzar's moral and social views are embodied in the genre painting. The contemporary reality criticism can be traced in his canvas "Kateryna". Presenting the image of a serf girl offended by a Russian officer, T. Shevchenko was the first in national art to express a protest against the lawless position of women. "Kateryna" has the features of a traditional folk picture, with its narrative, dramatic content, and instructive conclusion. It also contains some means and forms typical of the folk painting, for instance, in depicting a landscape motif, everyday life items, in the composition of a villager's figure, resembling that of Cossack Mamai's, in a clear

and rich color. The character of Kateryna – a pretty serf girl, ordinary and credulous – was painted with special love. Her face expresses deep regret, patience, and suppressed tears.

In the paintings “A Peasant Family”, “At the Apiary” T. Shevchenko turned to the theme he praised in his poems and verses – to the theme of sanctity, inviolability of motherhood and fatherhood. When you look at these canvases, the lines of his poems about the mother and the child come to mind, which are really wise and philosophical due to the power of the thought expressed in them. In the parents’ gentle conversation, the woman’s and the man’s characters, and their interest in the child’s behavior are depicted.

In T. Shevchenko’s drawings, illustrations and etchings, the art of graphics reached a high level. The “Picturesque Ukraine”, the first work of critical realism in Ukrainian graphics, was planned by Shevchenko as a periodical artistic publication about the historical past of Ukraine. In 1844, the first and only issue of the “Picturesque Ukraine” was published, consisting of six prints – the historical composition “Gifts in Chyhyryn”, dedicated to the events of the Ukrainian People’s Liberation War of the middle of the 17th century. The genre scene “Starosty” depicts the high moral traits of the Ukrainian people; “Judicial Council” presents a fair people’s court opposed to an official court. The etching fairy tale “Soldier and Death” is a sharp satire on the Mykolai soldiery. Landscapes “In Kyiv” and “Vydubyskyi Monastery in Kyiv” reproduce the nature and ancient architecture of Ukraine.

A historian must always remember that the vast majority of works that reflect historical events were created by authors who were neither contemporaries nor eyewitnesses to the events, but revealed the stories based on their own study and vision of the era. It is here, and not in the plot of the picture, that the source information is hidden. Let’s turn to the famous paintings of I. Repin, the outstanding artist. He was connected to Ukraine not only by his origin, but also by his creative, pedagogical and public activities, he studied the history, daily life of the Ukrainian people, their culture and art. I. Repin is a Ukrainian by the nature of his work. The

Ukrainian element is seen in his canvases on the Ukrainian theme – “Ukrainian Village Woman”, “Taras Shevchenko’s Portrait”, “Hetman”, “Black Sea Volnitsa”, “Haydamaki”, “Vechornytsi” and others.

Let’s consider the painting “Zaporozhtsi pyshut lysta turetskomu sultanu” (“Zaporozhians write a letter to the Turkish sultan”) in more detail. It spread the fame of the Zaporizhian Cossacks, their heroic, indomitable character all over the world. The history of this canvas creation is inseparable from Ukraine, its historical monuments, nature, and Zaporozhian Cossacks’ descendants.

Bright, colorful figures of Zaporozhian Cossacks are portrayed on the canvas. Three of them are images of Gogol’s literary characters, the Cossack colonel Taras Bulba and his sons Ostap and Andrii. One character is a historical person, the *kosh* (camp) *otaman* (chieftain) Ivan Sirko, the other two are a military judge and a clerk, and the rest are ordinary Zaporozhians. In the painting Repin depicted a Tatar and a Polish nobleman who also visited Zaporizhzhia.

The spirit of the picture is supported by the original Zaporizhzhia entourage – bright clothes, weapons, and gear. A camp can be seen behind the crowd of Zaporozhians. The Zaporozhians huddled around the table at which the scrivener sits. He smiles slyly. He hears, but is in no hurry to write down the annoying epithets addressed to the Turkish sultan, which the Zaporozhians make up. Some spring jokes, others roar with laughter or just smile at their friends’ humor.

The plot of the painting reproduces only one of the episodes from the Zaporizhian Cossacks’ life, but the artist put a deeper meaning into it. He embodied his historical concept, the idea of heroism, indomitability, boundless freedom-loving, independence of the Zaporizhian Cossacks, who rejected the demand of the ruler of the most powerful state in the world at that time – Sultanate Turkey – to bow to him. The Zaporozhians, who opposed the huge forces of the Ottoman Empire at sea, destroyed the Turkish Black Sea fortresses and ports, this time defeated the enemies with their laughter, humor, and mocking laughter.

The Ukrainian Cossacks’ history attracted and inspired artists of the 20th century. The outstanding Ukrainian battle painter and graphic artist M. Samokysh

dedicated many paintings and drawings to the Ukrainian people's Liberation War in the middle of the 17th century. Among them are "Bohdan Khmelnytskyi's Entry in Kyiv", "Battle under the Yellow Waters", "Zaporozhians' Boarding the Turkish galley", "Battle of Maksym Kryvonos with Iieremia Vyshnevetskyi" and other canvases.

Considering genre and historical visual sources in content, it should be noted that each of them has its own "face", which was formed under the influence of many factors. However, the main ones are the time of the work creation and the creator's individuality; the peculiarity of the artistic perception of the world.

The researcher is convinced that artists, no matter what problems they deal with, solve their tasks in an organic connection with their contemporary life. They respond to these or other events, feel their social importance, express their personal opinion about them through artistic means.

## **5. Cine-photo-video documents (audiovisual)**

A specific form of visual sources is the recording of surrounding activities using physical and chemical means – cine-photo-video documents that preserve valuable historical information about events in the people's political, economic, and cultural life.

Cine-photo-video documents, as a historical source, reveal historical events and facts in the form of static or dynamic visual images. The camera lens captures such details and nuances, characteristic of this or that phenomenon or event, which can hardly be recorded in other types of sources. Cine-photo-video documents may provide historians with the information they do not get from other sources, which is important for clarifying already known facts.

Photographs are a relatively old, massive and accessible source of this group for the researcher. They are stored in the collections of archives and museums, published in the form of photo albums, mainly of a thematic nature, which is very



important for researchers. The pages of newspapers, scientific and memoir literature, etc. are filled with valuable photographs. Ukrainian museums and archives, both central and local, have a solid fund of photo documents, many of them are kept in private collections. Thus, photo documents are a quite common and accessible, but at the same time difficult historical source to research. If films have their own narrative texts that help researchers in working with them, then photo documents, except for names, mostly do not have the necessary texts. They need decoding, i.e. additional work with them.

The direct reflection of reality on the image is an indisputable advantage of photo documents as a historical source. Their source value is determined by the fact that they contain specific facts, and this enables a researcher to realistically reproduce events from the history of the period.

Cinema and video are a synthesized type of visual sources, which in practice include the means of literature, painting, principles of frame construction, etc. Films and videos embody images and events created by screenwriters, film directors, artists, actors, and cameramen on the screen. Having arisen on the basis of highly developed technology, they reproduce reality, relying on the experience of other types of art. Unlike written sources, cine-photo-video documents give the researcher the opportunity to see historical reality in motion, in the process, and be taken back in time.

Cine-photo-video documents have a number of features necessary in source-study work with them. The general principles of criticism of historical sources are fully applied to cine-photo documents. A researcher first of all establishes the origin of the photograph or film, determines its author. Cinematographers' work is mostly related to individual institutions (film factories, film studios, etc.). Determining the photo document authorship is somewhat more difficult, especially when it comes to ancient pictures.

One of the important problems of cine-photo documentary criticism is determining the place and time of filming, its participants' names, etc. If the film legend of the photo document raises doubts, it is necessary to compare it with other

sources – the press, archival materials, memoir literature, etc. Well-known features and details of a particular area, buildings, monumental art works depicted in the shot often help to determine the location of the shooting. The so-called auxiliary information is of great importance for the deciphering of cine-photo documents – intra-frame inscriptions: slogans, banners, posters, placards, etc.

A portrait photo is one of the photo documents types. Many photos of the late 19th and early 20th centuries preserved up to now images of prominent representatives of political, cultural, educational and other important spheres of life of the Ukrainian society of that time. Among them, the portrait photos of the first President of Ukraine M. Hrushevskyi, the heads of the UNR Directorate V. Vynnychenko and S. Petliura, Hetman P. Skoropadskyi, President of the ZUNR E. Petrushevych and other builders of the Ukrainian state during the period of liberation struggles are of particular value.

The main specialized center for storing cine-photo-video documents is the Central State CinePhotoPhono Archives of Ukraine, founded in Kyiv in 1932. The uniqueness of this archive lies in the fact that it collects, records and stores audiovisual documents in the form of photographs, motion pictures, video films, phonorecords, magnetic tapes, etc. Among the visual sources in the funds of this archive are countertypes of T. Shevchenko's portraits, portrait and group photographs of I. Franko, L. Ukrainka, M. Hrushevskyi, M. Lysenko, M. Zankovetska, many political figures, ascetics of the Ukrainian revival, in particular those of S. Petliura, V. Vynnychenko, P. Skoropadskyi, and others. The archive also contains unique newsreels that record the historical events of the Ukrainian Revolution of 1917–1920, World War II, etc.

Taking into account the specific historical conditions, cine-photo-phono documents of the Soviet era occupy the dominant place in the archive's funds. They recorded the main events of socio-economic, political and cultural life: the construction of industrial enterprises, power plants, the development of agriculture, achievements in the field of science, education, culture, art, mass demonstrations, festive demonstrations, etc. Cine-photo documents contain valuable visual

information about the life and activities of many Ukrainian cultural figures (A. Buchma, O. Vyshnia, O. Dovzhenko, L. Kurbas, P. Tychyna, A. Malyshko, V. Sosiura, M. Rylskiy), talented scientists (A. Krymskiy, V. Vernadskiy, S. Korolev, B. Paton) and others. In total, the archive holds more than 50,000 cine documents, 30,000 photo documents, as well as a significant number of phono documents.

Cine-photo documents are also widely represented in a number of local archives of Kyiv, Sevastopol, Autonomous Republic of the Crimea, and regions. They are widely used in historical research, popular science publications, memoirs, newspapers and magazines, etc.

## **6. Cartographic sources**

Historical and geographical maps, cartographic schemes are one of the types of visual sources from the history of Ukraine. Images on maps are a special type of real phenomena modeling that graphically conveys their quantitative and qualitative characteristics, structure, relationships, and dynamics.

It should be noted that there are quite a lot of meaningful cartographic sources from the history of Ukraine. The oldest maps of the territory of modern Ukraine belong to Greek and Roman authors.

The Peutinger Table is a Roman Road Map created in the 4th century AD and it was the first to state the names of the peoples inhabiting ancient Ukraine. Printed Western European maps preserved information about the territory of Ukraine in the 15th and 16th centuries. They were created on the basis of the works of Claudius Ptolemy (2nd century AD), other ancient geographers, scholars of the Middle Ages (N. Kuzanskyi, A. Vida, etc.).

Ancient maps are an invaluable but under-researched source of Ukrainian history. As S. Khvedchenia, a contemporary researcher of ancient Ukrainian maps, remarked in this regard, “they are like magical keys that can be used to open the door

to the mysterious past and plunge into the secrets of distant centuries.” Ancient maps are a special kind of historical and cultural monuments. The development of cartography took place together with the development of mankind. Among the oldest cartographic images, we can mention drawings of the Stone and Bronze Age, maps of ancient geographers, Chinese maps on silk, medieval portolans, and drawings of the princely age. When studying ancient maps, it is necessary to know the laws of cartographic representation, conventional signs, the level of development of geographical knowledge of the corresponding era, and to master the language of maps, which require special training.

Monastery maps of the 17th and 18th centuries make up a special complex of Ukrainian cartographic images. The first printed maps of this group include three landmarks from Afanasii Kalnofoiskyi’s book “Teraturhima”, printed in the Kyiv-Pechersk Lavra (Kyivan Cave Monastery) in 1638. The first of them shows Feodosiu’s, or Far, caves, the second presents Antony’s, or Near, caves, and the third one demonstrates the upper territory of the Kyiv-Pechersk Lavra, the Mykylskyi Monastery, the Old Town and part of Podol.

Few scientific works are devoted to the maps of 1638, and there are quite contradictory assessments of their historical value. According to S. Khvedcheni, there are almost no errors on them. Moreover, when the scientist compiled all three maps in the order they were printed in “Teraturhima”, he got a single plan of ancient Kyiv. The images of the neighboring maps stuck to millimeters. A comparative analysis of ancient cartographic images with modern maps makes it possible to establish a fairly accurate location of the Kyiv-Pechersk Lavra catacombs and ground structures. As for the inaccuracies on the plan of Kyiv (incorrect drawing of Church of the Tithes and the Church of Three Saints), this, according to the scientist, is explained by the cartographer’s desire to show at least part of Podil, as a result of which he was forced to change the perspective.

There are reasons to call the images of 1638 maps, since the objects on them are shown significantly reduced, a whole system of conventional signs (paths,

vegetation, the relief of buildings) was used to mark them, digital markings were made, which are deciphered in the descriptions of the maps (legends).

The cartographic images of the “Kyiv-Pechersk Patericon” of 1661 are valuable. The author of the two maps was Ilia, the engraver of the Kyiv-Pechersk Lavra. In 1675, they were reprinted in I. Gerbinius’ book about the religious dungeons of Kyiv. They repeat the originals down to the smallest details, but they differ in higher image quality, since Ukrainian maps were printed from engravings on wood, and European maps were printed on copper plates. By the way, some researchers assume that the handwritten “Kyiv-Pechersk Patericon” dated 1462 could be accompanied by older cartographic images of the Kyiv-Pechersk Lavra caves. It is quite possible that the first Ukrainian printed maps of the 17th century were created on the basis of earlier cartographic drawings, but they are currently unknown to science.

In 1702, engraver Martyn Nekhoroshevskyi made maps for the edition of “Patericon”. The traditional content of the maps is supplemented with bright artistic elements, figures of monks, pilgrims sailing on boats or walking along a path, and interesting sketches from the Kyivans’ life. All this creates a unique atmosphere of the era, reconstructs the style of that time.

Ukrainian maps of the 17th and early 18th centuries can be compared with Western European maps of the late Middle Ages. High craftsmanship is characteristic of domestic maps. They bear the influence of the Ukrainian icon painting tradition, popular at that time plot book engraving. Peculiarities of Ukrainian maps are that each author offered his own variants of conventional signs, used artistic elements and paints to his taste.

Maps of the Kyiv-Pechersk Lavra of 1638 and 1702 oriented not to the north, as it is customary in cartography, but to the west. Starting from 1661, the compass rose was drawn on the monastery maps – a reference point for the directions of the world.

Ancient monastery maps are a guide for modern researchers of the history of monasteries. Thanks to cave maps, scientists in the Near Labyrinths discovered more

than 150m of ancient underground passageways, as well as a unique underground structure dating back to the 11th century. Ancient cartographic sources are likely to contribute to the disclosure of such secrets of Ukrainian history as the disappearance of the library of Yaroslav the Wise, the legendary treasure of the Varyaz Cave, etc.

There are reasons to believe that Ukrainian maps of the mid-18th century were created according to mathematical laws and with the help of geodetic devices. Among them, the maps compiled in 1744 by the engineering and topographical team of the Kyiv garrison in connection with the construction of the Pechersk fortress deserve special attention. The handwritten maps of 1744 are very reminiscent of modern ones in their design, they were continually copied in the second half of the 18th and early 19th centuries and were practically used.

In ancient times the territory of Ukraine was also shown on foreign maps. Ukrainian lands were often considered part of Poland or the Muscovite Empire. These are the cartography monuments of N. Radzyvil, T. Makovsky, and H. Boplan. "The Map of Ukrainian and Cherkasy cities from Moscow to Crimea" was created in the Moscow state of the 17th century. An interesting sight of cartography is the atlas of the Don River with maps of the Black Sea and the Sea of Azov, by K. Zh. Kruis, published in 1703. In the 18th-19th centuries Ukrainian lands are outlined on the maps of Russia, Austria-Hungary, Poland, Prussia, Turkey and other countries. Ukraine is depicted in detail in the atlases of I. Kyrylov (1734) and A. Wilbrecht (1792). Military cartographers of the 19th and 20th centuries made a significant contribution to the study of the geography of Ukraine and its mapping in cartographic sources.

Historical geographical maps of Ukraine are constantly being created even in our time. This was facilitated by the creation of the Department of Historical Geography and Cartography of the Institute of History of Ukraine of the National Academy of Sciences of Ukraine.

Maps are not only valuable carriers of source information, but also important educational, scientific and illustrative material.

## **7. Bonistic sources (visual aspect)**

A peculiar type of visual sources, distinguished by a complex and multifaceted informative structure, are paper currency. According to M. Dmytriienko currency notes are political and economic documents, sources of studying economic and political history, material and spiritual culture, which in a unique way reflected and recorded the socio-economic and cultural life of a certain historical era. This peculiarity consists in the fact that not only certain types of images (emblems, coats of arms, ornaments, portraits, filigrees), but also inscriptions, officials' autographs, dates, face values, etc., act as carriers of historical information. Only a comprehensive study of all the elements of paper currency makes it possible to establish the time and place, the reasons and circumstances of its creation, the history of functioning in the system of commodity and monetary circulation for a certain period of time, and the social significance of its introduction. The design of a banknote, considered as a whole, reflects the ideology of its time, the level of artistic culture, the development of technologies and methods of production. Often the authors of banknote standards were outstanding artists and graphic artists, which determines not only the historical, but also the artistic value of individual samples of this type of sources.

The first national banknotes appeared in Ukraine after the proclamation of the Ukrainian People's Republic by the Third Universal (November 20, 1917).

Artists H. Narbut, H. Zolotos, Yu. Romanovskyi and others participated in the competition for the production of first national banknotes samples. The project of the first banknote with the face value of 100 roubles and postage stamps (miniatures) was brilliantly executed by Heorhiy Narbut. The project was made in the Ukrainian Baroque style using the symbols of Ukrainian statehood – the trident (sign of St. Volodymyr) and the crossbow “kush” (coat of arms of old Podol). The face value inscriptions were in four languages – Ukrainian, Russian, Polish and Hebrew, which was to prove the state's tolerance towards national minorities. On December 23, 1917, the banknote was produced at the Kulzhenko's printing house. Unfortunately,

its technical implementation was significantly inferior to the original, but the very fact of the appearance of Ukrainian currency became a remarkable event and was enthusiastically received by the population. Thus, the bill with the face value of 100 rubles became the first in the Ukrainian state issue (its size was 53 million 250 thousand rubles). However, on January 16, 1918, the issue of bills was suspended due to the loss of the cliché, which later ended up in Moscow. These banknotes were withdrawn from the circulation by P. Skoropadskyi's government on September 24, 1918.

The banknote is also unique in its set of images. In the center of the obverse there is an oval-shaped wreath of flowers and fruits. In the middle of it there is a trident, to the left there is an image of a village woman in Ukrainian national clothes, wearing a wreath, with a necklace around her neck. With her right hand, she presses a sheaf of wheat and a sickle to her chest. On the right there is a figure of a worker, who rests his left hand on a stylized hammer, wrapped around the ax handle with laurel. It is interesting to note that the worker's face is a portrait of Hrihoryi Skovoroda, the outstanding Ukrainian travelling philosopher of the 18th century. Scientists assume that thus in one image the artist sought to convey two characteristic features of his people – love of work and wisdom.

The reverse of the banknote is decorated with two columns ornamented with small triangles. Stylized flowers grow from the capitals of the columns, connected to a luxurious garland in the center. Above there is a laurel wreath, with a coat of arms inside.

The banknote with the face value of 100 hryvnias is a real masterpiece of new Ukrainian graphics. The richness of the story line, the modernization of traditional forms put this money unit in the first place among the banknotes of all Ukrainian state issues of the liberation struggles period. Thanks to the non-standard, innovative approach to the production of state paper securities, the highly artistic embodiment of complex symbols, the name of H. Narbut, as an outstanding creator of paper money standards, became known among the artistic circles of France and Germany.



Images of the so-called counterfeit money issued underground most likely in Moscow are also of source importance. They were supposed to undermine the public's confidence in the new Ukrainian currency. The prototype of these counterfeits was a 100-ruble banknote, which forced the hetman to issue an order to withdraw it from the circulation on September 27, 1918. On the obverse of the counterfeit it was inscribed: "One hundred roubles go around the world on a par with soft paper", "For forgery – everyone goes to prison, and the black hundred gets independence", "The exchange of these roubles is ensured by all the goodness of the State Skoro-Padii and Mr. Hetman, with lies, a German bayonet and a Haidamak nagai". There are "symbols" of power among the images on the banknotes – a big fist, two rats and a pig, a toothy face with a glass in hand, which is guarded by a German soldier. On the reverse there is an inscription: "One or two fig signs are given for one hundred roubles in the State Treasury." Undoubtedly, the appearance of counterfeit money caused considerable damage to the functioning of the Ukrainian monetary system, undermined trust in it and in the Hetman's government.

Among the banknotes issued in the Kamianets period of the Directory, the 100-ruble banknote designed by H. Narbut attracts researchers' attention. It differs from other units by the presence of a margin – a clean side field, in the center of which a very expressive portrait of Bohdan Khmelnytsky with a mace in his hand, made by embossing (stamping) is placed. This is the most unique bill of all issues of national governments of the period 1917-1920. Hence the popular name of the banknote comes "Bohdanovka", "Hetmanka".

The study of the national currency images of both the beginning and the end of the 20th century is of great importance for the study of the history of the political, economic and cultural development of our state. The analysis of the images placed on the banknotes makes it possible to find out the main changes that took place in the political and economic life of the state, the process of forming the prerequisites for the further development of Ukrainian state symbols.

## 8. Folk paintings

A specific place in the structure of visual sources is occupied by folk art. Among folk paintings, “Cossack Mamai” was considered the universally recognized leader in terms of popularity for a long time. According to T. Marchenko, the author of the thorough study “Cossacks of Mamai”, in the 18th and 19th centuries the painting was a mandatory element of the interior decoration of almost every village house and reading room. The book contains 75 black-and-white reproductions of Mamai Cossacks. Their images are included in the expositions of the vast majority of historical and local history and art museums of Ukraine.

In the image of the Cossack Mamai the Ukrainian people embodied their idea of a Cossack national hero. The kobza (a Ukrainian folk music instrument of the lute family), a saber, a pistol, a powder box, a pipe, a glass, a jar, etc. deserve attention among the things that surround the Cossack and are mandatory elements of the picture composition. Nearby is a black horse tied to a spear stuck in the ground. The Cossack is depicted at the moment of a short rest, when he got off his horse, lit a pipe, took the kobza in his hand and, playing something, thought deeply, and plunged into memories. It should be noted that most of the known Cossack Mamai’s images show us a serious Cossack warrior preoccupied with important matters. However, they differ in the details of the image, which can sometimes have an ironic, humorous, or even satirical character. For example, in the picture “Cossack – A True Soul” (Lviv National Museum, 18th century), playing cards “ace” and “six” are depicted among traditional things. Some researchers see a hint of the vanity of earthly life (there is one step from big to small) in this image.

Gradually, other characters appear in the paintings: a Polish lord eagerly serving a Cossack, serving a jar with a glass (“Cossack Mother with a Polish lord”, beginning of the 19th century), girls who miss the Cossack (“A Cossack sits under a willow tree”, the first half of the 19th century) and others.

Among other information-rich groups of visual sources from the history of Ukraine, the symbols and emblems of coats of arms, coins, seals, badges, flags, and

other groups of historical monuments are very informative. Documentary postcards, philatelic images, etc. are an interesting but underexplored source. Symbols and emblems are studied in detail by special historical disciplines: heraldry, sphragistics, numismatics, symbolism, emblem studies, etc. In the courses devoted to these disciplines, the source significance of these images for the history of Ukraine is considered in detail.

Summarizing what has been said, it is worth emphasizing once again the great informational possibilities of visual sources for studying the history of Ukraine, especially its culture, spirituality, way of life, rituals and mentality of the Ukrainian people. The source value of visual monuments is that they very subtly and figuratively reflect the features of the era in which they were created, and in combination with other sources, especially written ones, provide answers to the intriguing question of what the lives, preferences, ideals and values of our ancestors were.

## **LECTURE 6**

### **ORAL AND LINGUISTIC SOURCES. WRITTEN SOURCES**

#### **Plan**

- 1. Overview of oral sources**
- 2. Prose oral sources**
- 3. Versed oral sources**
- 4. Oral historical works**
- 5. General characteristics of linguistic sources**
- 6. Anthroponomic sources**
- 7. Toponymic sources**
- 8. Words of foreign origin**
- 9. Overview of written sources**
- 10. Chronicles**
- 11. Official and administrative documents. Statistical sources. Materials of sociological research**
- 12. Judicial and investigative documents**
- 13. Documents of public associations and political parties**
- 14. The periodical press as a historical source. Sources of personal origin**
- 15. Hagiographic, scientific, and fiction literature**

#### **1. Overview of oral sources**

Oral sources have been the object of historians', ethnographers', and folklorists' attention for the past two centuries. They were actively collected, researched and published. In the result of this activity it became clear that for thousands of years oral verbal creativity remained almost the only means of summarizing the life experience of peoples, including the Ukrainian people, the embodiment of folk wisdom, worldview, and ideals. Folklore reflected not only the

Ukrainians' aesthetic and ethical ideals, but also their history, philosophy, didactics – that is, everything they lived by and wanted to pass on to future generations. Even the norms of customary law, these unwritten laws, were fixed in oral form, memorized by people chosen by the community and, if necessary, reproduced in an unchanged form. The word had a magical power for our ancestors. They believed that with its help one can achieve success in hunting, cause rain, avert storm and hail, drought, protect the family from the evil and adversity, which lay in wait for a person defenseless against the nature forces left and right.

## **2. Prose oral sources**

All abovementioned oral sources are conditionally divided into prose and poetic. Folk prose works, in turn, are subdivided into fairy tales, legends, tales, stories, incantations, etc.

Fairy tales, like most genres of oral sources, have their origins in ancient mythology, i.e. the period when the actual fairy tales were perceived and interpreted as reality, when the artistry of these stories was subordinated to informative, cognitive, and religious tasks. Not all fairy tales have acquired strong structural stability. This applies mostly to tales about animals and heroic-fantasy tales. The number of fairy tale plots and images in each national tradition is established; they pass from generation to generation, changing little at the same time, being symbols of human moral values. Each subsequent generation inherits ready-made plots, motifs, images and even the style of narration from the previous one.

According to scientists, a Ukrainian fairy tale is an epic story of a magical-fantasy, allegorical and social-everyday character with a peculiar system of expressive means that serve to heroize positive and satirically expose negative characters. That is, fairy tales, as well as other groups of oral sources, have a social and educational impact.

The undisguised fiction may be considered just about the only common feature of all fairy tales. This is where the name of the genre comes from. According to V. Davydiuk, any traditional story that lost its credibility and did not deserve serious attention claimed to be derogatorily labeled with the word “a fairy tale” or “a fable”, which had the same meaning as today’s “chatter”. We know that in the 18th-19th centuries unreliable, according to historians’ opinion, information was called “fairy tales”.

Such rather peculiar use of the term is not evidence of a disdainful attitude towards the fairy tale itself as a folklore or historical phenomenon, because fairy tale studies is one of the most developed branches of modern Ukrainian studies.

A considerable number of scientific and popular scientific publications are devoted to fairy-tale sources. In the 19th century, mainly writers, amateur folklorists, and scientists collected and published fairy tales. Among the devotees of Ukrainian folkloristics of that time, the first rector of Kyiv University M. Maksymovych, O. Markovych, Mark Vovchko, P. Chubynsky, Lesya Ukrainka, K. Kvitka, B. Hrinchenko, K. Hrushevska and many others are worth mentioning.

Seven volumes of oral folk creativity monuments were published by the Ukrainian poet, author of the words of the national anthem, P. Chubynsky (“Proceedings of the Ethnographic and Statistical Expedition to the Western Russian Territory”) (1878). P. Chubynsky’s work was recognized by both national and European science – he was awarded a gold medal by the Russian Geographic Society and a medal by the International Ethnographic Congress in Paris.

In 1890 –1894 the talented prose writer and poet I. Manzhura published the collections “Tales, proverbs, etc., recorded in the Katerynoslav and Kharkiv provinces” and “Little Russian tales, proverbs and beliefs, recorded by I. I. Manzhura”. Many works from his collections, in particular the fairy tales “Chabanets” (“Shepherd”), “Vydymo I Nevydymo”, “Soldat I Smert” (“Soldier and Death”), “Yak muzhyk pana duryv” (“How a peasant fooled the master”), were included in the collections of fairy tales that were published in the 20th century.

On I. Franko's initiative the Shevchenko Scientific Society published collections of Ukrainian folk tales, in the creation of which the poet took the most active part. By the way, many of I. Franko's works were created in the fairy-tale genre, they are included in the collection "Koly shche zviri hovoryly" ("When the Animals still Talked").

The tradition of collecting and researching folk tales was continued in later times. M. Sirenko recorded wonderful magical fairy tales with a miraculous transformation from O. Poliakova, a storyteller from the village of Zagaltsi in the Kyiv region. I. Senko, a scientist from Uzhhorod, published the book "Charivna torba" ("Magic Bag"), which contains fairy tales by M. Shopliak-Kosak. During his creative travels S. Pushyk was lucky enough to meet the wonderful storytellers Poradiuk-Tegza, Yuriy Gefko, Fedor Belbas, Ilk Yaremchuk and others. But the most famous among them was Donia Ivanivna Yurchak from the village of Polyka in Ivano-Frankivsk region. S. Pushyk recorded from her more than a hundred fairy tales, legends, parables, tales, dozens of jokes, about two thousand kolomyioks and several hundred carols, scherdrivkas, gaivkas, ballads, chronicle songs, historical, wage-earning, dance songs, many games, spells, which are partly published in the collection "The Golden Tower". Such researchers of Ukrainian folklore as I. Chendei, M. Ivasiuk, L. Dunaevska and many others published collections of fairy tales.

Fairy tales have their own specificity depending on the time of origin, reasons for their origin, functions they performed in different historical eras. The most heterogeneous group, both in terms of origin and function, are tales about animals. Among them, it is easy to single out those that once had a ritualistic and utilitarian meaning. The main functional feature of such fairy tales is cumulateness – an artistic device that is inherent in more primitive fairy tales, and a genre – seven characters and the presence of rhythmic refrains that could once play the role of ritual prayers ("Ginger-bread boy" ("Kolobok"), " Dereza Nanny Goat" ("Koza-Dereza"), "A Glove" ("Rukavychka")) . Conventionally, they can be designated as ritual-totemistic. They are most distinguished by the wealth of ancient mythological

content. Among other types of fairy tales about animals, scientists distinguish allegorical fables (“Zhuravel I Chaplia” (“Crane and Heron”), “Lysytsia I Zhuravel” (“Fox and Crane”)), adventurous (“Sirko”, “Pan Kotskyi” (“Mr. Kotskyi”), “Tsap I Baran” (“Goat and Ram”)), didactic and tabular (“Kotyk I Pivnyk” (“A Cat and A Rooster”, “Kryvenka Kachechka” (“Limp Duck”)), fairy tales-parables (“Vovcha Prysiaha” (“Wolf’s Oath”), “Kulykove Boloto” (“Wander Swamp”)) and fun fairy tales (“Yak Zaiats khotiv utopytysia” (“How a Hare Wanted to Drown”)).

Magical fairy tales are no longer distinguished by such a variety. Their characteristic feature is the constancy of the main plot, which records the story of the hero’s extraordinary journey and his return. Here we meet Kotyhoroshko, Ivan—a man’s son, Chabanets (Shepherd), other folk heroes.

A social and everyday fairy tale has its original features, in which you can find zoomorphic characters, a variety of plot collisions, and unexpected, original resolutions. Its characters are Pravda and Kryvda (Truth and Lie), a wise girl, a man’s daughter and a woman’s daughter, a rich brother and a poor brother.

A significant array of sources of folk prose consists of legends, tales and stories. In Ukrainian folkloristics, legends and tales traditionally included works whose plots and characters reflected Christian mythology. Stories about rusalkas (in Slavic mythology, lake-dwelling soul of a child who died unbaptized or of a virgin who was drowned), leshy (a forest dweller), mavka (a character of South Slavic demonology, an evil spirit, a mermaid), mertviaky (dead people), cursed treasures, etc. belonged to pagan mythology. This also included stories about devils, werewolves, witches, vampires, wizards, that is, images of folk demonology. Theoretically, legends and tales of pagan and Christian mythology are the same phenomena, but according to tradition, it is customary to distinguish between them.

This series of oral sources is crowned by folk tales, that is, stories-memories about extraordinary meetings, adventures, characteristic instructive stories, and incidents from life. Such narrations are mostly first-person, i.e. an eyewitness or a participant in the event in question tells them. When they arouse listeners’ interest, their multiple repetition leads to the introduction of a fiction element or details from



the narrators' life experiences. Thus, the share of fiction in them increases more and more and they become analogous to tales or legends.

### **3. Versed oral sources**

Songs, laments, bylinas (ballads) and dumas (Ukrainian folk ballads) constitute the poetic array of Ukrainian folklore sources. Folk poetry can be considered an intermediate link between folk prose and songwriting. Unfortunately, this form has not been studied much yet, although a lot of recorders have long recorded many poetic fairy-tale, legendary and everyday stories. In some regions, for example, there was an original genre of folk publicistics, the so-called "protocols", composed on local material in the form of poems. Folk poems were recorded by P. Hniedych, A. Dymynskyi, O. Rozdolskyi, S. Tobilevych, V. Hnatiuk and other folklorists. Most of them were published in "Notes of the Shevchenko Scientific Society" in Lviv, which proves the popularity of this type of folk art.

Song sources. The need for a deep study of the oral Ukrainian songwriting monuments is due to many significant reasons. First of all, it is the traditionally huge importance of folk songs in the Ukrainians' social and aesthetic life. A folk song is deeper and more vivid than all other types of folklore, capable of conveying the specifics of its creators' and bearers' artistic thinking. The song accompanies people throughout their lives – from birth to death. It is actively used and, therefore, it supports the Ukrainians' national self-awareness formation. Nowadays, the song remains one of the inexhaustible sources of the history of national culture, which is an integral part of the history of our nation and state.

Calendar-ritual songs (carols, shchedrivky, vesnianky, Kupala, obzhynkovi, wedding, etc.) are of exceptional importance in the formation of the entire Ukrainian song repertoire. They were created and existed in close connection with people's labor activities, accompanying the solar annual cycle. To understand the essence of these songs as a source, it is important to know that since the time of their creation,

their dominant function was magical, aimed at appeasing the forces of nature. At this stage, the calendar songs were accompanied by dramatic actions and incantations.

A well-known, vivid example of such a combination is “Podolianochka” – a game-dance-song performed in spring. The mythical meaning of this action is that the girl – “podolianochka”, who is in a lively circle formed by other girls, imitates the process of rebirth of some cult deity. After it comes to life, the girls call out: “Go to the Danube, take an endgirl”, that is, they encourage the girl to be sacrificed to the water, where the mythical and ritual deity – the “podolianochka”, which can save from drought, must also go.

Over the centuries, the lyrics of these songs have not changed. Only with the acquisition of significant rational knowledge about the surrounding world, the spread of writing and education (already in the 17th century, 80% of Ukrainians knew how to write!) calendar poetry undergoes changes: its sacred function becomes inferior to aesthetic. Since the beginning of the 19th century, thanks to the widespread recording of folklore, calendar songs have mainly been used during youth holidays and entertainment.

The same may be said about wedding songs, which in their main forms have reached our time and are recorded in numerous variants and local-regional manifestations. The oldest layer of wedding songs is genetically related to rituals and reveals their symbolism and semantics. From the end of the 19th to the beginning of the 20th century more and more lyrical or humorous songs were performed at weddings, which were not directly related to the traditional ceremony.

Humorous and satirical songs are a kind of historical source. Satire and humor are integral features of the Ukrainians’ character, they helped them to overcome the most unpleasant life situations, to get through hard times, and to resist foreign invaders. These traits have always testified to the vitality and moral stability of the people, who even in the most difficult moments did not despair, but laughed at their misfortune. Kolomyikas and chastivkas (traditional types of short Ukrainian humorous folk songs) of the appropriate content, dance pryspivkas constitute a large

layer of satirical and humorous songs. In general, monostrophe songs, the most common of which in Ukraine are kolomyikas and chastivkas, are characterized by the universality of functions, the breadth of the thematic range and are able to express a wide range of human feelings and reflect the most difficult moments of social life. Kolomyikas and chastivkas are a kind of poetic publicistics that precedes other genres in understanding contemporary life situations and has a corresponding source value.

#### **4. Oral historical works**

Oral historical works – bylinas, dumas, historical, political and state songs, hymns – are of particularly valuable for historians. Unlike other varieties and groups of oral sources, historical works tell about particular personalities, significant social events and phenomena, about specific facts that were recorded by the people's memory. The peculiarity of these sources is that they are closely related to professional performers – singers – talented creators and keepers of our people's heroic history.

The druzhyna epic of the princely era, the so-called bylinas, have not been preserved to this day in Ukraine; the tradition of performing bylinas lasted until the 20th century only on the far outskirts of the former Kyivan state-empire – in Karelia and on the coast of the White Sea, where they are called “starynami” (old-timers). However, references in the chronicles and clear signs of bylinas in other genres of Ukrainian folklore (a recording of a lyre song about Illia Muromets from Volyn, a duma about Oleksiy Popovych, the image of Dzhuryla-Churyla in kolomyikas and wedding songs, echoes of the bylina about Solovii Gudymyrovych with wedding songs and Christmas carols, parallels of the bylina about Mykhailo and the Golden Gate with the legend, etc.) indicate that the main cycles of bylinas first arose and existed among the ancestors of the contemporary Ukrainians. Written sources of the 16th century also testify that bylinas were known in Ukraine at that time. In the

foreigners' notes, one can find references of bohatyrs (warrior hero), in particular Churyl and Illia Muromets (M. Belskyi, Gerbinii, M. Ray, E. Liasota, etc.). It is possible to assume that it was then that bylinas went out of use in connection with the development of a new epic – duma. It is characteristic that the scenery and the variety of plants and animals mentioned in them still have a steppe Ukrainian character.

A prominent place among oral historical sources is occupied by dumas – lyrical-epic works about events from the history of Cossacks in the 16th-17th centuries. This Cossack epic completely supplanted the old epic of the princely era. Dumas began to be created in the 16th century. “Duma” was firstly mentioned in the book of the Polish historian Sarnytskyi (1587). It contains a duma about two Ukrainian Cossack brothers' death.

Dumas were productively created during the 16th and 17th centuries by separate groups, which is evidenced by successive layering in their content, which also preserved bylina elements. This confirms the gradual and organic transition from the old, druzhyna, epic to the new, Cossack one.

Dumas are divided into two cycles according to their content. The first, chronologically older cycle includes dumas about the fight against the Tatars and Turks; among them, researchers distinguish the following groups:

- Duma-lament about Turkish slavery (“Crying of a slave”, “Crying of slaves in a penal colony”, “Marusia Bohuslavka”, “Ivan Bohuslavets”, “Sokil”).

- Dumas about the knightly death of a Cossack (“Ivan Konovchenko”, “Khvedir Bezridnyi”, “Samara Brothers”, “Death of a Cossack in the Kodym Valley”, “Sirchykha and Sirchenky”).

- Dumas about the happy rescue of the Cossacks from captivity, victory over the enemy, about the return from the military campaign and the division of the trophies (“Samiylo Kishka”, “Olexii Popovych”, “Cossack Netiaha”, “Conversation of the Dnipro with the Danube”, “Otaman Matiash”). All these dumas, glorifying the struggle against the Muslim world, glorify nameless heroes, depict events and

figures typical of the Cossack era. Historical names are given rarely and randomly. None of these dumas can be associated with any specific historical person.

- The oldest layer also includes dumas without a historical theme, dumas of everyday and moralistic nature (“About the widow and her three sons”, “Return of a son from a foreign land”, “About the brother and the sister”). Here the idea of the family comes to the fore: the family is the only guardian of a person, a person dies after losing contact with the family.

These dumas are distinguished (with some exceptions) by a lyrical character and gloomy mood.

The second cycle includes the dumas that appeared during the Liberation War of the Ukrainian people in the second half of the 17th century which was headed by Bohdan Khmelnytskyi. They are subdivided into the following groups:

- Dumas telling about certain historical events (“Korsun Victory”, “Uprising after the Peace of Bylotserkiv”, “Campaign to Moldavia (Bohdan Khmelnytskyi and Vasyl Moldavskyi”).

- About events from B. Khmelnytskyi’s life (“Khmelnytskyi and Barabash”, “Death of Bohdan Khmelnytskyi”).

- About Khmelnytsky’s associates (“Ivan Bohun”).

- About economic and social problems (“Leasers”, “Hanzha Andyber”).

In addition to dumas that have a heroic-epic, historical character, there are significant groups of works of this genre, which in terms of content can be classified as everyday, moralistic, satirical, parodic, etc. A very original source from the history of Cossack life is the duma “Cossack life”, which most likely originated in the second half of the 17th – the beginning of the 18th century, although some researchers date it to an earlier time. Duma is known in five versions recorded on the Left-Bank in the 19th century. In addition, there is a song version of the duma – “There lived Cossack Holota”.

From the end of the 17th century the creation of dumas begins to decrease.

During the 19th century singers-kobzars mainly performed and “improved” dumas that had been created in previous ages. The most famous of them were Ostap

Veresai, Arkhip Nikonenko, Andrii Shut and others. However, at the beginning of the 20th century attempts to create new works of this genre resumed. In particular, the duma “On Glorious Ukraine”, according to the researchers, was created specifically for the XII Archaeological Congress held in Kharkiv in 1902. Its aim was to draw public attention to the persecution of Kobzarism by the tsarist government and the police. In contrast to the dumas of previous times, whose authors were people themselves, the author of this duma was Mykhailo Kravchenko, one of the best kobzars of the time. Kobzars T. Parkhomenko and P. Drevchenko might have taken some part in its creation. Mykhailo Kravchenko was also the author of two historical dumas – “Black Sunday in Sorochyntsy” and “Sorochyn Tragedy of 190” – which told about the tragic events of December 1905 in the village of Sorochyntsy, Poltava Region, where the kobzar lived. The dumas describe the massacre that was carried out by the punitive squads led by Barabash, a district inspector, and Filonov, a member of the Poltava zemstvo administration, against the rebellious peasants. They are composed in the spirit of ancient traditional poetics of this genre, and are distinguished by the accuracy of the depiction of historical realities, and the vividness of the images.

In 1940, to the 100th anniversary of the publication of the first edition of Shevchenko’s “Kobzar”, a group of Kobzars created a large duma-poem “Glory to Kobzar”. I. Ivanchenko, P. Nosach, F. Kushneryk, Ye. Movchan and other famous kobzars were among the authors of this work. Poetic means not only of the duma genre, but also of folk songs, as well as to a certain extent, bylinas are used in it.

Historical songs, as well as dumas, figuratively depict the historical past of the Ukrainian people, and their content covers events from the 16th century to the most recent times. The oldest of them are songs about the centuries-old struggle with the Tatars and Turks (the most famous are “The Song about Baida”, about the conquest of Varna in 1605, about the siege of the Pochaiv monastery in 1675). Among the songs about the Cossack-Polish struggle, the most prominent are: “The Song about Khmelnytskyi”, about the battles at Zhovty Vody in 1648 and at Berestechko in 1651, about Nechai, Perebiinos, Morozenka, about the liquidation of

Sich, about Russian tsars' abuse of the Cossacks, about the death of a Cossack in Moscow captivity ("A sycamore tree stands over the water"). They are adjoined by songs dedicated to the Haidamachchyna – about Bondarivna, Sava Chaly, Zalizniak, Shvachka, and others. In addition, there is a large group of songs depicting the Cossack life, the Cossack's relationship with the community, the family, and, especially, with a cute girl ("Oh, I'm letting a horse..." etc.).

A special group of historical songs consists of songs on social topics, in particular, about the social struggle between individual groups of the Cossacks ("Oh, that black cloud is coming" and others). There are a lot of songs about the lordship, about the grievances and oppression of the rural people, about the struggle of the masses. The most famous of them are songs about U. Karmeliuk and O. Dovbush. The famous song "There is no truth in the world" is an open protest against wrongdoing and injustice. According to M. Drahomanov, this song was composed during the time of the lordship. The abolition of lordship in Galicia (1848) and in Russia (1861) was almost not reflected in folk songs. In the oral literature of Western Ukraine, the memory of Kossuth and the Hungarian uprising of 1848, about the occupation of Bosnia by Austria, have been preserved. There are Hutsul and Boiki songs about the World War, about emigration to America and seasonal emigration, which highlight the process of proletarianization of the peasantry.

Soldier and recruitment songs were associated with forced military service in the Russian and Austrian armies. They tell about the soldier's hard fate, injustice during recruitment ("The Song of a Widow's Son"), longing for his homeland and death in a foreign land. The newest variety of this group are streltsy's (soldiers in the regular army in the 16th-17th centuries) songs, Red Army men's songs, etc.

Among the social and household songs composed at the end of the 18th and the first half of the 19th centuries, songs about the fate of hired workers and wage earners stand out – "haulers' songs".

Anthems. Anthems are a kind of informative source, which contain valuable information about the state aspirations and ideals of our people.

In Ukraine, especially in Galicia, dozens of anthems were created at different times. Some of them had an all-Ukrainian character, others were territorial and local. In addition, certain varieties of these sources arose among certain population groups, within certain socio-political organizations and societies. Not all works of this genre had a long life. A certain part of them has been forgotten, has lost its relevance, has mainly historical and source significance. Thus, the first patriotic and spiritual song-anthem “Myr vam, brattia, vsim prynosym” (“We Bring All of You Peace, Brothers”) originated in Galicia in the revolutionary year of 1848 and was very popular, especially among the peasantry. However, it was later forgotten. O. Dukhnovych’s patriotic poem “I was a Rusyn, I am and will be” was also local and limited in time and place of residence, which at one time was actively spread as a song-anthem among the Ukrainians of Transcarpathia.

Among the most famous songs-anthems, which played a great role in awakening the national self-awareness of the Ukrainian people and were spread as folk songs, we should mention the works of K. Trylovsky “Sichova song” and “Hey, there on the mountain, Sich is coming!”, O. Makovey “We are haydamaks”. A special place among anthems belongs to the work of P. Chubynsky and M. Verbytsky “Ukraine’s Glory has Not Yet Perished”, written in 1863, which was considered a folk song for many decades. The authorship of its words was even associated with the name of T. Shevchenko. During the period of totalitarianism, the authorities persecuted and repressed many Ukrainian patriots for its singing. However, the work did not slip out of existence, becoming the anthem of the fighters for the independence of Ukraine. On January 16, 1992, the melody of M. Verbytskyi’s song-anthem “Ukraine’s Glory has Not Yet Perished” was approved as the National Anthem of Ukraine. The source meaning of anthems lies primarily in the social role they played in different historical eras.

So, oral sources are a specific type of monuments that preserve historical information in oral form and are passed down from generation to generation. They are created and function regardless of the presence of writing, as they are a product of human oral creativity, although they can be recorded in writing. Oral sources are



inseparable from the Ukrainian people's history. When studying them, historians must adhere to the general principles of source criticism while taking into account the specificity of the source information of this type of narrative sources.

## **5. General characteristics of linguistic sources**

There are several significant groups of linguistic sources. These are primarily the names and proper names of natural, geographical objects, celestial bodies, plants, animals, people, ethnic groups, states, etc. Numerous branches of historical and philological onomastics deal with the study of this complex of linguistic sources. It is common to classify linguistic sources (as well as other verbal sources) by language, both in a narrow (Greek-speaking, Latin-speaking, Ukrainian-speaking) and in a broad (Slavic-speaking) sense. The study of words of foreign origin in the Ukrainian language makes it possible to trace the relations of the Ukrainian people with neighboring peoples in different historical periods.

The main type of linguistic sources are names and proper names (Gr. – onyms). The group of proper names and names used by every nation, including the Ukrainian one, is called the onomasticon. It is, as a rule, characterized by stability and traditionality, which is explained by the joint influence of geographical, natural, economic and other factors of ethnogenesis on it. At the same time, proper names, as well as other types of historical sources, are distinguished by the fact that they change their form during long-term use and constant foreign language influence. Therefore, their study requires the use of source-scientific analysis, mainly with the help of linguistics methods, which make it possible to identify the linguistic affiliation of an onym, to reproduce its original form and pronunciation, to establish the historical era it came from, to identify the influence of other languages and dialects on it, and to trace its linguistic transformation to the present time. Without all stages of the onym development being reconstructed, it is impossible to understand its historical significance. In order to understand the onyms, one must

have a good knowledge of the way of life, outlook, economic activity, economic and social relations in those human communities where the circle of names studied by historians and linguists came from.

An essential problem of modern linguistic source studies is the search, identification and return of the monuments of national official, diplomatic, scientific, military, business and other types of words to the modern Ukrainian language. At the same time, it is necessary to study not only the written sources that preserve the language monuments the most, but also the living Ukrainian language of different regions of Ukraine and the diaspora, which is often the carrier of unique samples of autochthonous terms, names, phraseological turns, etc.

## **6. Anthroponomic sources**

The term anthroponymy in a broad sense means a set of linguistic groups that designate both the proper names of people (surnames, first names, patronymics, nicknames) and the names of their physical qualities, in particular age, sex, external features (a baby, a child, a youth, a girl, a beauty) etc. Proper names and names of people's certain qualities make up a significant part of the Ukrainian onomasticon and are a valuable source of the history of Ukrainian ethnogenesis, cultural genesis, social and intercultural relations.

A person's name is a legally recorded word used to identify a person. It is customary to attribute the appearance of names to the time when the language of the Neanderthals began to form. Every nation has developed its own names for thousands of years. They reflect nation's spiritual culture, character and worldview. Ukrainians also had their own list of names.

In the composition of modern Ukrainian names, researchers distinguish several layers:

1. Byzantine Christian names, or names of the Christian calendar, borrowed together with the introduction of Christianity in Russia in the 10th century. These

canonized (legitimized) by the church and recorded in special church calendars (sviatsy) names were given during baptizing. Byzantine names, in addition to ancient Greek, included ancient Roman and ancient Hebrew, as well as a small part of the names of those peoples with whom the Greeks of the Byzantine era maintained trade and cultural ties. Such popular in Ukraine names as Ivan, Oleksii, Mykhailo, Hryhoriy, Petro, Fedir, Hanna, Olena, and Kateryna belong here. In the Ukrainian language, they have acquired a specific sound design and have been no longer perceived as borrowed ones.

2. Ancient Russian names – Volodymyr, Vsevolod, Rostyslav, Liudmyla, Svitlana, etc., including loans from the Greek language – Bohdan, Vira, Nadiia, Liubov, individual names of Scandinavian origin – Ihor, Oleh, Olha, were used in Ancient Russia.

3. Names borrowed from the West Slavic and the South Slavic languages: Vanda, Ruzhena, Vlasta, Mechyslav, etc.

4. Names borrowed from the Western European languages: Albert, Arnold, Arthur, Zhanna, Eleonora, Violetta, etc. Sometimes in one or another family, there appear individual innovative names that reflect a compromise between family members when choosing a name for a child (for example, Valzhanna – Valentina and Zhanna). But such cases are quite rare. Nowadays, the vast majority of names given to newborns belong to the system of traditional names inherited from previous generations.

The system of names common to the whole Ukraine has its own peculiarities on separate territories that is conditioned by historical, political and geographical factors. For instance, among the native Ukrainian population of Transcarpathia, there are numerous borrowings of Hungarian, Czech, Romanian, and German origin.

Ukrainian names are characterized by the phenomenon of variation, which is widespread not only in the colloquial and everyday name list, but also among documentary names (that is, those recorded in documents). Unlike documentary names, which have relatively few established variants (Yeremiia – Yarema, Yevsei – Ovsii, Moisei – Musii, Ihnatii – Ihnat, Hnat, Arsenii – Arsen, Stefan – Stepan,

Ustyn – Ustym, etc.), colloquial and everyday names are distinguished by a great variety. In particular, the researchers recorded about 70 variants of the name Hanna (Hancha, Hanzia, Hanishka, Onyzia, etc.), and more than 100 variants of the name Ivan (Ivanko, Ivas, Ivanutsa, Ivon, etc.). This testifies not only to the Ukrainians' imagination richness in the creation of such a specific source as a human name, but also to the originality of naming in various Ukrainian regions in different historical eras.

In recent times, scientists state the complete absence of social differentiation of personal names in Ukraine (the same set of names is used in the families of workers, peasants and intelligentsia), intense convergence of the urban and rural name set. The names of Andrii, Viktor, Vitalii, Volodymyr, Dmytro, Yevhen, Ihor, Oleh, Oleksandr, Serhii, Yurii; Liudmyla, Maryna, Nataliia (Natalia, Natalka), Olena, Olha, Svitlana, and Tetiana have been in the lead throughout Ukraine for a long time. Such names as Maksym, Roman, Ruslan; Alla, Victoriia, Hanna (Anna), Inna, Oksana, Yuliia and Valentina have recently joined the list of popular names. The names Anatolii, Bohdan, Vadym, Vasyl, Mykola, Valerii, Pavlo, Petro, Stanislav, Yaroslav, and Taras are used less often; Halyna, Vira, Nadiia, Liubov, Kateryna, Larysa, Tamara have been very common until recently. To some extent, this is explained by the fact that such forgotten names as Arsen, Artem, Hlib, Danylo, Denys, Hvan, Hllia, and Kyrylo; Anastasia, Daryma, Evdokiia, Solomiai, Yaryna, etc. have recently been added to the name repertoire. At the same time, such traditional names as Georgii, Lev, Marko, Stepan, Fedir, Yakiv; Zinoviia, Polina, Raisa, Zoia, Marta, etc. have become quite rare.

Unlike personal names, surnames appear much later, in the Middle Ages. The family name, that is, the name of the founder of the family, served as the basis for them. Among the mythical progenitors, written sources mention Dazhboh, Svaroh, Beles (sons of Svarozhychi, Dazhboh, Veles' grandsons). During the formation of the early feudal state and princely families (dynasties), the primary basis of the future surname was the name of the founder of the dynasty, which was actually transformed into a patronymic family name for all the descendants of this historical (to some

extent still semi-mythical) person: Kyi – Kyievychi, Riuryk – Riurykovychi. However, within the boundaries of the initially single princely family, all new branches are gradually emerging, which differ from each other precisely due to the existence of their own family name-surname – Yaroslavychi, Olhovychi, Rostyslavychi, Monomakhovychi. The tradition of naming princely families by the name of the dynasty founder was preserved in Ukraine until the second half of the 15th century (princes Olelkovychi).

The formation of Ukrainian surnames was also connected with the development of feudal land ownership and the nobility. The surnames of the magnate families often came from the name of the land ownership – princes Ostrozki, Zbarazki, etc. The basis of the surnames of the middle and small landless gentry was, as a rule, the surnames of the founders – Kosynskyi, Khmelnytskyi, Smotrytskyi, etc. As for other social strata of society at that time (burghers, peasants, Cossacks), their surnames derived from the main occupations, social and ethnic origin, personal qualities, etc.

The most spread were Ukrainian surnames ending in “-ienko”, which means “son” (Sergienko is Serhii's son), “-chuk”, “-uk”, “-iuk” (the same – Kuzmuk, Klymchuk); endings “-skyi”, “-tskyi”, “-zkyi” indicate the place of residence or noble origin (Ostrozkyi, Hrushevskyi, Vyshnevetskyi), endings “-ovych”, “-evych” showed the father’s name (Fedorovych, Yurkevych). In many Ukrainian surnames, the following features are documented: ancestors’ professions: Myroshnyk, Koval, Skliar, Shvets; social status of a person in the past: Kozachenko – the son of a Cossack, Panchuk – the son of a pan (master), Udovychenko – the son of a widow, Baistriuchenko – the son of an illegitimate child; ethnic origin: Lytvynenko is the son of a Lytvyn (Lithuanian), Moskalenko is the son of a Moskal (a Russian), Liashenko is the son of a Liakh (a Pole), Tatarchuk is the son of a Tatar, etc.

A significant part of Ukrainian surnames comes from nicknames, which were especially common among Cossacks. For example, some researchers interpret Petro Konashevych Sahaidachny as a first name, patronymic or surname (from the name Konon, Konash) and a nickname that the hetman got for his ability to shoot

accurately with a bow (sahaidak is a bag for arrows). Other nicknames of the Ukrainian Cossacks' representatives gradually turned into surnames – Kishka, Bezshanko, Perebiinis, Dovhan, Cherny, Razumovskyi, Skoropadskyi, etc. At the same time, those families that acquired nobility added the noble ending “-skyi” to their surnames.

Unlike first names, surnames have practically no language formations. They recorded the prevalence in the past of those names that are now rare, because the surnames Musiienko, Onishchenko, Havrylenko, Stepanenko, Svyrydovych, Antonovych, etc. are common among Ukrainians.

Thus, people's names are not just words that identify an individual. They record generations' memory, are the invaluable heritage of the past and present, which we should study, use in historical research, and pass on to descendants.

## **7. Toponymic sources**

Toponyms or geographical names are important linguistic sources. They are divided into aquatic and terrestrial. The first group includes pelagonyms (names of seas), hydronyms (names of water bodies on land), which, in turn, are subdivided into river names – potamonyms, lake names – limnonyms, and swamp names – helonyms.

Names of various elements of the land relief: canyons, plateaus (oronyms), caves, grottoes (speleonyms), rivers flowing underground (speleohydronyms) constitute the second group.

There are toponym terms for settlements. The names of settlements themselves are called oikonoms (from the Greek “oikos” – dwelling). The names of the villages are choronyms (from the Greek “hora” – settlement). In addition, there are names for city objects: streets – hodonyms (from the Greek “godos” – street); squares – agronyms (from the Greek “agora” – square); roads – dromonyms (from the Greek “dromos” – running, movement, road).

There are special terms for the names of enterprises (ergonyms), trade unions (socionyms); the names of forests (drymonyms) and individual groups of trees (phytonyms) can be the object of research.

In general, toponyms are divided into macrotoponyms – names of large objects, and microtoponyms – names of small objects (streams, ponds, meadows, etc.).

The Ukrainian land has a peculiar and unique toponymic system of names, which has absorbed the linguistic elements of a huge number of peoples living here at different historical times. The history of the names of Ukrainian cities is extremely characteristic in this sense. Thus, the name of the present day Bilhorod-Dnistrovskyi has a long history. Initially, this city was known as Ancient Greek Thira. This name comes from the ancient Greek name of the Dniester – Tiras (swift). In the 6th century AD the Slavs (proto-Ukrainian tribes) came here and named it Bilhorod (white city). In the 14th century the city became part of the Moldavian Principality. The Moldovans called it Chetatya-Albe (white fortress). In the 15th century the city was captured by the Turks and renamed Akkerman (white fortress). In 1944, the city got its modern name, and in 1998 it celebrated its 2500th anniversary. All these names must be known to a historian who studies documents from different times and must not only understand which city the document is about, but also determine the date of the event, the time of the document's creation, etc.

The first information about ancient Slavic cities on the territory of Ukraine is contained in the "The Tale of Bygone Years". Kyiv is undoubtedly the oldest among them. The well-known Ukrainian historian M. Braichevskyi in his study "When and how Kyiv arose" claims that it is at least 2,300 years old. What does the very name "Kyiv" derive from? Scientists have not come to an agreement on this issue yet. The name is believed to have derived from the anthroponym Kyi (mace, stick). Another suggestion is from the Slavic "kuiava" – the top of the mountain. There is also a widespread hypothesis that the name of the city comes from the legendary founders of Kyiv – princes Kyi, Shchek, Horiv and their sister Lybid, who are considered Slavic deities (Perun, Veles, Khore and a white pen – a symbol of the Dnieper).

There might have been a large pagan temple on the Kyiv mountains in ancient times. However, most researchers consider Prince Kyi to be a real historical figure, and if not the founder of Kyiv, then at least the historical person whose name the city bears. So, the age of the city itself is much older than the age of its current name. This is also confirmed by the information of the Alexandrian geographer and cartographer Claudius Ptolemy (2nd century AD), who marked the city of Sar on the map of European Sarmatia (that is, Ukraine) on the site of modern Kyiv.

Hydronyms contain interesting historical information. Ukrainian rivers flowing to the south often have left tributaries, which are called right – Dnipro – Desna, Desenka (desn – right), Southern Buh – Sob (sob, tsob – right). This indicates that the settlement of these territories took place in the direction from the mouth of the river to its headwaters, that is, from south to north. The unity of origin is seen in the names of many Slavic rivers: the Dnipro, the Dniester, the Danube, and the Don have a similar root. Many researchers of Ukrainian mythology associate these names with the name of the Slavic deity Dana, Divanna, who was considered the patroness of water. Words such as Ros, rosa (dew), and rusalka (mermaid) are also single-rooted. This is not a coincidence, because in Old Norse, “ros” means water.

Ethnonyms are important sources. Among them, self-names of peoples and names given to them by their neighbours are distinguished. The first group is called autoethnonyms, and the second one is alloethnonyms.

Studying the origin of proper names of states and peoples is associated with great difficulties. This can be seen on the example of the name Ukraine-Rus. The oldest ethnic names of our ancestors are Slavs, Sklavins, Wends, and Antes. The self-name of Slavs comes from “slovo” – people who speak an intelligible language. Wends might come from the Slavic “veno” – a family, but perhaps it is an ethnonym borrowed from the Celts (names that are considered Celtic – the city of Venice, the Veneto region in Italy, Vienna – the capital of Austria). Antes, the Ante state, which Byzantine sources mention in Ukraine in the 6th-7th centuries and which was the predecessor of the Kyiv state, this name was probably not used by the Slavs. Some



scholars suppose it to come from the Aryan (Sanskrit) word “anta”, which means end, edge. Perhaps this is a prototype of the modern name “Ukraine”.

The historical names of the tribes, from which the Ukrainian people were later formed, are quite clear in their content. So, the name “poliany” comes from the word “pole” (“field”), the word “drevliany” comes from “lisovi liudy” (“forest people”); the name “siveriany” is from “pivnichni liudy” (“northern people”); “ulychi” derives from the area (the Dnieper meadow), “tivertsi” is from the River Tiver – the Dniester river; “Volyniany” comes from the area of Volyn (proto-Slavic root “vol” – wet), “White Khorvaty” comes either from “Sarmaty” (a foreign name), or from “khrob” which means a ridge, mountain.

The modern name “Ukraine” is of late origin. It has two meanings. The first one is “the country”, while the other is “the borderland, border-straddling”. In written sources, the name “Ukraine” is first mentioned in the annals of the Pereiaslav (1187) and Galicia-Volyn (1211) principalities.

## **8. Words of foreign origin**

A significant part of the linguistic sources in the Ukrainian language are words of foreign origin.

Onyms of foreign origin have already been mentioned above, but they are also common in scientific, professional, and everyday vocabulary. As an example, we can mention such common words as “maister” (“master”), “budivnyk” (“builder”), “stoliar” (“carpenter”), “drukar” (“printer”), “mur” (“mason”) and others of ancient Germanic origin; “liulka” (“pipe”), “tiutiun” (“tobacco”), “kava” (“coffee”) of Turkish origin; “kupol”, “bania” (“dome”), “freska” (“fresco”), “vitrazh” (“stained glass”) of Italian and French origin. There are a lot of words of foreign origin in science. In particular, historical scientific terminology includes such words as “fact”, “document”, “analysis”, “synthesis”, “information”, etc. The term “history” itself, which is the name of our science, as well as the entire past of mankind, is of foreign

(Greek) origin. This indicates that Ukrainian historical science developed and continues to develop in organic relationship with common European science. At the same time, the dynamic development of historical knowledge in recent times led to the appearance of words of autochthonous origin in the terminological apparatus of domestic historical science: “Ukrainian studies”, “folk studies”, “source studies”, etc.

Thus, the processes of the Ukrainian ethnos and statehood formation were reflected in the linguistic sources. However, not only linguistic sources contain a lot of valuable information on the economic history of the people, their main occupations, ethical preferences of the so-called national character. Agriculture and cattle breeding are known to be Ukrainians’ main occupations. This is perfectly illustrated by the single-rooted words “zhyto” (“rye”) and “zhyttia” (“life”). The number of words that were used to denote animals important for the economy, in particular, such as a bull, an ox, a cow, a heifer, a bullock, a calf, and some of them were formed with the help of Ukrainian diminutive suffixes *telychka* (a heifer), *korivka* (a cow), *volyk* (an ox), *teliatko* (a calf), etc. The name of this animal is reflected in toponymy – Bykovnia, Volyn. A bull and an ox are traditional characters of Ukrainian songs, fairy tales, folk sculpture, painting, etc. When studying different eras of national history, a researcher should use, among others, linguistic sources that contain a kind of diverse information about the past of our people.

## **9. Overview of written sources**

The oldest written sources providing information on the history of our homeland appeared long before the new era. Among them there are several types: works of ancient authors, annals, chronicles, sources of personal origin, and official documents. However, most of their originals have not come down to our time, but we know about them thanks to their use in chronicles and in later copies. Important information about the lands of the present-day Ukraine is contained in ancient Greek

and Roman sources, which mention the Scythians, starting from the 5th century BC. Thus, the Greek historian Herodotus, who personally visited the northern coast of the Black Sea, in his work “History” about the Greco-Persian wars, described the Scythians’ life, provided data on their connections with the northern Black Sea region ancient cities. The Scythians, as well as other peoples living in this region, were also mentioned in the writings of Hippocrates (5th-4th centuries BC), the geographer and historian Strabo (1st century BC, 1st century AD), the astronomer and geographer Claudius Ptolemy (2nd century AD) and others.

The Black Sea lands were also mentioned by the Roman historian Publius Tacitus (1st century AD). From the letters of Pope Gregory I (6th century), we can learn about the Slavs’ invasion into Europe; from the works of the Byzantine historian Jordanes we know about the Gothic state that existed in the second half of the 4th century on the Lower Dnieper and in the northern Black Sea region. The Byzantine author Procopius of Caesarea provides information about the life of the Wends and Antes in the 5th-6th centuries. The Chronicle of John Malalas (5th-6th centuries), who in 18 books laid out world history from Adam to 565 BC, contains unique evidence about the Slavic tribes. Emperor Maurice left interesting observations about the military customs of the Slavs and Antes in the 6th-7th centuries; peculiarities of the Slavs’ life in the 10th century were described by the Byzantine historian and political scientist Kostyantyn Bagryanorodny. The reports about the Balkan wars of Prince Sviatoslav (968-971), which were told by the historian Leo the Deacon of Kaloe in his “History”, belong to the same time. The Slavs are also mentioned in Arabic sources of the 9th-10th centuries (Al-Balkhi, Al-Istari, etc.). Most of the sources of the ancient era were published in the form of separate editions, some of them were included in collections of documents and textbooks.

With the emergence of writing among the Slavs, in particular among their tribes, which formed the basis of the Ukrainian nation, native written sources appeared, the volume and variety of which steadily increased. Moreover, each historical period is characterized by its own set or complex of sources with

interrelations between their separate types that are endemic of it. Therefore, it is natural that in most works on source studies, both scientific and educational, the characteristics of the sources are given separately for each period.

## **10. Chronicles**

Chronicles are the main source of the oldest and medieval history of Ukraine. This is one of the types of narrative sources in the form of stories, in which events are as a rule given chronologically. They got their name from the fact that the presentation of the material in the first chronicles began with the words “in the summer”. However, some of them, such as the original text of the “Galician-Volyn Chronicle” (13th century), were compiled without dating by years.

Ukraine has its own long-standing annalistic traditions, which were established at the dawn of writing in Rus. They were set in Kyiv, Pereiaslav, Volodymyr-Volynskyi, Halycha, Lviv, Chernihiv and other cities. Still several types of chronicles appeared at different periods:

- princely chronicles, which were compiled, as a rule, in the center of principalities;
- local chronicles that were created in other cities and monasteries;
- Cossack chronicles, which arose as a kind of chronography of the Cossacks’ liberation struggles.

Hundreds of lists of ancient Ukrainian and Cossack chronicles have survived to our time, but the oldest of them have survived only in later lists, i.e. they are summaries of previous chronicles. When compiling them, the chroniclers used the works of their predecessors, foreign chronicles, the Bible, the lives of saints, legends, oral traditions (legends), and their own observations. The value of the chronicles as a source is in the fact that from the most ancient times, documents that have not reached us in the originals were included in their entirety or in fragments into

chronicles. The first of them were the treaties of the Kyiv princes with Byzantium, concluded at the beginning of the 10th century.

Among the oldest written sources, princely chronicles have the greatest value. They give an idea of the political and religious life in the principalities, provide biographical information about the Kyiv and other princes, their campaigns, relations with neighboring states, etc.

Most historians attribute the birth of chronicles in the Kyiv state to the 10th century. Academician B. Rybakov dates the appearance of the first Kyiv, the so-called Volodymyr's chronicle, to 996-997 and, according to the researcher, it was preceded by laconic records that have not reached us, but were included in the text. L. Cherepnyi, another expert of chronicles, is of the same opinion and dated chronicle writing to 996. The outstanding Ukrainian historian M. Hrushevskyi suggested the existence of an annals collection in Kyiv since 945. M. Braichevskyi is inclined to attribute the beginning of ancient Ukrainian chronicles to the 9th century.

The oldest chronicles that have come down to our time are "The Tale of the Bygone Years", the "Kyiv Chronicle" (12th century) and the "Galicia-Volyn Chronicle" (13th century). "The Tale of the Bygone Years" has been preserved in three editions and many lists. Its compilation is associated with the name of Nestor, the monk of the Kyiv-Pechersk Monastery. This is a kind of introduction to national history, a summary of events, sometimes without their exact dating, from the creation of the world to the years of 1110 – 1113, i.e. to the events that Nestor himself witnessed. According to scientists' opinions, earlier chronicle texts were also used in "The Tale". The story about the Slavs begins in it with the legend of the Kyiv foundation by the brothers Kyi, Shchek and Horiv and their sister Lybid. Along with the information about the Kyiv land, data about events in Byzantium are given here.

The "Galicia-Volyn Chronicle" describes the events in Galicia and Volyn in the 13th century. It consists of two parts: that of Danylo Halytskyi the Chronicler (1205 –1258) and the Volyn "Pouchenie" ("The Instruction", Lavrentii Chronicle)

and the chronicler's autograph-graffiti of Prince Volodymyr Monomakh in the Sophia Cathedral (1259 – 1290). Created during the times close to the events described in it, the chronicle recounts in detail the events that took place in the 13th century. Its original text had a rather peculiar structure. The annals consisted of several stories, which were only later brought together by the compilers. In his research M. Kotliar was the first to draw attention to this peculiarity of the annals.

Chronicle writing continued during Polish and Lithuanian times. It went on mainly in monasteries. The most famous of this group of sources are "Hustyn Chronicle", "Chronicles of Volyn and Ukraine", "Kroinyk" by Feodosiy Sofonovych, as well as numerous local chronicles: "Mezhyhirsky Chronicle", "Mezhyhirsky Manuscript", "Lviv Chronicle", "Chernihiv Chronicle according to the new list", "Khmelnyskyi Chronicle" and others. Some of them cover events up to the 18th century including.

Cossack chronicles of the 17th – 18th centuries are a vivid and unique page of Ukrainian chronicles. Their appearance was connected with the growth of the Ukrainian people's national self-awareness and the unfolding of their liberation struggle against the Polish rule on Ukrainian lands. The chroniclers were the most educated representatives of the Cossack starshyna, and the names of some of them have not been precisely established yet.

In terms of content and form, Cossack chronicles are already close to historical works, since their authors, in addition to their own observations, used old annals, chronicles, diaries, contemporaries' historical works, available official documents, some of which have not survived to our time. This led to the special value of Cossack chronicles as historical sources. Their authors, combining the traditions of the princely era chronicles with the use of new opportunities for collecting historical sources, created unique works, each of which is not only a historical, but also a historiographical source. That is why they are considered both in the course of source studies and in the historiography of the history of Ukraine. Most of them are devoted to the Liberation War of the Ukrainian people of the mid-17th century. In particular, the chronicles of Samovydet, Hryhoriy Hrabianka, and

Samiilo Velychko are quite meaningful sources describing these events. The source value of each of them is not the same, but they are united by the common idea of the formation and strengthening of the Cossack-Hetman statehood of Ukraine.

The study and publication of Cossack chronicles began at the end of the 18th century, when the “Chronicle of H. Hrabianka” was first published. The Kyiv Archaeological Commission published a number of collections of chronicles, including the chronicles of Samovydets, H. Hrabianka, and S. Velychko. Subsequently, they were republished, and separate editions were made already in our time.

### **11. Official and administrative documents. Statistical sources. Materials of sociological research**

The biggest in number, the most diverse in form, and the most valuable in terms of importance are act historical sources, which, together with records, statistical documents and materials, make up a significant portion of written evidence. The concept of “act sources” (lat. *actus*, from *ago* – put into action) is used in source studies in different meanings – in the narrow and broad sense of the word.

In the narrow sense of the word, these are legal documents that record contracts, agreements between private individuals, between the state and private individuals, between the state and the church, etc. In scientific literature, it is customary to divide such acts into two large subgroups: private and public.

Drawn up by individuals, private acts enshrine the citizens’ free will on various issues. This type of document regulates relations between individuals. The types of this group of documents are extremely diverse and represented by citizens’ last wills, deeds of purchase and sale, lease agreements regulating the relations of leasers, etc. Since history is primarily a science about people, their lives at all stages of the society development, it is very important for historians to rely on as many

sources as possible in their research, which fully reveal people's lives, activities and lifestyles at different times.

Public acts arose as a result of the activities of authorities, courts and other institutions. This is a huge documentary array of materials of different origin, content and form, which include documents of authorities, courts, church institutions, public organizations, political parties, etc. Special act documents are studied by diplomatics – document source studies.

Gradually, in source studies, acts came to mean not only legal documents (contracts, agreements), but all documentary sources (as opposed to narrative ones). In the broad sense of the word, the concept of “act sources” is sometimes used in modern historical science. There are a lot of varieties of act sources. Legislative and regulatory documents of all level authorities take an important place among them.

Legislative acts are significant for historians as they form the basis of all legal norms, which, in turn, determine the nature of relationships in all spheres of social life.

The peculiarity of sources of this type is their reflection of historical reality not in facts, but in legal norms, the analysis of which enables historians to draw conclusions about the political and economic state of society, the development of social processes, culture, morality, private relations, etc. The first legislative acts on the territory of Ukraine date back to the princely era. Monuments of a normative nature of that time are, first of all, the princes' charters. Most of them are devoted to the characteristics of the place of the church in the system of state power. They determined the relationship between secular and church authorities, the church participation in the collection and distribution of tribute, its place in the judiciary, etc.

The opening of archival funds made it possible to significantly expand the documentary base for the study of many problems of Ukrainian history. In particular, the publication of sources on the history of the Ukrainian people's liberation struggle during 1939 – 1993, and on the history of the Second World War was carried out.



New publications of sources made it possible to publicize previously hidden facts and assessments of many prominent historical figures.

The source base of the study of the history of Ukraine is significantly expanded by the publication of documents that Ukrainian scientists carry out together with their colleagues from Poland, Canada and other countries. In 1994, a new series of documentary publications “Historical Monuments of Eastern Europe: Sources of the 15th-17th Centuries” was launched in Ukraine, prepared by scientists from Ukraine, Russia, and Poland. All these publications significantly expand the documentary base of national history.

Thus, official and administrative sources of all types occupy a key place in the source base of the history of Ukraine, contain exceptionally rich and unique information and are completely accessible to historians.

Statistical sources are of great importance for the study of historical processes and phenomena. They include information carriers that are quite diverse in content and form, resulting from mass surveys, descriptions, censuses, introduction of standardized accounting and reporting. There are various types of statistics depending on the sphere it is used in (industrial, agricultural, ethnic, demographic, social, administrative, military, trade, etc.). Each variety has its own characteristics and features.

Statistical sources are a fairly accurate tool for learning about the processes taking place in society. Of course, on the condition that a researcher will necessarily adhere to scientific principles when using them. The specificity of these sources has led to the formation of a special field of their study in science – source studies of mass sources.

Opportunities for scientists to familiarize themselves with current statistical information have expanded. In 1993 – 1997 The State Committee of Statistics of Ukraine published the “Information Bulletin”, the successor of which was the “Statistics of Ukraine” journal in 1998, which aims to provide reliable statistical data on the development of the national economy, the labor market, etc. The journal regularly contains price indexes and other statistical information.

The availability of high-quality statistical sources reflecting the modern development of the country opens up prospects for the creation of thorough works on the history of Ukraine.

According to many characteristics, the materials of sociological researches are close to statistical sources. This source is a result of purposeful specific sociological surveys conducted by specialists. Carrying out certain tasks of the science, sociologists use such methods as questionnaires, interviews, surveys, as a result of which a huge amount of factual material is accumulated, which makes it possible to understand the complex issues of the society and human life functioning in detail. Thus, a sociologist acts as a creator of a new source about society. Of course, the quality of the sociological research materials as a source depends to a decisive extent on the professional training of people conducting sociological research, the choice of scientifically based methods of processing the collected data. Unfortunately, in modern conditions, there are cases of public opinion manipulation through the publication of incorrectly processed data from sociological surveys. This means that the value of such materials (especially those “made to order”) as a historical source is low.

The peculiarity of sociological research materials as a source is their having a double level of information. Questionnaires, interviews, observations collected during the research are the first level source. The generalized results of sociological research, presented in the form of reports, information notices, references, articles, monographs, etc., are the second level source. In their work, historians use not only the final data of sociological research, but also sociologists’ preparatory and preliminary materials. Turning to them makes it possible to check how scientifically correct and thorough the original data analytical processing was carried out. Unfortunately, not all primary sources of sociological research are preserved in archives.

The importance of using sociological research data as a source stems from the fact that sociologists and historians have a common object of study – society. A historian examines it in historical terms, while a sociologist studies it as a whole,

organized system for a certain time. However, representatives of both sciences are equally interested in the influence of various social phenomena on the development of society and man. The object of sociological research is, first of all, man in all spheres. Hence the problems of sociological research are social, national, family relations, demographic, human labor, education, well-being, etc.

Under the influence of The Annales school (M. Bloch, L. Febvre, etc.) in world historical science in the second half of the 20th century there was a turn to the in-depth study of a person, who became the central object of not only sociological but also historical researches. Although belatedly, this process affected Ukraine as well, finding a favorable balance here, since Ukrainian historiography since the time of M. Hrushevsky has traditionally been attracted to sociology and the study of personalities in history. In the 1970s and 1980s, there were myriads of concrete socio-historical researches devoted to the problem of man in society.

The results of sociological researches conducted since the 1990s in Ukraine are summarized by the Institute of Sociology of the National Academy of Sciences of Ukraine in the “Bibliographic Yearbook”, that has been published since 1998. The journal “Sociology: theory, methods, marketing” informs about the current state of these studies. It also contains bibliographic reviews of works on sociology for the past years.

## **12. Judicial and investigative documents**

Judicial and investigative documents occupy one of the important places among the written sources on Ukrainian history. Judicial institutions are known to have always played a prominent role in the society life. As a rule, the documents of judicial bodies reflect the most acute problems concerning both individuals and enterprises, organizations, parties, movements and society as a whole. Together with other punitive and repressive bodies, they defended the existing system, trying to prevent any opposition to it. All this determines the great importance of investigative

and trial documents for the study of historical events. Various documents and materials included in this type of sources can be divided into three subgroups:

1. Investigative materials (search and inspection protocols, investigation protocols, interrogations of the accused and witnesses, eyewitness accounts, reports of agents, correspondence of investigative bodies, physical evidence, etc.).

2. Court documents (minutes of court sessions, letters of inquiry on the case, court verdicts, etc.).

3. Materials of prosecutorial supervision (inquiries, reports and other documents of prosecutors).

Turning to these documents, it should be borne in mind that in tsarist Russia, and later in the Soviet Union, political investigation was mostly an institution of extrajudicial prosecution of people and collection of relevant information. Therefore, one more subgroup should be added to the abovementioned ones – materials that were kept in the penal authorities and did not reach the court.

In Soviet times, new types of investigative and trial sources appeared, unseen before in the judicial practice of civilized countries: firing lists, decisions of extrajudicial emergency bodies (“dviok”, “triok”); receipts or notes on the execution of death sentences, etc. Such documents as addresses of the convicted to state and public figures, state and other organizations are also attached to the judicial materials of this time. For example, the poet V. Stus, who was repressed during the years of the Soviet regime, appealed to the secretaries of the Central Committee of the Communist Party of Ukraine P. Shelest, F. Ovcharenko, Chairman of the Presidium of the Supreme Soviet of the USSR M. Pidhorny, to the PEN Club, etc. with complaints about court decisions.

The nature of investigative and trial sources is significantly influenced by the status of courts and other bodies in the state, which are adjacent to them, and the degree of their independence in solving issues. For instance, during the Soviet era, the interference of party bodies in the work of judicial and law enforcement bodies led to their loss of an objective approach to solving cases.

When working with the documents of courts and penal and repressive bodies, one should remember that in addition to investigative and trial materials, other types of sources have been preserved in their archives. For example, during the Polish-Lithuanian era, the courts, which at that time played an extremely big role in the state, turned into a kind of repositories of the most valuable materials from various aspects of life, primarily deed sources, since the deed books of numerous courts (town, zemstvo, tribunal, magistrate etc.) included all kinds of conditions, contracts, obligations of private individuals, royal charters, privileges, Diet constitutions, tax statutes, consequences of lustration of royal possessions, etc.

### **13. Documents of public associations and political parties**

With the emergence of social movements, associations, and later political parties, a new type of historical sources emerged – documents and materials of these organizations. The cognitive value of these sources for a historian is determined by the fact that turning to them makes it possible to study in detail not only the internal history of parties and associations, their goals, strategy, tactics, used means of struggle, but also to trace their influence on the development of historical events, in particular the political, socio-economic and spiritual life of the country in one or another period.

The typology of documents of political parties and movements is quite broad and includes:

- statutes of parties and associations. They determine the organizational structure and principles of activity, functions of central and local bodies, rights and obligations of their members;
- program documents of parties and associations. They outline goals both final and at certain stages of the development of society, practical tasks and methods of their implementation. This group also includes party statements regarding their attitude to the most painful everyday problems;

- materials of congresses, conferences, plenums, meetings of central and local bodies of parties and associations. This is the most massive source of party origin, which gives an idea of the practical activity of parties and associations;

- correspondence of party and public organizations, other documents about their practical activities;

- speeches at congresses, conferences, and in the press by the leaders of parties and associations, in which the documents of these organizations as well as their practical activities are explained and commented on;

- a complex source is the party press, which contains almost all the above-mentioned types of documents, as well as other materials covering the activities of parties and associations.

During the period of the declaration of sovereignty and independence of Ukraine and during the following years, the number of political parties in the country grew rapidly. Today, more than 100 parties are registered in our country. Only in 1999 – 2000 more than 30 of them appeared. Currently, there are both far-left parties in Ukraine, for example, the Party of Communists (Bolsheviks) of Ukraine, the Progressive Socialist Party, the Union of Communists, and far-right parties for instance the Congress of Ukrainian Nationalists, the Social-National Party of Ukraine. However, most parties adhere to moderate, centrist positions. Part of the program documents of parties active in Ukraine has been published. The reference books of the political parties of Ukraine can assist a historian in finding sources on this issue.

Over the past centuries, a huge array of sources of party origin has been accumulated. The value of the documents of this or that political party or public association is determined, first of all, by the role they played or are playing in the life of Ukraine. The level of availability of party sources is also not the same, since not all parties and associations paid due attention to the timely creation, preservation and publication of sources from the history of their organization. Documents of modern political parties and movements have not been represented sufficiently in the publications yet. Most of the documents of these associations can be found only

in periodicals. Unfortunately, many of the leaders of various associations mention sources only when it comes to party anniversaries. This is the case with the Ukrainian Union of Students, whose leadership decided to restore the ten-year history of this organization and publish a collection of documents dedicated to its activities. That is why the study of published party sources should be combined with work on archival sources, most of which are concentrated in the Central State Archive of Public Organizations of Ukraine, as well as in the Central State Archive-Museum of Literature and Art of Ukraine. Materials on the history of most trade unions are kept in the archive of the Federation of Trade Unions of Ukraine.

#### **14. The periodical press as a historical source. Sources of personal origin**

In the source base of the modern and contemporary history of Ukraine, the leading place is occupied by periodicals, the main types of which are newspapers and magazines. Their specific feature as a source is a complex, synthetic nature: they present many forms of information (documentary, current-chronic, personal, etc.). The press is also characterized by the promptness of giving information about events, the immediacy of their presentation, which increases its source value. The practice of publishing official materials – resolutions of state authorities, documents of political parties and public organizations – on the pages of newspapers and magazines turns the press into a kind of treasury of the era sources, which cover events in different ways.

The first printed newspapers appeared at the beginning of the 17th century in Belgium and France. The history of the press in Ukraine dates back to July 9, 1749, when the newspaper “Lviv Courier” (in Polish) was printed in Lviv, containing information about the religious and secular life of the city. Most researchers consider the first newspaper in Ukraine to be the Lviv weekly “Gazette de Leopold”, published in French on January 1, 1776 (only one issue of this newspaper has survived to our time). At the end of the 18th century several more newspapers in Polish and German

appeared in Lviv. The first Lviv daily publication was the newspaper “Dziennik patryjotycznych politykow”, published in Polish during 1792 – 1798 (with breaks).

Reference books of the periodical press, prepared by the Book Chamber of Ukraine – “Periodical Publications of the Ukrainian SSR” have a generalizing character. Separate issues are devoted to the description of newspapers by periods: 1917 – 1960 (Kharkiv, 1965); 1961 – 1980 (Kharkiv, 1983). Corresponding magazine indexes were also created: 1918 –1950 (Kharkiv, 1956); 1951 – 1960 (Kharkiv, 1964); 1961 – 1975 (Kharkiv, 1984); 1976 –1980 (Kharkiv, 1988). Unfortunately, during the Soviet times, Ukrainian periodicals published outside the USSR were not included in the indexes, so it is worth contacting the indexes of Western Ukrainian and foreign periodicals to get some information about their status. The current state of Ukrainian periodicals is also reflected in the reference literature.

When studying the periodical press as a source, it should be kept in mind that the content of newspapers and magazines, the level of completeness and objectivity of the information contained in them was influenced not only by the qualifications of the authors and editorial staff, but also by the conditions they were published in. For example, in tsarist Russia, the periodical press was published under the conditions of strict preliminary censorship, introduced as early as in 1720. It is possible to get an idea of the nature of the instructions to the censorship authorities by taking into consideration the tsarist decree of June 20, 1848, which emphasized: “Even indirect condemn of actions or orders of the government and established authorities, whatever level of the latter is, must be forbidden”.

Despite the difficult working conditions, the majority of journalists at all times tried to convey objective information about all current problems to readers. So, for a historian the press has been one of the main complex sources on the history of Ukrainian society for recent centuries.

The emergence of sources of personal origin goes back centuries: in Ukraine they arose during the princely era. At the same time, the tradition of using such sources began to develop in Ukrainian historiography, although they began to be



actively involved in historical works only in the 18th-19th centuries. In his research the well-known historian O. Lazarevskyi used quite widely sources of this type from the archives of the starshyno-dvorianskykh and noble families of Ukraine. In particular, the most significant first publications of personal sources from the history of Ukraine are associated with his name. As for the complex use of sources of personal origin, it has become characteristic of historiography since the 20th century.

Let's consider the characteristics of the main types of personal origin sources and their place in the source base of the history of Ukraine in detail.

Memoirs constitute the most numerous type of sources of personal origin. Their value as sources depends on many factors: the author's role in the events he describes, his acute perception of reality, his ability to remember the course of events, the time of writing his memoirs, etc. Memoirs created shortly after the events, as a rule, convey their nature and content more accurately. In memoirs written many years later, the nature of the author's story is negatively affected not only by the blunting of the author's memory, but also by the changes that have taken place over the past time in his views and perception of reality.

The oldest source of the memoir genre can be considered Nestor the Chronicler's memoirs of 1091 about the transfer of St. Feodosii's relics. Most of the available memoir sources on the history of Ukraine from the following period (approximately until the 16th century) belong to foreign authors who came to Ukraine or permanently lived here (given the specificity of these sources, they are considered separately). Domestic memoir sources spread in Ukraine in the 17th century. For example, Metropolitan P. Mohyla's notes about the events in Ukraine in the 1620s and 1630s caused great interest among the researchers. Memoirs on the history of Ukraine of that time belonged mainly to political figures, Cossack starshyna, and representatives of the clergy. An exception is the rather original oral memoirs of an ordinary Zaporozhian, a witness to the last defeat of the Zaporozhian Sich, Mykyta Korzh (1734 –1835), recorded by Archbishop Gavriil of Kherson and Taurida.

In the conditions of sovereign Ukraine, despite the absence of censorship, the diaries did not spread.

Thus, although the diaries do not cover all periods of the history of Ukraine, they are a significant source of study of many events that attracted their contemporaries' attention.

Autobiographies are a peculiar source of personal origin, which, unfortunately, historians rarely turn to. The sources of this type appeared during the princely era, as evidenced by Prince Volodymyr Monomakh's autobiography, included in the last part of his "Teaching to Children". At different times, writers, cultural figures, scientists, and less often politicians turned to writing autobiographies. As a separate genre, autobiographies established themselves in Ukraine in the 18th century. One of them belongs to priest I. Turchynovsky, who travelled a lot around Ukraine and Belarus in the first half of the 18th century. The autobiography had a rather characteristic title, which determined its content: "Written by the sinful Ilya Turchynovsky, priest and governor of Berezansky, his life and suffering for his children, grandchildren and descendants to remember." The autobiography was first published in 1885 in the journal "Kyivskaia starina" (Vol. XI. pp. 318-332). Subsequently, as an excellent example of the autobiographical genre, it was repeatedly included in various anthologies.

In the 19th century autobiographies in Ukraine became a common phenomenon among the creative intelligentsia. One of them belongs to the genius of Ukrainian culture, Taras Shevchenko. Its significance as a source goes far beyond the boundaries of a purely biographical document of the era. Written in 1860 by the order of the editors of the St. Petersburg newspaper "Narodnoe Chtenie", it was published at a time when the society heatedly discussed the practical implementation of the peasant reform. The autobiographical confession of the brilliant poet and artist, yesterday's serf, about his hardships, including his arrest and exile, made a great impression on his contemporaries and undoubtedly contributed to the formation of anti-serf sentiments in Russia.

In 1868, the Western Ukrainian newspaper “Pravda” (Lviv) published the autobiography of T. Shevchenko’s contemporary, P. Kulish (No. 2, 3, 4, 7, 24, 25, 27, 28). A little later (1875) M. Kostomarov’s autobiography appeared, although in terms of genre and volume it goes beyond the scope of an ordinary autobiography and is pertinently a memoir. Quite famous at the end of the 19th and the beginning of the 20th centuries was M. Drahomanov’s autobiography. Written in 1883 in Geneva (in 1889, the author supplemented it with additional stories), the autobiography was first published in Ukrainian in the book “M.P. Drahomanov: His Anniversary, Death, Autobiography” in Lviv in 1896. It was published in Russian in 1906 in the journal “Byloe” (No. 6), and in 1917 it was published in Kyiv as a separate pamphlet. Autobiographies were often written to the orders of publishing houses, editors of encyclopedic editions, political parties or public associations. It is the way M. Drahomanov’s, M. Hrushevskyyi’s, and M. Shapoval’s autobiographies were made.

Autobiographies of figures of the Ukrainian revival of the 19th century have always attracted researchers’ attention. Fifteen such autobiographies were included in a collection prepared by the Ukrainian diaspora scholars. The collection includes the autobiographies of T. Shevchenko, P. Kulish, M. Kostomarov, M. Drahomanov, V. Antonovych, O. Barvinsky, and others.

A rather unique type of autobiography are documents created at the request of criminal authorities by people who were under investigation. These sources should be considered very carefully, since the authors sometimes attributed to themselves actions that they did not commit.

Recently, in Ukraine, work on the compilation and publishing of various biographical dictionaries has been developed. In this regard, at the request of various editorial offices and institutions well-known scientists, figures of culture and politics compile biographical background in a certain form. The archives created on the basis of these materials will be useful to researchers of the modern history of Ukraine.

Therefore, autobiographies are a valuable source for studying, first of all, the activities of individuals, their assessment of their personal contribution to the development of civilization.

Foreigners' travel notes, which contain a significant layer of memoir information on the history of Ukraine, deserve researchers' special attention. For example, in 1573, the French author Blaise de Vigenère wrote a note for the Polish king Henry, in which he described the current situation in the Ukrainian lands.

Summarizing the review of personal origin sources, it should be noted that they, reflecting the events of a certain time, are not devoid of subjectivity in the assessment of historical facts and social phenomena. Therefore, their value increases when they are used in combination with other types of sources.

## **15. Hagiographic, scientific, and fiction literature**

Scholars differently assess the source value of various types of literary works for the studies of the history of Ukraine. Historians keep on discussing the role of each of them in the source base. Considering different points of view, it is important to remember that a historian in his research work cannot but take into account any manifestations of the people's life, including those materialized in artistic and literary monuments, which are an integral part of the history of the people. Certainly, a professional approach to the assessment of the source value of each literature type requires mandatory consideration of its characteristics, features, and information potential. It is this approach that guarantees an objective placement of each literature type in the source base of the history of Ukraine.

### ***Hagiographic literature***

Since ancient times stories about people whom the church proclaimed saints have been widespread in Ukraine. This literature was called hagiographic (from Greek hagio – saint, graphia – write) and can be conditionally divided into two groups: the lives of the saints officially approved by the church, and the creative

works of fiction of individual authors. The latter were often directed against church dogmas or trends.

The Lives of Saints dates back to the 2nd – 3d centuries. They appeared in Kyivan Rus as translations from Greek immediately after the adoption of Christianity. In the 11th century, the Life of national saints began to be compiled. Collections of these stories had different names (depending on their purpose): patericons, synaxarions, *the Great Menaion Reader*, etc. The lives of saints have been people's favorite reading since their inception, they actively set the moral principles of society.

The first collection of the Lives of national saints in Ukraine is *The Kyivan Cave Patericon (Kyievo-Pecherrskyi Pateryk)* written in the 13th century according to legends of the 11th – 12th centuries. It was compiled by the monks of the Kyiv Monastery of the Caves to prove its sanctity. Nestor the Chronicler, monk Polikarp, and Bishop Simon were the authors of *The Patericon*. Nestor is, in particular, the author of the legend about the name of the Kyiv Monastery, lives of the Venerable Theodosius of the Kyiv Caves, and account about the life and martyrdom of the Blessed Passion Bearers Boris and Gleb. These are the oldest examples of hagiographic literature in Ukraine.

M. Hrushevsky highly rated *The Kyivan Cave Patericon* and called it the “golden book” of the Ukrainian literate people, a source of their literary consolation and moral instruction, putting *The Patericon* on a par with T. Shevchenko's *Kobzar* in terms of popularity.

*The Kyivan Cave Patericon* was repeatedly reprinted. In 1931, it was published in Kyiv in the series *Heritage of the Language and Writing of Ancient Ukraine (Pamiatky movy ta Pysmenstva Davnioi Ukrainy)* with an introductory article and notes by D. Abramovych. In 1991, reprints of *The Patericon* from the 1903 and 1931 editions were made. Nowadays the book continues to be the object of scientific research.

A feature of hagiographic literature is the embedding stories about church figures, bishops, founders and priests of the monasteries, real historical facts about

secular life, the relationship between princes and the church, wars, rebellions, etc. This makes it possible to use the Lives as a historical source. To this end, historians O. Bodianskyi and V. Kliuchevskyi studied the Lives of saints. The latter devoted a separate work to them, in which he argues that the Lives of saints are an invaluable source. Nowadays, interest in the Lives of saints is reviving, as evidenced by the reprints of many of them.

### ***Scientific literature***

Scientific, popular scientific, and educational literature on history, performing its specific functions in society, is at the same time an important historical and historiographical source. Two circumstances determine its value from the point of view of source studies.

Firstly, some of these works contain sources or excerpts from them that have not survived to our time. For example, the Russian historian V. Tatishchev in his work *History of Russia from the Most Ancient Times (Istoria Rossiiska z Naidavnishykh Chasiv)* cited the texts of ancient chronicles, some of which were later lost during the fire in Moscow in 1812. The historical works of M. Kostomarov, V. Antonovych, and M. Hrushevsky are a valuable source of the history of our people. Researchers are greatly interested in the foreign authors' works created before the emergence of our written language. Thus, under certain conditions, historical works can be considered as a secondary historical source.

Secondly, all historical works, regardless of their content and time of creation, act as a historiographical source. That is material evidence of the development of historical knowledge. They, in particular, characterize the process of growth of historical knowledge, and changes in the conceptual foundations of the created works.

The first historical works appeared in Ukraine in the 17th century. These are the books by F. Safonovych *Chronicle from Ancient Chronicles (Khronika z Litopystsiv Starodavnikh)* and P. Kokhanovsky *Extensive Synopsis of Kyivan Rus (Obshyrnyi Synopsys Ruskyi)* (1674). However, *the Kyivan Synopsis (Kyivskyi Synopsys)* gained the greatest fame. I. Giesel is believed to be its possible author.

The book became the first manual on national history. It covered events from the most ancient times to the 80s of the 17th century. Although the author to some extent touched upon the events taking place in Russia, the main content of the work was devoted to the history of Ukraine. *The Kyivan Synopsis* marked the transition from chronicles to scientific historical works. And yet in the 17th-18th centuries, the accumulation of historical facts was the main trend.

Truly professional works on the history of Ukraine appeared at the beginning of the 19th century. These are *History of Little Russia (Istoria Maloi Rosii)* (1822) by D. Bantysh-Kamensky, written from a monarchical position, same as *History of Little Russia (Istoria Malorosii)* (vol. 1-5, 1842-1843) by M. Markevych, works by Ya. Markevych, M. Maksymovych, and others. A remarkable work by an unknown author called *The History of Ruthenians or Little Russia (Istoriia Rusiv)* was widespread in Ukraine in the 20s of the 19th century. O. Bodiansky published it in the book *Treatises of the Moscow Society for Russian History and Antiquities (Chtenia Moskovskogo Obshchestva Istorii i Drevnostei Rosiiskykh)* in 1846. *The History of Ruthenians or Little Russia* covers the events in Ukraine from the earliest times until 1769. The cross-cutting idea of the whole work is the right of the Ukrainian people to independent state development, confirmed by historical experience. It is connected to the existence of statehood during the time of Kyivan Rus and the history of the Cossacks, which was established in Ukraine.

In the second third of the 19th century, a critical approach to sources was developed in Ukrainian historiography thanks to the work of such historians as M. Maksymovych, M. Kostomarov, P. Kulish, and later – V. Antonovych, M. Hrushevsky, D. Yavornytsky, D. Bagaliy, and others. The pinnacle of the development of Ukrainian historiography of the 19th and early 20th centuries was a multi-volume encyclopedic work by M. Hrushevsky *History of Ukraine-Rus (Istoriia Ukrainy-Rusy)*, the first volume of which was published in 1898.

There were supporters of various schools and trends among Ukrainian historians of the 19th – early 20th centuries: romanticism, documentary, positivism, the humanitarian system, economic materialism, etc. Two main approaches were

formed in the interpretation of national history: populist and statist. The supporters of the first of them were characterized by bringing the masses, their ideals, aspirations, absolutization of their interests to the forefront of the historical process, and consideration of all problems of history from these positions. Later, at the beginning of the 20th century, under the influence of the national-democratic views of M. Hrushevsky, the works of V. Lypynsky, D. Doroshenko, S. Tomashivskyi, and other famous historians, the statist approach was formed in literature, which organically grew from the populist one. Its representatives focused on the justification of the role of the state in history and the people's state aspirations. They considered the development of the Ukrainian state as a permanent, or rather, an absolute value. I. Krypiakevych, V. Kuchabskyi, N. Polonska-Vasylenko, O. Ohloblyn and others also played a significant role in the development of this approach.

The establishment of the Soviet government in Ukraine and the introduction of Marxist-Leninist ideological patterns in all spheres of social life radically changed the historians' working conditions. A universal dogmatic theory of the historical process was spread over the history of Ukraine. It was based on the postulates of Marxism-Leninism, the central concept of which was a materialistic view of history and the doctrine of class struggle. The Marxist methodology was a monopolist in Ukrainian historiography, and deviation from it was severely punished. Marxism was declared to be the only true teaching about society and its history. Ideological monism, the artificial isolation of historians from the developing world historical thought and the purposeful concealment of many archival sources had a negative impact on the development of the national one. It led to the falsification of key events and phenomena, the depersonalization of history, and the emergence of numerous "blind spots" (unexplored facts of history). All this should be taken into account when using the Soviet historians' works as a source.

With the restoration of the independence of Ukraine, a new stage in the development of historical science has opened. It is characterized by such features as the mastering of new approaches and theories, the revival of the best national



traditions of Ukrainian historiography, the overcoming of falsifications and the elimination of “blind spots” in history, and the development of new layers of historical sources. The use of cultural and civilizational approaches, the abundant theoretical heritage of the Annales school, post-positivism, neo-Kantianism, and other modern theories contributed to improving the quality of scientific works on history.

Earlier the history of Ukraine, except for the Ukrainian diaspora historians’ works, was considered nothing but a constituent part of the history of Russia or the Soviet Union. Today researchers’ main efforts are aimed at revealing Ukrainian historical identity, which prompted them to reconsider many conceptual approaches to national history and create a new generation of scientific and educational literature on this topic.

A brief overview of the development of historical knowledge in Ukraine shows that two processes are taking place simultaneously in science: on the one hand, a steady increase in the amount of knowledge, the development of new layers of information, new ranges of sources, and on the other hand, conceptual and methodological changes. Historians’ scientific, popular scientific, and educational works reflecting these changes, act as a historiographical source for new generations of researchers, testifying to the nature and depth of changes in historical science at every stage of its development.

### ***Fiction***

For many people, the source of historical knowledge is not so much the works of professional historians as fiction. It actively forms nation’s historical ideas, life ideals and mentality. Recreating the past in vivid artistic images, masters of the word are able to deeply comprehend the essence of the historical processes that they depict, the mystery of the historical figures’ psyche. Even a professional historian, having studied a huge mass of documents about Stalinist repressions, will not be able to reveal psychological “abnormalities” as vividly as such masters of words as I. Bahrianyi, O. Oles, V. Stus, and others did. It is not by chance that special manuals

designed to study history through artistic and literary images have recently begun to be created.

Various genres of fiction play different roles in historical knowledge. For example, journalism as an initial generalization of specific historical phenomena in an artistic form can be put in the first place as a source for studying various aspects of people's life. As for other genres of fiction, they also help everyone who turns to them to better understand the essence of historical phenomena and events, learn unknown facts about the work of historical figures. Although it should be borne in mind that some writers interpret historical facts and events quite freely, and often twist them. It harms readers' historical education and requires a critical attitude to fiction as a source.

In Ukrainian literature, the artistic understanding of national history began as far back as the princely times, as evidenced by the gem of ancient literature *The Tale of Igor's Campaign (Slovo o Polku Ihorevi)*. In this work, not only the historical events of Igor Sviatoslavich's campaign against the Cumans (Polovtsy) are realistically reproduced, but also people's dreams about princes' unity in the fight against the common enemy are expressed.

A characteristic feature of ancient fiction was its journalistic nature. Important historical events (and turning points especially) always led to a new surge of interest in the journalistic genre. Journalism, as a mirror, reflected social life problems.

For instance, a kind of catalyst in the development of polemical literature was, the Union of Brest (1596), which became the impetus of the heated debate between representatives of Catholicism and Orthodoxy, not only regarding its recognition or non-recognition but also around such issues as people's religious traditions, the continuity in its cultural development.

The polemic was initiated long before the adoption of the Union of Brest by the representative of the papacy, the Jesuit bishop of Krakow P. Skarga, who defended pro-Polish interests and justified the Catholicization of the Ukrainian people in his works. Opponents of the union, representatives of the Orthodox clergy, educators, and scientists defended the Orthodox faith. The polemical works of Prince

K. Ostrogski, writer and monk I. Vyshenskyi, and the rector of Ostroh Academy H. Smotrytsky are among those defending the values of Orthodoxy. This type of literature positively influenced the spiritual life of Ukrainian society for two centuries. Considering the importance of this literature for the knowledge of history, it was repeatedly reprinted.

A significant layer of journalistic works remained after each period in the history of Ukraine. For example, M. Drahomanov's pamphlets against autocracy are particularly valuable for the study of Ukrainian public opinion in the 19th century. They were published in the then-popular magazines *The Herald of Europe (Vestnik Evropy)*, *The Community (Obshchina)*, newspapers *The Free Word (Volnoe Slovo)*, *Free Russia (Svobodnaia Rossiia)*. Journalistic articles by I. Franko in the Austrian, German, Polish, and Ukrainian press, journalism by Lesya Ukrainka, B. Hrinchenko, D. Dontsov, and others are also valuable sources for studying the development of the Ukrainian people's national consciousness.

Since the mid-nineteenth century, the practice of addressing the public with open letters, in which urgent issues of the present day were raised in a journalistic form, was developed in Europe. This practice was effectively used by Ukrainian public activists and writers. The most famous examples are M. Drahomanov's *Letters to Dnieper Ukraine (Lysty na Naddnypriansku Ukrainu)* and B. Hrinchenko's *Letters from Dnieper Ukraine (Lysty z Naddnyprianskoi Ukrainy)*. In these journalistic works, the two luminaries of the Ukrainian national idea discussed and exchanged opinions on the attitude to the national question, the essence of Ukrainian nationalism, its universal meaning, etc.

In the 20th century, V. Vynnychenko successfully used this literary and journalistic form to draw the attention of the European public to the tragic events in Soviet Ukraine. He addressed open letters to M. Gorky in 1928 (*Literaturna Ukraina*. May 10. 1990), and to the Politburo of the Central Committee of the CP(B)U (copies were sent to the Politburo of the Central Committee of the CPSU(B) and Stalin personally) in September 1933. In these letters, V. Vynnychenko rightly accused Stalin and his supporters of the mass terror and organization of famine in

Ukraine. *The Letters to Ukrainian Grain Farmers (Lysty do Ukrainskykh Khliborobiv)* by V. Lypynsky are an important source for the study of the history of Ukraine.

Modern magazines and newspapers contain a huge number of journalistic works that allow a deeper understanding of the processes currently unfolding in society. However, the fragmentation of these materials makes it difficult to use them, although the first attempts to generalize this kind of texts have already been made.

When involving fiction in research on the history of Ukraine, the historian must always remember that its role as a source is determined not so much by the content of the work as by its significance as a literary and artistic phenomenon of a certain historical era. It makes it possible to deeper study the relevant era, moods, tastes, views of its representatives, etc. Novels, short stories, poems, dramas, and verses make it possible to better understand the history of culture, spiritual life, and the level of historical consciousness of society. As early as 1618 p. I. Dombrovsky in the poem *The Dnieper Stones (Dniproviski Kameni)* celebrated the heroic glory of princely Kyiv. This theme was raised in *The Poems for Mourning Funeral of the Noble Knight Petro Konashevych Sahaidachny (Virshi)* (1622) by C. Sakowicz. Moreover, in Ukraine, poetic works dedicated to historical events were often set to the music and became favorite songs of the people.

The fact that in the 16th-17th centuries such an original genre as historical drama appeared in the brotherhood schools of Ukraine can serve as evidence of growing interest in the historical past. The character of T. Prokopovich's drama *Volodymyr* was a real statesman who personified the traits of not only Prince Volodymyr, but also such political figures of Ukraine as B. Khmelnytskyi and I. Mazepa. In 1708, L. Horka created the drama *Joseph the Patriarch*. According to scientists, I. Mazepa became the prototype of the protagonist of the work. The drama by anonymous author *Mercy of God (Milost Bozhaia, 1728)* was dedicated to B. Khmelnytskyi. The first Ukrainian historical novel *Zynovii B. Khmelnytskyi* by P. Biletskyi-Nosenko (1829) was also devoted to him.

The works of art, as a rule, raised the most acute issues of history, inextricably linked to the era in which the artists worked. Thus, in 1762, the translator of the General Military Chancellery, S. Divovych, created a versed historical treatise *Conversation of Great Russia with Little Russia (Razgovor Velikorosii s Malorisiieiu)*, in which the idea of the need to equalize the rights of Ukrainian ranks with the Russian ones was expressed through expressive means.

In the 19th – early 20th centuries highly artistic works of I. Kotliarevsky, T. Shevchenko, P. Kulish, Ye. Hrebinka, P. Myrny, I. Karpenko-Karyi, I. Franko, M. Kotsiubynsky, L. Ukrainka, V. Stefanyk and other masters of the word appeared. Their works vividly reflected the pages of Ukrainian history. Moreover, the historical literature of that time is characterized by diverse, and often contradictory assessments of many historical phenomena and figures, which is evidence of the diversity of views that prevailed in that time society.

Works of fiction of the Soviet era have their specificities. During this period, the method of so-called social realism, the principles of party membership, and classism were forcibly introduced. They had a negative impact on the content and artistic quality of many works, including those on historical issues. And yet the works of M. Bazhan, P. Panch, O. Honchar, P. Tychyna, V. Sosiura, A. Malyshko, M. Stelmakh, Yu. Mushketyk, M. Vinhranovsky, P. Zahrebelnyi, Yu. Yanovsky, I. Drach, L. Kostenko, D. Pavlychko, V. Symonenko, V. Stus, V. Yavorivsky and other authors have great source value. The situation changed only in the 90s when artists could free themselves from the Communist Party hegemony.

The range of topics covered in modern historical works of fiction is extremely wide. The letters describe the times of Kyivan Rus, The Khmelnytsky Uprising, the liberation struggles of our people in the 20th century and their participation in wars and revolutions.

Writers' attention is drawn not only to heroic but also to tragic pages of Ukrainian history (the Terror-Famines of the 20s and 50s (the Holodomor), Stalinist repressions, the resistance movement at different times, etc.).

Sometimes the plots of literary works are presented as authentic historical evidence, which complicates the work of a historian. For example, the texts of not at all diplomatic letters of the Zaporozhian Cossacks' to the Turkish Sultan were even cited in some works of historians as authentic diplomatic sources of the 18th century. H. Nudha summed up the long discussions about the authenticity of these letters. Having carefully analyzed all the available editions and versions of the Sultan's letters and the Cossacks' answers, the scientist established that the Sultan's letter and the Cossacks' answer to him are simply the work of a Ukrainian writer from the Cossack Chancellery.

Taking into account the great educational value of fiction works for the development of national history, the *Ukraina* Publishing House together with historians of the National Academy of Sciences of Ukraine began to implement a large-scale project of publishing a series of books *History of Ukraine in Prose Works and Documents (Istoriia Ukrainy u Prozovykh Tvorakh I Dokumentakh)*. Eight volumes devoted to the events up to the 18th century have already been published. The careful selection of works of fiction that have stood the test of time and the scholarly commentary of historians, have made this publication extremely valuable for all those who study and research history.

Therefore, fiction is a specific historical source that can be used by historians to analyze the corresponding era, illustrate certain theses, to enhance the emotional perception of historical material, as well as to study the era of the fiction work creation, its author's ideology, the influence of his contemporary life realities on it.

Thus, the consideration of the main groups of written sources on the history of Ukraine shows that over the centuries-old history of our homeland, a huge number of different texts have been created, which makes it possible to fully restore the past of the Ukrainian nation. Written sources, as a product of many generations of people, are inextricably linked to the era which they were created in. Therefore, changes in spiritual life and material production were accompanied by changes in the reflection of the surrounding world, which, in turn, influenced the character of the entire complex of written works of each era.

The analysis of sources confirms the regularity of steady growth of recorded information about historical phenomena and events. The increase in the volume of written sources is accompanied by an increase in their diversity and changes in the ratio of their various types. The type diversity of sources at each stage of history depended on many factors: the level of material and spiritual culture, the development of education and science, ethnic and social structure, the socio-political system of the country in a particular period, and its legal foundations.

Researching the problem of the use of written sources in scientific discourses shows that their various types are far from being equally used by historians. It depends not only on the historians' qualifications but also on their technical equipment. The existence of a huge number of heterogeneous sources from the history of Ukraine, which are not fully introduced into the scientific circulation, necessitates further comprehensive development of the abundant source base of Ukrainian history to reproduce the past of our nation in all its diversity and completeness.

**CREDIT 3**  
**THEORETICAL AND METHODOLOGICAL FOUNDATIONS OF**  
**ARCHIVAL STUDIES. ARCHIVAL SYSTEM AND NETWORK OF**  
**ARCHIVES**

**LECTURE 7**  
**ARCHIVAL STUDIES AS A SCIENTIFIC SYSTEM AND AN**  
**ACADEMIC DISCIPLINE. HISTORY OF ARCHIVING**

**Plan**

- 1. Archival studies: subject, objects, methods and source base**
- 2. The origin and development of archiving in the ancient world and the Middle Ages**
- 3. Foundations of modern archiving (17th - first half of the 20th century)**
- 4. Modern world trends in the development of archiving**
- 5. Genesis of archives in Ukraine. The period of Kyivan Rus and Kingdom of Galicia-Volhynia**
- 6. Archival studies of the Lithuanian-Polish period**
- 7. Archives and archiving of the Cossack Hetmanate Ukraine**
- 8. Archives and archiving in Ukraine in the late 18th - early 20th centuries**
- 9. Archives and archiving of the liberation struggle and restoration of the Ukrainian state (1917-1920)**
- 10. Archiving in Western Ukraine, Bukovyna and Transcarpathia in the 1920s and 1930s**
- 11. Archives in Ukraine during the Soviet period**
- 12. Archiving development in modern Ukraine**



## **1. Archival studies: subject, objects, methods and source base. The importance of archival studies in students' training**

Archival studies is a science dealing with the history, theory and practice of archival studies, its legal and economic foundations, archival management and information systems, principles of formation and use of archival funds, technology of storage and restoration of documents.

The essence of archival studies as an academic discipline is determined by this definition, i.e. it covers and studies the history, theory and practice of archival studies.

Like any science and academic discipline, archival studies has its own subject, object and research methods. The subject of archival studies is trends and regularities of organization and development of archival studies, scientific principles of work with documents, examination of their value, classification, selection for storage, technologies of processing and organization of use of documents. The main task of archival studies is to theoretically comprehend these problems and develop methods of their solution.

The objects of archival studies are the system of archives, documentary resources on paper and other carriers, archival management bodies, and research institutions. Among the objects of archival studies, the most important are complexes of archival documents, funds and collections. Archival documents are selected, evaluated, recorded, described, stored and used as an information object. The object of Ukrainian archival studies is also Ukrainian archival studies, which means the Ukrainian people's documentary heritage preserved in national and foreign archives, museums and libraries.

The priority objects of archival studies determine its main function that is to develop the theory and methodology of collecting, recording, storing and informing about documents.

Archival studies has become a science due to its relying on general scientific and specific research methods. The combination of these methods and the

fundamental principles of scientificity, historicism, objectivity and comprehensiveness constitute the methodological basis of archival studies. Let us consider the main methods and principles of archival studies.

The priority method of archival studies is the historical one, which, together with the logical one, allows for a thorough study of the origins and development of archival studies, identification of the main stages of the archival system formation, highlighting the contribution of leading archivists to archival studies and practice, analysis of the influence of specific historical factors on the state and nature of the archival industry.

Retrospective and comparative methods play an important role. The former allows starting from the present and gradually plunging into the archival past, highlighting the most characteristic features and trends for each stage of archival development, regularities of archival thought evolution. The latter makes it possible to actually compare new and old knowledge, archival technologies, identify the growth of scientific knowledge and progressive methods of processing archival fonds, modernization of technologies of their storage and use.

The study of documents being one of the most important tasks of archival studies is often based on the methods of historical source studies: scientific heuristics, classification and criticism of sources, their identification, etc.

All components of archival studies, primarily history, theory and practice of archival studies, are based on the fundamental principles of scientificity, historicism, objectivity and comprehensiveness.

In addition to the general principles of archival studies, specific principles of archival management should be taken into account. These are the principles of indivisibility of archival fonds, accessibility of archival information (openness), etc., which will be discussed further in the relevant sections.

Archival studies has its own rich and diverse source base, that is why it has become a separate scientific system. The source base of archival studies includes general historical and special archival sources. The bulk of them are historical sources that acquire archival character due to the specifics of cognition. Written

archival sources are classified according to the criteria accepted in modern historical source studies. Firstly, these are regulations and other documents of state bodies and authorities, political parties, public and religious organizations, creative unions related to the establishment of archives, determination of their profile and structure. This group comprises documents of archival management bodies and archives administration. Secondly, works, speeches and statements of state and public figures on archival policy and activities of archival institutions. This group of sources also includes works of responsible employees of the archival industry at all levels, which contain information on the implementation of archival policy and activities of relevant institutions. The third group consists of so-called mass sources, first of all press materials, and various reference books. The fourth group of sources includes instructional and reference materials of archival authorities and institutions. Scientific works on the history, theory and organization of archival studies, materials of scientific and practical conferences are also of source value. This is the fifth group of sources, which are mostly carriers of secondary information and primarily historiographical sources of archival studies. Memoirs, diaries and correspondence of historians, archivists and archival workers should be distinguished as a separate group. Although the number of sources in this group is rather limited, memoirs of M. Hrushevsky, D. Doroshenko, M. Kostomarov, O. Ogloblyn, N. Polonska-Vasylenko and other historians, personal fonds of prominent archivists have been preserved. By comprehensively using the sources of all these groups, archival studies is enriched with new knowledge, generalizations, theoretical positions, and little-known facts from the history and practice of archival studies.

## **2. The origin and development of archiving in the ancient world and the Middle Ages**

There are different points of view on when the first archives emerged, but there is no doubt that they existed from the very beginning of the development of

writing. In fact, writing in ancient societies arose to draw up deeds: to keep accounts, to count product balances, to give out rations to workers, etc. The earliest archives stored mainly economic records. The first archives of this kind are known to have existed in ancient Mesopotamia, in Sumer. People wrote on clay tablets and fired them then for better preservation. After documentation, such tablets were put into special containers or baskets, which were placed in palaces and temples, and sometimes in storehouses. The most valuable documents were sometimes placed in special clay envelopes, on which the content was briefly described. In the third and second millennia BC, there were hundreds of archives in Mesopotamia. Most of the documentation was deposited in the kings' archives, but city and private ones, preserving the documents on land sales, wills, deeds of gift and others, also appeared over time. Trading houses also had their own archives with economic and financial documents. Finally, there were archives in schools, where textbooks, assignments and pieces of writing were stored along with documentation. Here, entries of documents were compiled according to the first line of the text. Huge archives were collected by Assyrian kings in the first millennium BC. However, they usually combined the archive with a library, since there was no clear division between literature and documents in Mesopotamia.

There were also archives in ancient Egypt, but the archival documents here were worse preserved because they were written on papyrus. Records management was done by trained scribes who stored the documents. There were such archives in all provinces of Egypt, at the pharaoh's court, as well as in the Houses of Life, where priests worked on creating pieces of writing. The further development of archiving is connected with the ancient world, primarily with Ancient Greece. At the beginning of its existence, in the so-called Mycenaean period, the system of records management and archiving did not differ from the Eastern one, as evidenced by the huge archives of clay tablets discovered in the cities of Pylos, Mycenae, and Knossos.

However, in the Classical Period of *ancient Greece*, with the emergence of Greek city-states (polis) the situation changed radically. Public political life, judicial

and legal activity, and market trade incredible expanded the use of documentation. The need for retrospective information and reference to the documents of the past, became very strong.

Therefore, almost all official documents were stored in ancient Greek polises for the first time. In each polis, all decisions of the assembly of the citizens in city-states (ecclesia) decrees (psephisms), and laws were recorded by secretaries on papyrus, signed by officials, and then the most important of them were carved in stone. The papyrus original of a document had to be deposited in the archives for safekeeping. These were the first real state archives, which cataloged almost all official documentation. State documents were usually stored in the special premises located in or near the council building. These premises were called “archivos”. Sometimes important documents were deposited in the main city temple. There were special individuals responsible for the storage of state documents. Aristotle wrote that in Athens such an individual was the so-called secretary of the prytany (gramateus). He was also engaged in current records management, combining the duties of a record keeper and an archivist. Documents were systematized by year and type: separately laws, decrees, current decisions, court verdicts, etc. The polis archives were open so that those interested could familiarize themselves with the documents or their copies. Historians and Aristotle himself often used them when writing his works.

In Rome, archival studies developed until the first century BC under the influence of Greek traditions. Archives were held by the highest authorities, first of all, the Senate. Due to the peculiarities of Roman society, family private archives became widespread. The importance of archives became great with the development of law in the first centuries AD. In property and other types of disputes, reference to ancient documents was considered mandatory. The Romans actively collected documents of the past, for the first time restoring them.

In the early Middle Ages, the main archival work was performed by the Christian church, which was directly related to the private life of a person. The registrations of births, marriages, deaths, and contracts, were performed here. Large

archives existed in monasteries Because of their intense economic activity. Archive documents were stored in special rooms in chests or boxes. Usually, churches and monasteries appointed people responsible for archival documents who acquired certain skills in archival affairs. Private individuals also sometimes deposited their important documents into church archives. This was due to two facts: clergy were literate and knowledgeable about documents, and, churches and monasteries were to some extent protected from robbery and fires, being the only stone buildings.

Since the Catholic Church was presented all over Europe, church archives were to some extent interconnected. Many important documents were transferred to the superior in church hierarchy, and then to Rome. Here in the fourth century the Vatican Secret Archive was created, which is still the most valuable collection of the historical documents of medieval Europe. Access to this archive was restricted, especially for the laic. The disadvantage of this archival system was that archives in churches were not always separated from libraries because of the handwritten nature of those books.

In the 9<sup>th</sup> –10th centuries along with the church ones, the patrimonial archives of feudal lords appeared. Legal documents and some political ones were stored there. In the 11th century, the first city archives appeared, which contained documents of magistrates. Some of these archives still function. The important additions to them were the archives of universities that appeared in Europe in the 12th century. The importance of the royal archives also gradually increased. They originated already in the early Middle Ages in the form of a private archive of a king. However, not only private, but also political and administrative documents such as international agreements, royal decrees, tax records, etc., were collected here. From the 12th-13th centuries the court activity on material expenses was recorded in France and England, and these documents have been preserved to this day thanks to the royal archives. The importance of these archives increases significantly with the beginning of the state centralization process in the 14<sup>th</sup> –15th centuries. They begin to receive documents from officials, vassals, and courts all over the country. The first more or less significant state funds are formed. However, there was still a long way to go

until the systematic deposit of state archives. Until the end of the Middle Ages, European states were a network of feudal estates, independent cities, and church lands, which had a semi-autonomous status and kept their own records, so that there were many unrelated archives in each country. From the 13th century, documents in the archives began to be registered and there were attempts to create a certain storage system by inscribing the chests. However, these were only minor rudiments of systematization. The content of the archives itself did not reflect all spheres of society and was not considered historically significant.

### **3. Foundations of modern archiving (17th - first half of the 20th century)**

Changes in the development of archiving began at the dawn of modern times. The emergence of capitalism, active development of commodity-money relations, extension of state power, intensification of international relations, and spread of literacy among general public resulted in a huge increase in document flow and constant need for retrospective information. This led to a much more active development of archives and archive work than before. For the first time, archivists with legal and diplomatic knowledge appear. The archivist's profession becomes socially significant, and archival work itself turns into a sphere of public interests. The central royal archives begin to insist on transferring important documents to the capital. City and land archives also undergo significant development accumulating a lot of economic and legal documentation. At the same time, the formation of national states, interest in the past increases significantly, and archive materials attract the historians' attention.

The French Revolution of the late 18th century brought fundamental changes to the development of archiving. On the one hand, the revolution in its attempt to destroy the old feudal world caused damage to a huge number of archives. During 1782 – 1789, the rebellious peasants repeatedly seized the archives of lords, courts, and notary offices and burned the documents found there. The urban poor and the

bourgeoisie supported these ideas, the burning of feudal papers was widespread and was even decreed by law. On the other hand, archival documents were first used for political accusations. The new authorities wanted to get personal documents of Louis XVI which later turned into the main evidence for accusing the king in court.

Having realized the political importance of archives, the new authorities started reorganizing archiving. In 1789 – 1794, a fundamental archival reform was carried out in France. Its first and most important step was the creation of the first-ever unified national repository the French National Archives in 1789. All the documents accumulated as a result of the activities of the country's legislative institutions during the Revolution were stored in it. In 1794, the Convention issued a decree declaring it the central state archives of the country; similar materials were to be stored in the provincial archives of local communities. Documents of historical value were transferred to the National Library of France.

In general, the archival reform contained four main ideas:

- Parliament's responsibility for the state of the archives;
- storage of national documents in a single center;
- declaration of the archives' accessibility principle for all citizens;
- the transformation of archives into a means of forming "national remembrance", free from the sources of slavery and fanaticism.

Nevertheless, the archival reform in France laid the foundations of a modern approach to archival work and became a model for other countries. As a result, in the 19th century, archives became public, making the wide use of their materials for scientific research possible. With the growth of national consciousness in all Western countries and the improvement of the historical research methodology, archives became an essential part of the historians' arsenal. On the other hand, during the 19<sup>th</sup> century, archives were becoming increasingly controlled by the state, and archiving gradually turned into a branch of government administration. Thus, the training of professional archivists began. In 1821, the first special archival institute, the National School of Charters, was established in Paris. A little later, the



Munich and Marburg schools were opened in Germany. State efforts centralized the archives further. France, as before, was the leader in this field. A series of legislative acts of the 50s-90s of the 19th century finally formalized the world's first centralized archival system. The management of national, provincial, municipal, and hospital archives is centered in the Ministry of Education, which established the Archives Administration, the Archival Commission, and the Archival Inspectorate.

Following the French model, archival reform was carried out in the Netherlands (1875) and Belgium (1879), where a network of state archives subordinated to the Ministry of the Interior was built. In England, in 1838, a law was passed on the establishment the Public Record Office, where all the historical repositories of London were concentrated, and materials from existing state institutions were to be transferred here. However, neither a general archival administration nor a subordinate network of local state archives was created in England.

In the USA since the beginning of the 19th century, a wide network of local archival institutions was created. The archives of cities, counties, and later states, stored a huge number of important historical and state documents, but were almost not connected and had no central control. Their status and structure were characterized by great diversity. Federal agencies and departments also had their own independent archives. The Central National Archives in Washington, D.C., was established only in 1934, but it also stored only the documents of the public administration.

In general, at the beginning of the 20th century, most countries had developed their own archival systems and archiving had acquired a more or less modern form. Almost everywhere it was controlled by the state to some extent and served both its needs and the needs of the scholars and researches of the past.

In the interwar period, archival affairs continued to develop in the same way as before, but some new trends became noticeable. First of all, it is even closer attention of the state to archives.

Almost everywhere, the state archival sector is to some extent subordinated to the ministries of internal affairs, because archival documents are beginning to be perceived as an important factor of national security. However, the opposite trend of the expansion of the non-state archival sector and the growing role of archives in public life is becoming noticeable. In Western countries, a network of private archives is beginning to spread, and archives of non-governmental organizations, universities, and libraries are developing. In the USA, a network of archives of companies and corporations is being formed. It stores not only office records but also historical documents. Even a special field of study called business archival studies emerged, which has been taught in some American universities since 1934.

In the countries where totalitarianism was established in those years, e.g. the USSR, Germany, Italy, and others, everything dealing with archives begins to be strictly controlled by the state and subordinated to purely ideological tasks.

#### **4. Modern world trends in the development of archiving**

The Second World War (1939-1945) caused enormous damage to the archives of many countries, especially to the repositories of Eastern Europe, Germany, and Italy. Many archives were destroyed as a result of fighting, fires, bombing, and looting. A huge number of documents were taken from the countries of their storage abroad during the occupation. The problems related to the relocation of documents during World War II have not been completely resolved even now.

In the first years after the end of the war, archival studies in most countries of the world developed in the same way as before. But gradually certain changes became noticeable, which in the last three or four decades have become trends that radically change the entire archival industry.

Among these trends, the following ones are worth highlighting:

1. The democratization of the archival industry, its gradual transition from state to public priorities. If earlier archives met mainly the needs of the state

apparatus, in recent decades the main factors of archival development are the needs of civil society, researchers' and ordinary citizens' interests. Archival studies is no longer devoid of the aura of secrecy and is not guided, as it used to be, by government orders. Archivists are trying to take an active part in social processes, to make the activities of archives open, transparent and socially useful. Not the state, but the citizen becomes the main visitor to the archives and user of archival information.

2. Disaggregation and denationalization of archival systems in most modern countries. Since the state is no longer the main customer of archival information and does not try to manage archives alone, archival systems are getting rid of excessive centralization that was characteristic of the previous era. In most countries, archival management has been removed from the control of the Ministry of Internal Studies and transferred to cultural ministries or special independent management bodies. Many countries have created decentralized archival systems that allow local archives to develop autonomously. In the context of the democratization of archival studies and its involvement in market relations, such a policy is natural and necessary.

3. Attempts to regulate relations in the archival industry at the legislative level. If earlier this regulation was based on directive orders of the government, now almost everywhere special archival laws are adopted, discussed by the society and passed by the parliament. Among them, the laws of the United States, Canada, and France are considered to be normative. These documents approve democratic foundations of the archival system, define status and powers of governing institutions and archives, resolve issues of ownership of documents, but their main objective is to regulate issues of access to archival information. The widest possible access to documents is considered to be the most important task of the modern state in the archival field.

4. Creation of the so-called intermediate archives that temporarily store documents, process them and then send them to state archival structures. This trend is related to the problem of overcoming the "paper mill", which has been one of the most acute problems of the archival industry in recent decades. The amount of documentation in most countries of the world has increased hundreds of times since

the 1950s, and state archival institutions no longer have the ability to process this documentation and organize its storage in a timely manner. Intermediate archives are created to fulfill this function. These are very specific archival institutions that can operate on a commercial basis. In some countries, such as the United Kingdom, this problem is solved with the help of local archives that accept state documents for temporary storage.

5. Informatization of archival studies. This trend became noticeable with the appearance of the first more or less developed information and computer systems in the 60s and initially affected mainly corporate archival institutions. In the late 70s, informatization processes began in state archives as well, and some countries began to develop promising programs in this area. This trend was to some extent manifested even in the technically backward USSR. Initially, only the scientific and reference apparatus for documents was organized in electronic form, a little later they began to create databases of archival information, computer systems of description and in the 90s the documents were transferred to electronic formats. The concept of an electronic archive emerged, and management processes in the archival industry began to be computerized. Informatization also touched the sphere of documents use, primarily in the form of creating a copy fund for materials with limited physical access. Informatization of archival studies gained special development with the advent of the global Internet, which allowed virtual access to archival information. In the last fifteen years, numerous issues of archival informatization have become subject to legal regulation, even at the international level.

6. Expansion of international cooperation in the archival field. If earlier archival studies in most countries were of purely national character and developed mainly under the influence of internal factors, in the first postwar years active international integration in this field began. In 1948, UNESCO established the International Council on Archives (ICA), which was gradually joined by about 100 countries, including the USSR, Ukraine and Belarus in 1956. The main tasks of the ICA are to periodically convene international congresses of archivists (the 1st

congress was held in 1950 in Paris), to establish and strengthen ties between archives and archivists from different countries, to promote the preservation and protection of documents, and to coordinate the work of archives internationally. Because of all this, the archival industry has overcome national borders almost all over the world and has become a part of the global information space of the planet. Such trends are inherent in the modern development of archival studies. It is no exaggeration to say that today it is no longer just an auxiliary historical discipline or a “clerical servant” but a completely independent type of information activity that helps to expand information communications and preserve an important part of the cultural heritage of all mankind.

## **5. Genesis of archives in Ukraine. The period of Kyivan Rus and Kingdom of Galicia-Volhynia**

The history of archives and archiving in Ukraine begins with the establishment of statehood on its territory. The earliest written documents were charters of the Kyivan Rus period, which appeared as a result of the relationship between the Grand Prince and his vassals, and between the individual feudal lords. The charters established property rights and privileges. “The Tale of Bygone Years” mentions Ruthenians who served in Greece and wrote wills for the inheritance of property. The documents certifying inheritance rights, reflected landowners’ activities, were stored and kept by serfs and boyars.

The church archives date back to the introduction of Christianity as the state religion and the institutional establishment of the church on the territory of Ukraine. The main centers of concentration of documentary materials in Russia were monasteries, churches, and bishops’ cathedrae. Shortly after its formation, the Old Russian Orthodox Church became not only an important spiritual center but also a major landowner. The grants from princely authorities and large feudal lords which were called benefices were the main source of the church lands expansion.

Monasteries carefully stored documents about their establishment, land ownership and privileges. In monastery churches and cathedrals, documents were stored in sacristies along with valuable religious objects and liturgical books. Unfortunately, the ancient monastery archives of Kyivan Rus have not survived. The loss of documentary materials was caused exclusively by invasions, wars, and natural disasters.

Old Russian chronicles contain important information about the extensive relations of the Kyiv princes with foreign countries, and provide the texts of treaties with Byzantium and the Volga Bulgarians. Agreements were backed up with written documents. “We (the Ruthenians) and you (the emperors) signed this agreement,” states the text of the treaty between the Greeks and Kyivan Rus in 912, “with new subscriptions on two charters.” Chrysobulls, oaths charters of the Rus ambassadors, and other important parchment documents were stored in the treasury of the Kyivan grand princes. The location of the princely archives, along with the jewels, indicated the role the documents played and the place the princely authorities assigned to them.

The princely court, being the central government body of the Kingdom of Galicia-Volhynia state in the 13 –14th centuries, had among its public functions, dominating the private princely ones, the task of collecting and storing important documents. The Galician-Volhynian chronicle mentions a pechiatnyk (chancellor) among the court officials who performed state functions.

The monasteries and churches founded by the Galician-Volhynian princes received liturgical books in addition to the property, monetary and material donations. Prince Volodymyr of Volyn and Volodymyr Vasylykovich of Brest provided the monastery of the Holy Apostles, churches, and bishoprics (in Przemyśl and Chernihiv) with books. The books kept in the sacristies often contained records of donations to churches and notes of an economic nature. Notes on the margins of the books provided important retrospective information about the inner life of the monastery and cathedral. Monastic collections of books and documents played the role of archives and libraries. The armarians were the sacristans.

The disintegration of Kyivan Rus and the decline of the Kingdom of Galicia-Volhynia had a negative impact on the development of archiving, but the established archival traditions found their continuation in the times of Lithuanian and Polish rule in Ukraine.

## **6. Archival studies of the Lithuanian-Polish period**

In the 14<sup>th</sup> – 16<sup>th</sup> centuries, the Ukrainian lands of Volhynia, Podilia, Kyiv Region, and Chernihiv-Siversk principality came under the rule of the Grand Duchy of Lithuania (GDL), which inherited the ancient Ukrainian archival traditions. After the Lithuanian rule huge and rich archives of central and local institutions were left. The peculiarity of the GDL was the concentration of central government in the hands of the Grand Duke. The Chancery of Grand Duke, which had a state status, issued documents that regulated life on the territory of the GDL in terms of economy, judiciary, financial, foreign and military affairs. The centralization of the power in the GDL had an impact on archives. Acts issued on behalf of the Grand Duke were concentrated in the archive known as “Lithuanian Metrica” (LM).

Registers, books with the texts of original documents, were an important innovation in the records management of medieval institutions. They gave the impetus for the development of civil registers in which various documents were recorded. Therefore, the acts of the supreme authority were recorded in the books of LM. The charters issued on behalf of the duke are known to have been copied since the 15<sup>th</sup> century. Documents received by the Chancery of Grand Duke were also recorded in the books to have a copy in case of loss. Records in the books of the Chancery of Grand Duke make it possible to restore the texts of lost originals. Original books and registers of documents constitute the main part of the archival fund of LM, which is currently stored in the Russian State Archive of Ancient Acts in Moscow (RSAAA, f. 389). In medieval records management, the term “metrics” corresponded to the term “register”. In a narrow sense, LM refers to the registers of

the Chancery of GDL, where records of important, as a rule, outgoing documents were made. The function of the books of records of deed documents is to reproduce official copies of documents issued by the Chancery of Grand Duke, which confirmed inheritance rights, privileges, noble origin, etc.

The practical needs of storage and use of archival materials prompted archivists the relevance of compiling the registers. In 1570, the documents stored in the state treasury were described in detail. To speed up the search for documents, the chancellors started grouping the material when recording metrics in the books. At the end of the 15th century, LM books were compiled on a thematic basis. The Chancery kept four categories of the current books: “books of tributes and court cases”, “books of leases”, “books of dispatches”, and “books of embassies.”

After the third partition of the Polish-Lithuanian Commonwealth, LM was transferred to St. Petersburg, where a specially created commission (expedition of 1803) made a register of the first forty books of LM. In 1799, under the terms of the Russo-Prussian agreement, part of the LM files was transferred to Prussia. Of the census and public affairs books, the Senate archive only stored those relating to Lithuania and Galicia. With the creation of the Warsaw Governorate during the Napoleonic Wars, Prussia returned the files of the *Lithuanian Metrica* to Warsaw.

*The Metrica* documents provide important material for the socio-economic and political history of Ukraine. They are also a valuable source for the study of clerical and archival affairs in the GDL, the coverage of its clerical practice influence on the records management and archives of later times. The archival research of the LM shared among the archives of Moscow, Warsaw, St. Petersburg, Poznań, Krakow, and Vilnius involves several directions: source science heuristics and reconstruction of the state archive of the GDL, codicological analysis of the LM books, study of the functions and peculiarities of the record keeping of the GDL state institutions (fund creators of the *Metrica* archival complexes).

The central archive of the Polish-Lithuanian Commonwealth, which after the Union of Lublin in 1569 included the Ukrainian lands, was *Metryka Koronna* (MK) (the *Register of the Polish Crown*). This name was given to the government and



administrative books kept in the Crown Chancery. The documents issued by the Chancery were recorded in the books: royal universals, privileges of noble families and the Catholic Church, private acts, constitutions, and documents of foreign-policy activities. In August 1569, a separate group of books called *Ruthenian (Volhynian) metrica* was singled out in the Crown Chancery for the Voivodships of Volhynia, Bratslav, and Kyiv, which had been incorporated into the Crown of Poland. The Volhynian metrica is a structural part of the MK. The books were under the jurisdiction of the Crown Chancellor, and were kept by individual “Rus scribes” of the Chancery.

On the Ukrainian lands that were part of the Polish-Lithuanian Commonwealth according to the Union of Lublin in 1569, Lithuanian-Ruthenian law, not Polish one, was in force, and the official language was Ukrainian (“Ruthenian”), which was the basis for classification of the “Ruthenian” books in the records management of the Chancery. Thus, the difference in the language of official records management caused the appearance of the “Ruthenian” series in the *Metryka Koronna*.

The peculiarities of the Chancery records management and the arrangements in the state archives of the Polish-Lithuanian Commonwealth were the same as those of the GDL, and the further fate of both metrics (Lithuanian and *Koronna*) was similar. In 1765 they were united in Warsaw, in 1796 they were transferred to St. Petersburg, and later to Moscow. The Arrangement of the Lithuanian *Metrica* was facilitated by the activity of the commission of 1835, created to inspect the archives of the Ministry of Justice. In addition to measures for the protection and preservation of the LM documents, the commission systematized them and classified into 12 types: civil registers, court cases, public affairs and census books, extracts, sealed documents, books of the Permanent Council and cases of the latest record management of the 18th century, registers, copy books, old acts, genealogical files, boundary maps, and plans. The researcher and publisher of metrica books S. Ptashytskyi (1853-1933) approved this structure, compiled and published the description of the Lithuanian *Metrica* books.

## **7. Archives and archiving of the Cossack Hetmanate Ukraine**

Researchers associate the establishment of the State Archive of Ukraine (the term “state archive of Ukraine” was used by the famous Ukrainian historian Ivan Krypiakevych) with the emergence of the Cossacks, the formation of the Zaporozhian Sich, and the emergence of the Cossack administration. Historical sources of the 16th century attest to the existence of a military archive in Trakhtemyriv, Kyiv Voivodeship. The registered Cossacks kept their arsenal, treasury, royal flags, and hid important documents, such as Cossack privileges, in this town.

With the formation of the Cossack Hetmanate of Bohdan Khmelnytskyi, the archive got a state status. At the helm of hetman, there was the General Military Chancellery, which received and stored numerous acts on internal governance and diplomatic relations with neighboring countries. The need to for various inquiries for the Hetman’s government led to the establishment of an archive at the General Military Chancellery. The head of the archive was a military general scribe, who also dealt with the records management of the General Military Chancellery. The state archive during the time of B. Khmelnytskyi was located in the hetman’s residence in Chyhyryn under the supervision of the general scribe Ivan Vyhovskyi.

During the military campaigns, some documents were kept in the combat archive in the hetman’s camp. The reports of the Polish seizure of important documents near Berestechko in 1651 represent the composition of the hetman’s combat archive: Cossack privileges from the Polish kings, the original text of the Treaty of Zboriv (1649), letters from the Turkish sultan, the Crimean khan, and the Moscow tsar.

The documents on the hetman’s relations with the local administration, such as regimental and sotnia (refers to a military unit of about 100-150 persons) chancelleries, as well as privileges, contracts, and correspondence were stored in the

archive of the General Military Chancellery. There is evidence that the chancellery stored copies of diplomatic acts sent to other states.

Reports of Russian ambassadors of the early 50s of the 17th century reported on the transfer of original documents from the hetman's archive to Moscow. This was the beginning of the destruction of the Ukrainian archive. Under the terms of the March Articles of the Ukrainian-Moscow Agreement of 1654, the hetman was obliged to send the most important diplomatic acts to the Tsar of Russia. The original charters and correspondence of the hetman with neighboring states were accumulated in Moscow prikazy (offices) since then. The division of Ukraine into the Left-Bank and the Right-Bank, political and military events after the Treaty of Andrusovo in 1667 had catastrophic consequences for Ukrainian archives, leading to the deconcentration of the state archive and significant loss of documents.

During I. Vyhovskyi's hetmanship, important documents (royal charters) are known to have been taken out of Chyhyryn and hidden in the Mezhyhiria Monastery. When leaving Ukraine in 1665, Hetman of the Right-Bank Ukraine P. Teteria took the privileges of the Zaporizhian Host with him to Poland. With the formation of a separate hetmanate in the Left-Bank Ukraine, a general chancellery with an archive in the hetman's capital was established under the hetman. The capital city of the left-bank hetmans was Pereiaslav, and then Hadiach and Baturyn, where the archive was organized. During the hetmanship of Ivan Samoilovych, the Chyhyryn hetman archive was moved to Baturyn. The archive was destroyed in the 1708 Sack of Baturyn by Russian troops. Probably, it burned down along with the hetman's houses. Only a small number of documents taken out by Hetman I. Mazepa survived. During I. Skopropadskyi's hetmanship Hlukhiv became the hetman capital and the archive was moved there.

In the 18th century, in addition to the General Military Chancellery, there were other higher government institutions of the Cossack Hetmanate: the General Treasury Office (the general sub-treasurer was also in charge of the archive), the General Military Court, which had its own records management and archive. An archive was also organized at the chancellery of the General Ordnance Officer (a

part of these documents is currently stored in the Central State Historical Archive of Ukraine, fund 1641). In 1722, by order of Peter the Great the Collegium of Little Russia was established in Hlukhiv, which was subordinate to the Senate. The activities of these central institutions resulted in the accumulation of huge archival funds.

The archival documents that have survived to these days provide valuable information about the history of archiving during the Cossack Hetmanate.

In Ukraine in the period of Hetmanate, archives were also organized by local authorities, such as regimental and sotnia chancelleries and municipal governments.

Regimental records management was concentrated in regimental chancelleries, which were run by a regimental scribe, who had a separate staff. The chancellery had several departments (povyttia), which in the 18th century were called “tables”, and the regimental archive, where the original documents were stored. The “regimental archive” was, as a rule, stored in the attic or basement of the regimental chancellery building. Cases from regimental chancelleries and archives were often transferred to the Collegium of Little Russia in Hlukhiv.

Studying the functions and peculiarities of the records management in central and local fund-creating institutions is important for the reproduction of a complete picture of the archiving development in the Old Cossack Hetmanate and its unique archival fund characterizing.

The creation of family archives in Ukraine during the Cossack Hetmanate

The rise of political and cultural life in the Cossack Hetmanate in the second half of the 17th-18th centuries, the desire of the Cossack-starshyna upper reaches to secure privileges and property rights contributed to the appearance of family archives. Archival collections of the most influential families of the period, such as the Zabilas, the Kochubeis, the Markevyches, the Myloradovychs, the Novytskys, the Polubotoks, the Storozhenkos, the Sudymys, and others, included numerous documents of official institutions, of ownership and possession, granting of privileges (universals, deeds of purchase and donative, spiritual literacy), official and private correspondence, genealogical documents, etc. The owners' careful

handling of these papers was a characteristic feature of the Ukrainian nobility. "It was typical for a noble family," researchers noted, "to have a more or less significant collection of family documents." The Ukrainian nobility, which was the elite of the society of the Left-Bank Ukraine, collected unique historical and cultural monuments in their family archives.

The family archives of the Hetmanate were dispersed during the constant division of property between heirs, they replenished private collections, and damaged with time. Some remnants of the family archives have been stored in archives, libraries, and museums in Ukraine and Russia.

Thus, the emergence and development of the Cossack-Hetmanate contributed to the development of archiving in Ukraine. The most significant event of this period was the establishment of the State Archive of Ukraine. The gradual liquidation of Ukraine's autonomy and the creation of imperial institutions for governing Ukraine influenced the organization and composition of the administrative institutions archives and led to the centralization of archival affairs. Along with the archives of the central and local administrations, there were monastic archives, and family archives of starshyna and noble families appeared.

## **8. Archives and archival studies in Ukraine in the late 18th - early 20th centuries.**

With the elimination of Ukraine's autonomy and the introduction of the all-Russian administrative system, the history of Ukrainian archives is closely linked to the development of archives in the Russian Empire.

In 1782, the territory of the Hetmanate was divided into Kyiv, Chernihiv, and Novgorod-Siversk namisnytstvo (viceroalties), which were transformed into the Little Russian province in 1796. The latter existed until 1802, when the Chernihiv and Poltava provinces were formed on its basis.

In the Zaporozhian lands and the southern regiments of the Hetmanate, the so-called Novoserbian Corps was reorganized into the Novorossiisk province in 1764. In 1775, Novorossia was divided into the Azov and Novorossiisk provinces. Since 1783, Novorossia was known as the Yekaterynoslav governorate, which was abolished in 1796 and the second Novorossia province was formed.

Changes in the administrative management of Ukrainian territories affected the fate of archival collections. The archives of liquidated institutions came to the disposal of new administrative and territorial bodies.

In 1797, Count I. Saltykov, who was governor general of Little Russia, in a letter to Little Russian governor Ya. Bakurinsky raised the issue of organizing in the provincial city of Chernihiv “an archive of all cases related to Little Russia and left in various places without regard to the ones left behind... to designate a building in Chernihiv that is strong and capable of accommodating all those papers.” The governor appointed officials to “sort out and order all the cases.” Thus, the archives of the former Little Russian Collegium were transferred to the Chernihiv Provincial Board. The archives of the Kyiv Provincial Board at various times housed the archival documents of the Kyiv Magistrate, the files of the Little Russian Collegium, and the archives of regimental offices and courts. The Yekaterynoslav Provincial Archives united the archives of the former Novorossiisk and Azov Provincial Chancellery (1764-1784), the Yekaterynoslav Governorate (1784-1796), the Second Novorossiisk Province (1797-1802), the Governor-General’s Chancellery, and the St. Demetrius Fortress. On the Right Bank, the archives of the provincial governments were replenished with the files of former voivodeship chancellors, and the state chambers with fief documents and monastery charters. In the 20s of the 19th century, important materials that came to the archive of old files of the Kyiv State Chamber of Exchequer after the liquidation of monastic fiefs deteriorated in cellars and basements. A large archive was formed at the Poltava State Chamber of Exchequer, where files on monastic land tenure, materials from the Rumiantsev inventory, and documents from the Hadiach regimental chancellery were kept.

In 1831 – 1835, the Magdeburg law was abolished in Ukrainian cities, including the ancient self-government of Kyiv. According to the “City Regulations” of June 12, 1870, new self-government bodies were created in cities – City Dumas (Councils) (administrative bodies) and City Boards (executive bodies), the functioning of which led to the creation of archives. The archives of city councils and boards stored documents on the rights and privileges of cities.

As a result of the reforms of the 60s of the 19th century, many institutions were liquidated, including various committees and commissions, old judicial institutions, and prikazy obshchestvennogo prizrenia (welfare boards). The records of the liquidated institutions began to fill the archives of provincial governments, treasury and court chambers. The accessions were so large that the number of archival studies doubled or tripled.

The documents of local pre-reform institutions in Ukraine, which turned into historical materials, were transferred to historical departmental archives in Russia. After the judicial reform of 1864, the files of the liquidated district courts were transferred to the MAMJ (Moscow Archive of the Ministry of Justice). The procedure for transferring files was established by the “Rules for the analysis of archives of judicial places.” Some district courts tried to first sort out cases from 1800, select those that were to remain with them, and then send them to Moscow. Most of the documents of the liquidated courts were transferred to the MAMJ from Chernihiv (over 30 thousand), Poltava (about 18 thousand), and Kharkiv (about 14 thousand cases) provinces.

The development of archives in Ukraine in the 19th century was significantly influenced by the general organization of archival studies in the Russian Empire and legislation on archival order. Decrees, regulations, orders and resolutions of various departments concerned all aspects of archival studies: concentration of archival material, disassembly and organization of archival fonds, rules for destruction of old archival files, ensuring storage of archival documents and formation of historical archives.

According to the 1798 Decree, all court cases completed on various local levels in each province were to be deposited in the archives of the provincial court chamber. The decree of 1800 required that “resolved cases” of an administrative nature be transferred to the archives of the provincial government, and that financial and economic cases be concentrated in the treasury chamber.

Circulars and instructions of the Ministry of the Internal Affairs provided for the organization of the archives of courtrooms, prosecutors’ offices, and judicial officers’ offices (1850), an annual review of cases that were ten years old, and an inspection of archives once a year (1852). The review of cases was to be carried out by a commission established with the permission of the higher authorities. Since 1867, the provincial authorities established such commissions.

In the late 19th and early 20th centuries, on historians’ and archivists’ suggestions the government deemed it necessary to reorganize archival studies.

#### Establishment of the Central Archives of Ancient Records in Kyiv

The development of historical knowledge and the state of archival studies in the first half of the 19th century put forward urgent tasks: rescue of archival material, concentration of the most valuable archival funds and creation of historical archives. The founding of the Central Archives of Ancient Records in Kyiv is connected with the activities of the Kyiv Archaeographic Commission (Temporary Commission for the Review of Ancient Records), which existed since 1843 under the Kyiv Military, Podillia, and Volyn Governor-General. Professor M. Ivanyshev, a member of the Kyiv Archaeographic Commission (KAC), a well-known historian of law, was one of the first to raise the question of opening central archives in the Western and Southwestern regions of the Russian Empire to concentrate record books of scientific importance. The KAC members were able to appreciate the importance of the record books as an inexhaustible source for historical science and archaeological practice.

The record books scattered throughout the region’s representative offices were kept in disorganized archives of state institutions, deteriorated over time, were destroyed, scattered, and fell into the collectors’ hands. There were also cases of



falsification of documents in order to obtain a noble title. In the 30s and 40s of the 19th century, commissions worked to check and describe the record books (hrodski, zemstvo, magdeburg and town hall books). To prevent falsification of documents, the commissions counted and numbered the sheets, bound the books, and certified them with the seals and signatures of their members. An inventory was prepared for each book, listing each document and indicating whether it was recognized as “indisputable or subject to doubt and why”<sup>1</sup>.

In the early days of its existence, the KAC launched extensive heuristic activities in state, church, and private archives.

In 1852, a law was issued on the establishment of the Central Archives in Kyiv and the transfer of the record books to it. Archives in Vilno and Vitebsk were created on a similar basis. The central archives of the western provinces were to receive the record books up to and including 1799. The central archive of ancient records in Kyiv was under the jurisdiction of the Ministry of Public Education under the direct control of the school district trustee through the board of St. Volodymyr’s University. The staff of the archive consisted of a head, two assistants, and an archivist. In addition to document preservation, the archives’ work was carried out in two directions: administrative and legal – issuing certified extracts from the record books and scientific – compiling catalogs and inventories.

The archives collected 5883 record books and 454979 separate documents. A huge collection of archival material stored at the Central Archives of Old Records in Kyiv became the basis for archaeographic research and publication of a unique series, the “Archive of Southwestern Russia.” The Central Archive of Ancient Records in Kyiv is closely associated with the scientific activities of such prominent Ukrainian historians as V. Antonovych, O. Levytskyi, I. Kamanin, M. Volodymyrskyi-Budanov, and M. Dovnar-Zapolskyi.

#### Establishment of the Kharkiv Historical Archive

The Kharkiv Historical Archives became the center of concentration of documents of administrative, economic, judicial and financial institutions of the Left-Bank and Slobidska Ukraine in the 17th – 19th centuries. Its creation is directly

related to the activities of the Kharkiv Historical and Philological Society (KhHPS) at Kharkiv University. The purpose of the Society, as stated in its charter, approved by the Minister of Public Education on December 24, 1876, was to promote the development and dissemination of historical and philological knowledge. To achieve this goal, the Society took care of the acquisition of archaeological objects and manuscripts. Manuscripts and books made up its library. In the course of its activities, it became necessary to organize an archive to store the collected documents. This was the Historical Archive established in 1880 at Kharkiv University. It was headed by a director, whose task was to store, replenish, and develop documents, compile and publish descriptions and systematic indexes. The head also certified official certificates issued by the archive<sup>1</sup>. The archivist appointed on the director's recommendation worked in the archive.

In 1880, on the initiative of the Society, the archive of the Little Russian Collegium, which was stored in the archives of the Chernihiv Provincial Government, was moved to Kharkiv. The archival documents of the Collegium, which formed the basis of the Kharkiv Historical Archive, were organized and described by archivists and amateur archivists under the leadership of D. Bahalii. The materials of the archive began to be involved in scientific circulation.

In 1886, the Board of Kharkiv University requested funds for the transportation of the files of the Novhorod-Siverskyi District Police Board and the former Novhorod-Siverskyi Viceroy.

The Kharkiv Historical Archive began to concentrate the scattered documents of the Old Hetmanate. For example, the files of the Little Russian Collegium, which had been stored in the archives of the Poltava Provincial Government, were transferred to Kharkiv. A part of the archive of the Little Russian Collegium came to Poltava in 1802 (with the formation of the Little Russian Poltava province) from Katerynoslav and Chernihiv, where the documents of the General Little Russian Archives were transferred as a result of administrative reforms.

The historical archives of Kyiv and Kharkiv played an important role in preserving the rich archival heritage and forming the source base of Ukrainian history.

### **9. Archives and archival studies of the liberation struggle and restoration of the Ukrainian state (1917-1920)**

The Ukrainian Revolution of 1917 – 1920 and the restoration of the Ukrainian state became a turning point in the history of archival studies in Ukraine.

On the one hand, archives suffered numerous losses due to the First World War, revolutionary events, liquidation of the old administrative and political apparatus, and formation of new state structures. On the other hand, the proclamation of the Ukrainian People's Republic (UPR), measures of the Central Rada to preserve archives, increase their role and importance in an independent state found a concrete manifestation in the creation of the Library and Archive Department at the Department of Arts of the General Secretariat of Educational Studies of the Central Rada Department in the autumn of 1917 (since January 1918 – the People's Ministry of Education of the UPR), headed by the famous historian M. S. Hrushevskyi. The main activities of this department in the archival field were: registration of archives in Ukraine, compilation of inventories of known archives, expansion of the activities of existing archival commissions and creation of new ones, rescue of private archives and archives of institutions that were under threat of destruction<sup>1</sup>. The UPR government considered the issue of registering Ukrainian documentary materials in Russian archives and returning them to Ukraine. At the initiative of the Secretariat of Public Education, in the autumn of 1917, a commission was set up in Petrograd to begin registering "items and documents of Ukraine's historical past in the funds of Petrograd archives, museums, and private collections."<sup>2</sup> The commission consisted of well-known scholars: F. Vovk (headed the commission),

M. Makarenko, P. Stebnytskyi, S. Troinytskyi, V. Shchavynskyi, P. Pototskyi, and others.

The Central Rada government attached great importance to the development of the state archival institutions system. In March 1918, the State Military Historical Archives (headed by Ya. Zhdanovych) was established at the Main Department of the General Staff. This archive functioned as the archival department, which was to organize military and historical archives in Ukraine. The State Military Historical Archive raised the question of collecting and storing the archives of Russian military units and headquarters stationed in Ukraine at the time, the archival funds of the Southwestern and Romanian fronts of the former Russian army, as well as numerous archival materials on the Ukrainization of troops and the formation of Ukrainian military units. However, the plan of the State Military Historical Archive failed to be implemented for obvious reasons. The program of the Central Rada government, aimed at preserving old and creating new archives and archival collections, did not provide for a radical reform of archival studies.

The draft of the archival reform in the Ukrainian state was developed during Hetman P. Skoropadskyi's government. The general archival reform of a state nature was proposed by the Library and Archival Department, restored at the Main Department of Arts and National Culture. The famous historian and archivist V. Modzalevskyi headed it. The main idea of the reform was the proclamation of the state ownership of archival documents. The archival files of all departments that had lost their relevance for current office work became the property of the state. The central institution of the archival system was to be the National Archives (NA) of the Ukraine (or the Central State Archives). In addition to the NA, governorate archives were to be created in Kyiv. According to the initiators of the reforms, the NA was to contain documents of a national character that reflected the activities of the main state institutions, while the governorate archives were to contain files and documents of governorate institutions. As it can be seen, the ideas of centralization of archival studies, which originated in the 19th century (the drafts of centralization of archives discussed in the previous paragraph), were concretized in the reform

developed in Ukraine in 1918. It suggested the functioning of local government archives in the system of archival institutions. The authors of the reform draft (V. Modzalevskyi, D. Bahalii, V. Ikonnykov, I. Kamanin, O. Levytskyi) proposed to establish governorate archival commissions with the status of “state institutions” to manage archival studies on the ground. These archival commissions, appointed by the Central Directorate, were responsible for sorting archival documents and selecting those that were to be transferred to the National Archives or to governorate archives.

Neither the government of P. Skoropadskyi nor the UPR Directory managed to implement the archival reform program, including the creation of the NA.

In the context of hostilities and frequent changes of the seat, the government of the UPR Directory did not lose sight of the archives’ activities. In January 1919, according to the resolution of the Council of People’s Ministers (signed by I. Ohienko), Kyiv Central Archives of Ancient Documents was transferred to the jurisdiction of the Main Department of Arts and National Culture, and more than sixty-six thousand rubles were allocated for its maintenance. The main attention of the Directory board was focused on preserving archival materials, in particular military archival funds, and collecting documents of the UPR.

Summarizing a brief overview of the development of archival studies during the period of liberation struggle in Ukraine and restoration of its independence, we note the following points: the main attention of the governments of the Central Rada, Hetmanate, and Directory in the difficult conditions of wars and revolution was focused on rescuing archival materials, registering archives in Ukraine and Ukrainian archival documents abroad. An attempt at archival reform in 1918, which included the proclamation of state ownership of archival documents, centralization of archives, establishment of the National Archives of Ukraine, and archival staff training was of great importance.

## **10. Archival Studies in Western Ukraine, Bukovyna and Transcarpathia in the 1920s and 1930s.**

The archival studies of Western Ukraine, Bukovyna, and Transcarpathia underwent important changes in the 1920s and 1930s. The development of the archival industry in these regions during this period was characterized by the adoption of state laws on archives, the development of a network of state archives, the formation of bodies for archival management, and control over the activities of departmental archives.

For instance, in Western Ukraine, the organization of archives and the principles of their management were carried out in accordance with the decree on the establishment of state archives and the custody of archival materials adopted by the Polish government on February 7, 1919. To manage archives, the Department of State Archives was established under the Ministry of Religion and Public Education as a central archival body. The department also exercised scientific and technical supervision over the archives of municipal and communal institutions and public organizations, ensured the protection of documents, prepared instructions and rules for the acquisition of archives, storage and use of documentary.

According to the decree of 1919, the State Archives in Lviv was established in western Ukraine on the basis of documents from the former vicegerency and the Zemstvo Archives on the basis of documentary collections of the regional archive of hrodski and zemstvo acts. The Zemstvo Archive functioned until 1933, when its funds became part of the State Archives in Lviv. At the same time, the City Archive of Ancient Records, founded in the mid-13th century, existed under the Lviv city authorities.

Archives were established in those places where large documentary complexes were concentrated as a result of the activities of administrative and judicial institutions, and public organizations. In the voivodeship centers of Lutsk, Stanislav (now Ivano-Frankivsk), and Ternopil, there were no state archives, and

documents were stored at institutions and organizations. Such an archival system had existed in western Ukraine before it was integrated into the Ukrainian SSR.

The archives of Bukovyna, in particular the Provincial State Archives, established in 1907 in Chernivtsi, suffered significant losses during the First World War (Bukovyna was the scene of military operations) and the collapse of the Austro-Hungarian Empire. In early 1918, the first historical archive of Bukovyna was practically liquidated along with the imperial state institutions. The fate of the Provincial Archives turned out to be tragic after Northern Bukovyna, along with the Khotyn district of Bessarabia, were acceded to Romania. For a long time due to the lack of premises, archival documents were stored in damp basements, where they got damaged. In 1924, the materials of the Regional Archives were placed in several rooms of the administrative palace of Bukovyna. Many archival files were damaged or lost due to the relocation of the Provincial Archives documents. The most scientifically valuable documentary complexes were the archives of former administrative institutions, including the District Administration of Bukovyna (1786 – 1854), the Regional Administration of Bukovyna (1854 – 1918), the Administration of Bukovyna (1918 – 1923), and others.

The Law on the Organization of State Archives adopted in Romania in 1925 defined the status and tasks of state archives, including that of Chernivtsi. The state archives of the country were subordinated to the Ministry of Education, and they were managed by the General Directorate of State Archives of Romania, which was located in Bucharest. Regional directorates were created to manage state archives in separate regions. The Chernivtsi Directorate of State Archives was to concentrate and store documents of the Bukovyna region. According to the law, state authorities, military, church and public institutions were obliged to transfer to state archives documents unnecessary for current records management after their thirty-year departmental storage, and it was also envisaged that departmental archives would transfer all historical documents up to 1881 inclusive. The law guaranteed provision of state archives with premises.

After its annexation to Czechoslovakia, the archives of Transcarpathia were subordinated to the new administration of Subcarpathian Rus (the governmental name for autonomous Transcarpathia). In the early 1920s, M. Radvani was appointed head of the Zemstvo archival service in the region, and the regional administration instructed him to inspect all the archives of Transcarpathia. The survey of the state of the archives resulted in M. Radvani's thorough reports on the basis of which the famous archivist published a book in Uzhhorod in 1922. The book described the most significant archival repositories of Transcarpathia: the Komitat archives, the archives of the privileged cities of Berehove, Mukachevo, Uzhhorod, the archives of the Mukachevo diocese, and others. The Komitat archives were isolated and scattered throughout the region; the documents were kept in a chaotic state in overcrowded rooms, and needed to be organized and recorded. Therefore, M. Radvani considered it necessary to unite the komitat archives and create a single archive of Subcarpathian Rus and he participated in the preparation of the single regional archive draft. In the building of the Regional Administration, built in 1936, specially equipped rooms with metal shelves were allocated for the archive. The Transcarpathian Regional Archives suffered significant losses during the occupation of the region during World War II.

Thus, in western Ukraine, which regions were under the rule of Poland, Romania, and Czechoslovakia in the 1920s and 1930s, processes of centralization in the archival field took place, which found a concrete manifestation in the organization of central bodies for the management of state archives, concentration of documents, and creation of state regional archives. The activity of archives was regulated by state legislation. Archives were headed by prominent figures of science and culture who played an important role in the development of Galicia, Bukovyna, and Transcarpathia archives.



## **11. Archives in Ukraine during the Soviet period**

With the establishment of Soviet rule in Ukraine, the development of archives was carried out according to the decree of the RSFSR Council of People's Commissars "On the reorganization and centralization of archival studies" (1918).

The idea of centralization of archival management and it being state controlled corresponded to the scheme of centralization and ideologization of all social life. In January 1919, an archival and library section headed by V. Barvinsky was established in Kharkiv as part of the All-Ukrainian Committee for the Protection of Monuments of Art and Antiquity (AUCPMAA) of the People's Commissariat of Education of the Ukrainian SSR. It was an all-Ukrainian institution for the management of archival studies. The search for ways to improve the management of archival institutions and party-state control over their activities led to the reorganization of archival governing bodies. By the decision of the People's Commissariat of Education of the Ukrainian SSR in July 1919, the archival section of AUCPMAA was renamed the Main Directorate of Archival Studies, which was subordinated to the extracurricular department of the People's Commissariat of Education of the Ukrainian SSR. The General Directorate of Archival Studies developed a draft of the general archival reform in the republic, which provided for the creation of the All-Ukrainian Archival Fond, organization of a network of central and local archival institutions, and training of personnel for the archival system. In August 1919, the All-Ukrainian Main Archive was founded in Kyiv, where the fonds of the Kyiv, Podillia, and Volyn governors general, the Kyiv governor and provincial board, the provincial gendarmerie, and the trustee of the Kyiv educational district were concentrated.

Practical measures to reform the archival industry, centralize and nationalize archival studies began after the final establishment of Soviet regime in Ukraine. The foundations of the Soviet government's archival policy were set forth in the "Provisional Regulations on Archival Studies", approved by the Council of People's Commissars of the Ukrainian SSR on April 20, 1920. All archives, including private

documentary collections, were declared public domain. The archives of liquidated institutions, as well as archival documents of existing institutions and organizations, were placed at the full disposal of archival sections at province educational departments, and responsibility for the destruction and sale of archives was provided by law. The implementation of this resolution of the Ukrainian SSR government was entrusted to the Archival Department of AUCPMAA, which was reorganized in April 1921 into the Main Archival Directorate (MAD) under the People's Commissariat of Education of the Ukrainian SSR. In September 1921, the People's Commissar of Education approved the Regulations on the MAD, its staff and board. The MAD board included M. Skrypnyk, D. Bahalii, V. Veretennikov, and M. Dovnar-Zapolskyi. The MAD exercised general management of archival studies in Ukraine, and provincial archival departments (hubarkhy) were created on the ground.

Centralization involved the concentration of documents, the logical conclusion of which was considered to be the nationwide centralization of storage and organization of use of archival documentary materials. In the 20s and 30s, the practical centralization of documents in archival repositories and the organization of central archives of the republic began: The Central Archives of the Revolution in Kharkiv (January 1922), the V. B. Antonovych Central Historical Archives in Kyiv (May 1922), the Central Labor Archives (1925), and the All-Ukrainian Central Photo and Film Archives (1931). The Resolution of the Council of People's Commissars of the Ukrainian SSR "On Protection of Archives" of October 31, 1922, announced the creation of the Unified State Archival Fond (USAF).

Although the principle of centralization of archival studies provided for the release of archives from the departmental control, it was reinterpreted in the 1920s. Management and controlling aspects of centralization came to the fore, and state (party-political) interests dominated over scientific ones. This affected the organizational restructuring of the republic's archives management system. In January 1923, the All-Ukrainian Central Executive Committee (AUCEC) approved the "Regulations on the Central Archival Administration", according to which the

Head Department under the People's Commissariat of the Ukrainian SSR was reorganized into the Ukrainian Central Archival Administration (Ukrtcentrarchive) under the AUCEC. Ukrtcentrarchive was in charge of general management of archival studies in the republic. Local bodies of the Ukrtcentrarchive were hubarkhive (provincial archives) under the presidiums of provincial executive committees, which created provincial historical archives for the storage, organization, and scientific development of local archival materials.

Administrative-territorial reforms in Ukraine in the 20s and 30s were accompanied not only by restructuring the network of central and local archival institutions (organization of district (1925), local (1930), and regional (1932) archival departments, establishment of regional, state regional historical, city and district archives), but also by solving practical issues of archives and archival funds protection, concentration of documents, development of methods of their description, classification, storage and use.

The archival system of the Ukrainian SSR, as well as the USSR in general in the late 20s and 30s, was characterized by the strengthening of command-and-control methods of archival management. Strengthening of the administrative command system limited the rights of the republics. Ukrainian archivists strongly resisted the constant attempts by the leadership of the archival service of the Russian Federation to create a union body for archival management. Due to Ukraine's opposition, the USSR Central Archives Administration was established only in April 1929. The party-state dictatorship in the archival field, which relied on the repressive apparatus of the OGPU-NKVD, led to the complete appropriation of archives. Party and governmental bodies organized campaigns to "cleanse" archives (the so-called "waste paper" campaigns) and archival personnel. Repressions of the 20s and 30s had a negative impact on the development of Ukrainian archival studies. The attack of party ideology on Ukrainian archival studies was manifested in the "devastating criticism" of archival scholars on the pages of such archival periodicals as "Radianskyi Arkhiv" and "Arkhiv Radianskoi Ukrainy", the dismissal of experienced archivists and their replacement by party members, and the arrests of

archivists, starting with the leadership. The views of well-known Ukrainian archival theorists V. Veretennikov, V. Romanovskiy, and V. Barvinskyi were recognized as hostile to Marxist-Leninist ideology. In the 1930s, hundreds of archivists were arrested and investigated, falsely accused of having ties to white immigrant, counter-revolutionary military-officer, and nationalist organizations. Among them were V. Romanovskiy, O. Riabinin-Skliarevskiy, V. Novytskyi, S. Haievskiy, O. Hrushevskiy, P. Fedorenko, and others.

The logical conclusion of the Bolsheviks' policy of total politicization and nationalization of archives was the subordination of the archival system to the NKVD, the most powerful punitive and repressive body. In 1938, the USSR government passed a resolution to transfer the management of archives and the network of archival institutions to the NKVD. The Central Archival Directorate of the USSR was reorganized into the Main Archival Directorate of the NKVD of the USSR, which was subordinated to the archival institutions of the Union republics. The new subordination of the archival system in the USSR caused changes in the organization of archival management in the Ukrainian SSR. Since March 1939, the management of archives was transferred to the NKVD of the Ukrainian SSR. The Central Archival Directorate of the Ukrainian SSR was transformed into the Archival Department of the NKVD of the Ukrainian SSR (since June 1941 - Archival Directorate of the NKVD of the Ukrainian SSR). Central and regional historical archives were subordinated to the People's Commissar of Internal Affairs of the Ukrainian SSR and heads of regional NKVD departments, respectively, while city and district archives were subordinated to the heads of city and district NKVD departments. The integration of archives in the system of NKVD bodies resulted in strict centralization and secrecy. Not only documents that constituted state or military secrets were classified, but also information about the work of the archives themselves. Secret archival guides (labeled "for official use only") and secret collections of documents were compiled.

Since 1920, along with the state archival system, a second official archival structure was formed in Ukraine – party archives as a part of the Communist Party

archival fund. The formation of the CPU archives dates back to its first congress in July 1918. Documents that were accumulated as a result of the CP(b)U's activities – transcripts of congresses and party conferences, minutes of meetings of the Politburo (Political Bureau), Orgburo (Organizational Bureau), and Secretariat of the Central Committee – were stored in the general department of the CP(b)U Central Committee.

The formation of party archives was officially initiated by a resolution of the RSFSR Council of People's Commissars (September, 1920) on the creation of a commission to collect and study materials on the history of the October Revolution and the history of the Russian Bolshevik Communist Party. This commission later became better known as Istpart. In Ukraine, such a commission was established in the spring of 1921 under the All-Ukrainian Central Executive Committee. Its purpose was to collect, store, systematize, study, and publish archival documents on the history of the revolution. The Istpart had a monopoly on the possession of documents on the history of the CP(B)U and the revolutionary movement in Ukraine. In 1922, the Istpart was subordinated to the Central Committee of the CP(B)U (from 1923 onwards, as a department of the Central Committee), while a network of Istpart bureaus (as departments of the party's regional committees) was created, whose task was to collect documents on the history of the revolutionary movement in Ukraine, establish historical and revolutionary archives, museums, and publish documents. Historical and revolutionary documents were concentrated in special departments of state historical archives. In 1922, the Central Archive of the Revolution was organized in Kharkiv, which was actually subordinated to the Istpart.

Along with the identification and collection of historical and party materials, measures were taken to preserve the archival funds of those state structures, including gendarmerie departments, security departments, courtrooms, and military tribunals, which contained materials on the history of the revolutionary movement. With the reorganization of the Ukrainian Istpart in 1929 into the Institute of Party History and the October Revolution in Ukraine under the Central Committee of the

CP(B)U and the creation of a special unit within it, the Single Party Archive of the CP(B)U, an autonomous archival system began to operate in the republic. In 1929-1930, the Single Party Archive organized the reception of documents from the Central Archives of the Revolution. It received documents of the current office work (up to 1926 inclusive) of the departments of the Central Committee of the CP(B)U. It also received materials from the Central Committee of the Leninist Young Communist League of Ukraine and party sections of district historical archives. The Single Party Archive provided organizational and methodological guidance to party sections in district historical archives.

With the beginning of Nazi aggression, the activities of archives in Ukraine were subject to wartime requirements. The primary task was to evacuate documentary materials to the East. Secret and top-secret funds that were of operational importance for the NKVD (which had been in charge of the archives since 1938) were subject to immediate and mandatory relocation: lists and files on “enemies of the people” and persons suspected of espionage. The category of “priority for evacuation” included the political police funds of the 2nd half of the 19th and early 20th centuries, which contained sources on the history of the revolutionary struggle, as well as the entire accounting and research apparatus of state archives. At the same time, the oldest and most scientifically valuable funds were not taken safe. For example, the 16th- and 17th-century record books and documents of the Kyiv Central Archive of Ancient Records were abandoned in occupied Kyiv. In early July 1941, the Archival Department of the NKVD of the Ukrainian SSR established a procedure for taking to safety archival collections. Guided by political priorities and narrow departmental interests, the NKVD archival authorities ordered the destruction of materials that could not be taken to safety.

The authorized destruction of documents and destruction of archival premises also occurred with the party archival collection. Due to the lack of sufficient railroad cars to transport archival materials, party authorities ordered the burning of documents so that they would not fall into the occupiers’ hands. Out of 1.5 million

files in all party archives, only 700,000 were taken to safety. The greatest losses were incurred in the Kyiv, Dnipro, Zhytomyr, and Kamianets-Podilskyi regions.

Ukrainian archives were taken to the cities in the Volga region, the Urals, Siberia, Kazakhstan, and Uzbekistan. Most of them were in the city of Zlatoust. The archives in evacuation and their functional tasks defined by the NKVD are evidenced by the work plan of the Ukrainian SSR State Archives Department in Zlatoust for the year of 1942. Among the operational and scientific tasks were the further development of documentary materials of state archives to identify counterrevolutionary elements, compilation of reference books for the NKVD state security agencies, development of materials on bourgeois-nationalist parties in Ukraine, and the system of punitive bodies of previous governments. In addition to operational and Chekist tasks, the plan also included scientific topics: the preparation of collections of documents dedicated to the 25th anniversary of the October Revolution, and defense topics. Working under extremely difficult conditions, Ukrainian archivists prepared documents for publication, compiled descriptions and guides, and improved the scientific and reference apparatus of the archives. With the beginning of the liberation of Ukraine in 1943, employees of evacuation teams of state archives of the Ukrainian SSR began to identify documents of national economic importance and compiled files on them.

The occupation authorities' policy toward archives is characterized by the activities of the Künsberg group and representatives of the military authorities, whose goal was to identify, seize, and confiscate valuables, including archival ones, in order to take them out to Germany. The first months of the occupation were marked not only by spontaneous looting of archives, but also by attempts of the relevant occupation services to ensure their preservation. The German archival leadership discussed the concept of archival policy in the occupied countries, including Ukraine, and developed a system of archival management based on the German model. Until the end of 1942, the main German institution that developed the archival funds of Ukraine was Reichsleiter Rosenberg's Einsatzstab. From October 1941 to April 1942, local governments and archivists initiated the

resumption of work and ensured the functioning of archives. During this period, the Einsatzstaff hardly interfered with the work of the archives. At the second stage (April-December 1942), the influence of the occupation authorities on the activities of archives increased, and conditions were created for the transfer of the archives to civilian management. At the end of 1942, the Provincial Administration for Archives, Libraries, and Museums under the Reich Commissar of Ukraine was established. A subdivision of this leading organization that dealt with cultural institutions in Ukraine was the Regional Archive in Kyiv (December 1942-September 1943). Since the end of 1942, the Regional Administration of Archives was headed by the German archivist Dr. G. Winter.

The plundering policy of the archival services of the occupation toward archival values intensified in the autumn of 1943, when there was a decisive turning point in the course of the war. Massive export and destruction of archival funds and destruction of archival premises began. The removal of documentation from Ukraine was organized by the Regional Administration. G. Winter's administration and Rosenberg's staff specialists took documents from Ukrainian archives. The Nazi command took out valuable materials to the West that, from the point of view of fascist propaganda, characterized German influence on other lands and the achievements of German colonies. The documents of German communities in Ukraine and the record books of local magistrates (as an example of the functioning of medieval Magdeburg law) were considered to be of paramount importance. The German occupiers took out part of the Kyiv archive of Ancient Acts firstly to Kamianets-Podilskyi, and later, in 1944, to Tropau (Czechoslovakia). The oldest and most valuable part of this archive materials was preserved thanks to the efforts of M. Geppener, a former employee of the Library of the Academy of Sciences of Ukraine, the staff of the M. Tyshchenko archive, and the Ostrohradsky sisters. M. Geppener's personal collection at the Institute of Manuscripts of the National Library of Ukraine (f. 169) contains materials about the evacuation of the archive, its content and scope.



Thus, the archives of Ukraine during the Second World War suffered significant damage as a result of unsuccessful evacuation, destruction during the war on both sides, and deliberate destruction of archival values by two totalitarian regimes that used archival documents as a means of ideological and propaganda struggle.

With the liberation of Ukraine in the autumn of 1944, the work on restoration of the Soviet archival system and rebuilding of the archival economy began. As early as November 1943, the Department of State Archives of the NKVD of the Ukrainian SSR returned to Kyiv, whose main activities were the re-evacuation of archival fonds, the resumption of the activities of central state archives, and the reorganization of their network.

Archives of Ukraine 1945 – 1990.

The postwar period in the history of archival studies in Ukraine is primarily associated with the reconstruction of archives and their premises, integration of archival documents of Transcarpathian (1945) and Crimean (1954) regions to the State Archival Fond of Ukraine, the expansion of archivists' training in the republic, and the opening of the Department of Archival Studies at Taras Shevchenko State University of Kyiv (1944).

The archival system of the Ukrainian SSR itself underwent significant changes. On the one hand, the archival system remained fully subordinated and controlled by the totalitarian regime. Bureaucratic and administrative management and the dominance of one-party ideology led to the classification of archives and archival fonds, and personnel changes. On the other hand, after Stalin's death, there was a process of some liberalization of archives, expanding access to them, developing scientific functions of archives, and establishing international relations of Ukrainian archivists. The development of archival studies in this period was influenced by changes in the socio-political, scientific and cultural life of the republic. During the so-called Khrushchev Thaw (from the mid-50s), measures were taken to develop the main function of archives – to meet the needs of society in retrospective information, to improve storage and use of archival materials.

Emphasizing the importance of the resolution of the Council of Ministers of the Ukrainian SSR of April 18, 1956 “On measures to regulate the storage regime and better use of archival materials of ministries and departments of the Ukrainian SSR”, O. Mitiukov noted that “the government allowed the publication and comprehensive use of archival materials, pointing out the need to publish guides, descriptions and reviews of collections.”<sup>1</sup> This resolution, which duplicated the corresponding union document prepared under the auspices of the CPSU Central Committee, showed the growing influence of party administrative bodies on the policy and nature of work of archives.

In June 1960, the archives of the republic were transferred from the system of bodies of the Ministry of Internal Affairs of the Ukrainian SSR to the jurisdiction of the Archival Department under the Council of Ministers of the Ukrainian SSR. The re-subordination of the archives did not lead to radical changes in the archival industry. The Archival Administration found itself in the powerful structure of the party bureaucracy and was assigned mostly controlling, supervisory and ideological functions.

In the 60s and 70s, considerable attention was paid to improving the conditions of document storage, construction of new archival repositories, formation of the documentary base of state archives, creation of a system of scientific and reference apparatus, research and archaeographic work of archives. The extensive program of construction of new and reconstruction of existing archival premises resulted in (as of 1978) 11 new and 6 reconstructed buildings of state archives, including the complex of buildings of the Central State Archives of the Ukrainian SSR in Kyiv.

Since the mid-1950s, archives of the Ukrainian SSR were involved in the international cooperation (in 1956 Ukraine became a member of the International Council on Archives), participated in international congresses of archivists, conferences, and round tables of archives (the XVI International Conference was held in 1975 in Kyiv).

The processes of liberalization of archives in the conditions of the party-bureaucratic system were too slow. Wide public circles sought to expand access to archives. The desire for changes in the archival system, its democratization, which began to grow in the mid-1980s, is connected with Gorbachev's perestroika and archivists' realization of their role in society. It was from the bottom up that the demands for radical changes in the archival industry were intensified, and attention was drawn to the urgent needs of archives. To this end, in March 1991, the Union of Archivists of Ukraine was founded, an independent non-governmental organization that unites archivists of state and departmental archives, scientists, cultural workers and local historians.

Archival construction in Soviet Ukraine, as well as in the USSR as a whole, was in crisis. Strict centralization and bureaucratization of archival management, subordination of archival activities to party ideology, pushing archives to the periphery of public life, replacement of some highly qualified archivists with party functionaries, limited access to retrospective information, isolation of archives from foreign archival processes – these features characteristic of Soviet archival functioning led to a crisis situation. There was an objective need to develop a new strategy and tactics of archival development on new democratic principles.

## **12. Archiving development in modern Ukraine**

The restoration of Ukraine's independent statehood (1991) marked the beginning of a new stage in the development of archive studies, the revival of its national traditions, and the democratization of the archival system.

The fall of the totalitarian regime and Ukraine's exit from the USSR laid the prerequisites for the formation of the independent NAF. *It* was based on the local part of the State Archival Fund of the USSR. Since 1991, NAF has received 11 million of the former CPSU archival files and about two million files from the Security Service. On August 27, 1991, the Presidium of the Verkhovna Rada (the

Supreme Council) of Ukraine decided to transfer the archives of the Communist Party to state storage. The Central State Archives of Public Organizations was established on the basis of the Archive of the Central Committee of the CPU. The party archives were structurally integrated into regional state archives. This eliminated the parallel existence of two archival funds. The process of integration of national documentary heritage into the NAF was legislated on 24 December 1993, with the Verkhovna Rada of Ukraine' adoption of the Law "On the National Archival Fund and Archives". The Law recognized the NAF as an integral part of the national and world historical and cultural heritage and information resources of society, placing it under the state protection and guaranteeing state storage, development, enhancement and use. The adoption of this Law laid the foundations of the legal framework for the national archival system development.

The relevance of the development and adoption of judicial acts regulating legal relations in archiving is conditioned by new trends in world archival organization, and the processes of decentralization of archival systems in particular. The democratization of society and the transition to market relations contributed to the expansion of the private sector of documents creation and circulation and the emergence of archives of various forms of ownership. The archives of some provenance departments have been granted state status. The legislative justification for the problem of acquisition of the NAF with the documents that are in private or collective ownership, such as materials on the activities of political parties, public associations, religious denominations, etc., is being developed.

The insufficiently elaborated economic and legal problems include the protection of state information resources in the conditions of commercialization of archival matters.

Further development of the system of archives is possible only on a stable scientific basis. Ukraine's archiving still uses a part of the research and methodological potential of the Soviet archival studies. In accordance with the Resolution of the Verkhovna Rada of Ukraine on the procedure for enactment of the Law "On the National Archival Fund and Archives" adopted on of December, 24,

1993, the Ukrainian State Research Institute of Archival Affairs and Records Keeping began its activities in 1994 within the system of the State Archival Service of Ukraine at the Cabinet of Ministers. The scientific work of the Institute is aimed at the investigation of fundamental problems of national archival studies, records keeping, and archival studies methodology. Conducting theoretical and scientific-applied research in the field of archival studies requires close cooperation between archivists and lawyers, economists, and IT specialists, as well as coordination of research programs of the branch, academic, and university science.

A characteristic feature of modernity is the democratization and de-ideologization of the archival system, which manifested itself in the expansion of access to archival information and the declassification of archival funds.

The successful functioning of archiving is connected with the qualified personnel. In November 1995, the Main Archival Administration and the Ministry of Education and Science of Ukraine organized a “round table” meeting on the training of archivists and raising the level of archival professional education. Scientists set forth constructive views on the content, forms, and methods of organizing archivists’ training in the concept of archival education.

The status of an independent state has changed the nature of Ukraine’s international relations in the archival sphere. Ukraine has signed agreements on cooperation with many states such as former Soviet republics, Bulgaria, Poland, Romania, and Sweden. The agreements with Austria, Great Britain, Slovakia, Hungary, and the Czech Republic are currently pending. The representative of the Main Archival Administration of Ukraine was elected a member of the Executive Committee of the International Council on Archives and included in its European Commission.

So, archiving in Ukraine has a long history and national traditions, which are closely related to the world trends in the development of archival studies. Over the centuries, a great deal of experience has been accumulated in collecting, storing, and using archival documents, improving technologies and methods. The creative use of this experience, together with the positive changes taking place in the archival

industry under modern conditions, is an important factor in the growth of the role of archives in spiritual and state life and in raising archivists' social status.

## **LECTURE 8**

### **THE CONCEPT OF “ARCHIVAL SYSTEM”: STRUCTURE, NETWORK AND TYPES**

#### **Plan**

- 1. The concept of “archival system”. Its main types**
- 2. The system of archival institutions, its structure and network**

#### **1. The concept of “archival system”. Its main types**

The word “system” comes from Greek and means integrity, which is based on certain constituent parts and elements connected to one another with certain interrelations and common features. The archival system is a set of fundamental principles of organizing archiving, methods and technologies of its management, that ensure the integrity and coordination of the archival industry functioning. Despite the general common features and characteristics, the archival system has specific historical significance and derives from the social-state order, political system, national and cultural traditions of a particular state, and is regulated by relevant legislative acts and functions in its legal field. This interpretation of the archival system differs from the Soviet archival studies approaches, according to which archival systems were divided into socialist and bourgeois, and were evaluated from class and party positions.

Comprehension of the archival system essence provides an opportunity to learn its features, to compare strengths and weaknesses, and to deeper comprehend the trends and prospects for the archival industry development, namely, the development of the social sphere directly related to the people’s historical memory preservation, the collection, storage, and use of the country’s documentary and informational resources. The activity of this public life sphere, including other fields, is regulated by legislation and has a legal nature.

According to the construction and the operation principles, archival systems of the past and present are conditionally divided into two main groups: centralized, where the archival affairs management is carried out by a single state body on the same basis, and decentralized. However, such systems are hardly found in their pure forms. The most common systems are mixed ones with elements of centralism and decentralism, the degree of relation between which is determined in each specific case.

History shows that the most centralized archival systems are generic to absolutist and totalitarian countries, where the regime establishes total control over all public life spheres, including the archival industry. The archival system of the former USSR was the pinnacle of archival centralization. And although this system was not integral, since the archives of the Russian Communist Party of Bolsheviks – All-Union Communist Party of Bolsheviks – Communist Party of the Soviet Union (CPSU) were singled out into a separate section, which was the most centralized and fully subordinated to the CPSU Central Committee and its leaders, it was under the constant supervision of party bodies. Controlling all archival institutions, the CPSU established particularly close supervision over the archival activities of the People's Commissariat for Internal Affairs-Ministry of Internal Affairs, All-Russian Extraordinary Commission-State Political Directorate-Committee for State Security, Ministry of Foreign Affairs, etc. Bureaucratic centralism affected the archival systems of the so-called socialist commonwealth countries.

The archival system remains completely centralized in China, where since 1993, the central archival institution and the state archival administration have been merged into a single administration that functions under the direct leadership of the Central Committee of the Chinese Communist Party and the State Council of the People's Republic of China. Seven specialized archival institutions are under its control, including the First and Second Historical Archives, the Scientific and Technical Archival Institute, and the journal "China Archive".

In most civilized countries of the world, archival systems have developed as state ones, and their management has a different centralization level while ensuring



rather broad self-governing archival institutions rights. The priority of the archival system centralization elements is preserved in France, Belgium, and the Scandinavian countries. For example, in France, the homeland of one of the oldest NAs (1789-1790), the state archival system remains centralized, which is conditioned by the existing administrative and territorial structure and management.

The French archival structure, which developed at the end of the 19th century, has largely survived to this day. The organizational management of the state archival service was carried out by the Ministry of Interior, later by the Ministry of National Education, and since 1958 by the Ministry of Education and Culture, to which the Directorate of the NA is directly subordinated with its main body, the Department of Administrative Service and Technical Supervision. The National Archives of France employs about 400 staff members and stores more than 800,000 physical storage units (cartons, bundles, registers), occupying more than 300,000 linear meters. This is one of the richest repositories in Western Europe. It consists of the following sections: the old section (stores documents up to the events of French Revolution of the late 18th century); a new section (keeps documents from the period of the revolution up to the Second World War); modern section (preserves documents of the period between occupation and liberation of France from Nazi Germany); section of archival missions (deals with issues of completion of modern documentation). Auxiliary sections include a reading room and a historical research reference service; photo, a microfilm and audio archive service; a notarial archive; a family and personal archives service; a publication service and an economic archives service; the Museum of the French History, an educational department; Historical library and printed archives service.

The General Directorate of Archives, accordingly subordinated to the NA, manages regional and departmental archives, carries out professional control and provides methodical assistance to communal, hospital, current archives of institutions, and intermediate and autonomous archive repositories. Large departmental archives are outside the competence of the General Directorate: The Ministry of Armed Forces, the Navy, the Air Forces, the State Council, the Office

of Coins and Medals, etc. Appointed by the Council of Ministers, the Director General heads the General Directorate. The Higher Archival Council at the General Directorate is a consultative body that holds meetings once a year. In the breaks between meetings, the commission performs its functions, its recommendations being not binding. In 1982, archival services of all departments received the territorial status and the right to independently form fonds of state institutions placed within the respective department.

NA of the United Kingdom and Northern Ireland, established in 1838, stores state documents belonging mostly to England and Wales. The archives of Scotland and Ireland have the status of independent agencies, which, in addition to purely technical functions, are entrusted with organizational and financial matters. Agencies are organizationally subordinate to the minister and the government. The agency of NA is connected directly to the Lord Chancellor, who heads the legal departments and judicial bodies. The NA Director of the United Kingdom and Northern Ireland is the Chief State Archivist. The activities of state archives are financed directly by the Treasury, and the Board of Executives is a coordinating body from among the NA departmental heads. The archival system legal regulation is carried out on the basis of the Law on Archives of 1958 with some amendments of 1967.

In Italy, archiving is overseen by the Central State Archives. In addition, corresponding archival inspections were created to administer non-state archives. According to the law of 1963, Italian archives are self-governing institutions, and the Central State Archives provides methodological assistance, manages scientific research in the field of archival studies, information services, personnel training, and organizes the publishing activities of the archives.

In accordance with the law of 1984, the US archival system is independent, and all state archives are autonomous. The National Archives and Records Administration, as an independent executive agency, is charged with the management of archives and records management only within the US federal government system.

The Canadian archival system includes the national, provincial, and territorial archival councils and the corresponding archivists' associations. The decisive factor is the archival system decentralization, according to which each archive is autonomous. There is no central archival office in Canada. By the Archives Act of 1987, advisory functions are entrusted to the NA of Canada, which collects, preserves, and makes available for use historically valuable documents made by government bodies or private individuals, assists in the document management within the federal government encourages the activity of archival societies in the country, their cooperation with foreign archivist associations.

Therefore, the leading trend in the modern archival systems development is their decentralization, archival affairs democratization, which corresponds to the world integration processes, communications, and intercontinental information systems development. Currently, we can talk about the world archival system formation, which covers the archival systems of various countries around the world, primarily 190 countries that are members of the United Nations. The International Council of Archives (ICA) was created to establish and strengthen ties between archivists of all countries in 1948, on the initiative of the UNESCO, and in 1979, the records and archives management program (RAMP) was developed. In the world archival system, related regional archival systems are outlined, in particular, the countries of the European Union, the countries of the Council of Europe, where cooperation between archivists is established, and a certain organizational unification of the archival affairs is achieved. When Ukraine joins the Council of Europe, its archival system will be integrated into the European and world ones. Ukraine is guided by the experience of its participation in the International Council on Archives, and in archivists' international conferences.

The archival system of Ukraine was formed historically, like in any other country. As it has been noted in the previous chapter, archiving in Ukraine has a long tradition, and its roots are in the princely days of Kyivan Rus and the Kingdom of Galicia-Volhynia. A careful attitude to documents was further embodied in the Lithuanian and Crown Metrics (archives) *of the 15th-16th centuries*.

In the Ukraine of the 16th century, archiving was separated from current record-keeping, and archives began to be established at zemski (zemstvo – organ of rural self-government), hrodski (hrodi – a castle), and pidkomorski (pidkomorii – a judge) courts and magistrates. The Cossack Hetmanate era of our history left a deep mark on archival affairs democratization. The Archive of the Zaporizhzhia Host (the Kosh), the Archive of the General Military Chancellery, the Archive of the General Military Court, and the regimental archives initiated the creation of national archives, the development of which, unfortunately, was interrupted by specific historical events related to the dismemberment of Ukraine into the Right Bank and the Left Bank, and the loss of its own statehood. During the foreign rule, the national archiving was reformed according to the standards of the Polish-Lithuanian Commonwealth, and the Tsardom of Muscovyi. Archives of Polish military and administrative and judicial institutions in voivodeships and large cities were established on the Right Bank. In 1783, the Regional Archive of Hrodski and Zemski acts, later the Archive of the Galician Vicegerency, was founded in Lviv. On the Left Bank, hubernski (provincial) and volost (small administrative district) archives began to form (according to the reform of 1775), and since 1884, provincial scholarly archival commissions were established to preserve valuable documents that were being destroyed in large numbers. During this period, unique private archival collections emerged, thanks to which it was possible to preserve part of the Ukrainian people's documentary relics. Church and monastery archives played an important role in the historical memory preservation. Since the middle of the 19th century the Kyiv Archeographic Commission have become the collection and study center of archival documents, and the Taras Shevchenko Archeographic Commission of the Scientific Society made a great contribution to the archival affairs development in western Ukrainian lands. The creation of the all-Ukrainian national archival system was associated with the Ukrainian revolution of 1917-1920, with the formation of the Ukrainian National Republic and the West Ukrainian National Republic, their Unification. However, the defeat of the revolution and the Soviet power establishment prevented the realization of this plan. Since 1919 the

decree of the Soviet People's Committee of the RSFSR on the reorganization and centralization of archival affairs extended to Ukraine. In April 1920, the Soviet People's Committee of the Ukrainian SSR declared the archives state property, and the archival affairs management was concentrated in the system of the People's Commissariat of Education.

After the USSR formation (1922), the archival construction scheme of the RSFSR was finally introduced in Ukraine. Along with the state archives in the center and in the localities, a separate archival fund of the Ukrainian Communist Party of Bolsheviks was created, which was fully subordinated to the Central Committee of the Russian Communist Party of Bolsheviks – All-Union Communist Party of Bolsheviks with the archive rights of the regional party organization. However, there were also positive steps on the way to the archival system formation in Ukraine during the Soviet era. Firstly, a fairly wide archival institution network was created, secondly, its state funding was ensured, thirdly, the archivists' training was organized, and finally, the State Archival Fund (SAF) was formed. At the same time, the totalitarianism establishment and the one-person power regime, the excessive archival affairs centralization, its transfer to the People's Commissariat of Internal Affairs, which was a punitive and repressive body, the ideological doctrine of the party-class approach to the selection of documents for storage in the archives and their use from the standpoint of revolutionary expediency led to negative distortions and deformations in the archival system development and the industry itself. Archival construction suffered significant losses during the Second World War, the most important of which was mass destruction of the archival fonds, storage facilities, and archivists' staff. The archival system centralization played a positive role in the archival system reconstruction in the post-war years, as did its partial liberalization during the Khrushchov "thaw". Since 1960, the management of the system was entrusted to the Archives Department under the Council of Ministers of the Ukrainian SSR, which in 1974 was transformed into the Main Department, and into the archival departments of regional executive committees. At the end of the 70s, the Ukrainian SSR state archival institutions network included 6 central, 25

regional, 6 their branches, 121 city and 478 district archives. In addition, the Party Archive of the Institute of Party History of the Central Committee of the Communist Party of Ukraine – a branch of the Marx–Engels–Lenin Institute at the Central Committee of the CPSU – and 24 regional party archives functioned in the republic. The Soviet archival system reform in Ukraine and other former USSR republics began during the so-called perestroika and glasnost period of M. Horbachov. Some restrictions were removed and access to archival fonds was expanded. Many “revealing” publications of archival documents appeared. In 1988, the archival departments of regional executive committees were liquidated, and their scientific, methodological and organizational functions were transferred to the regional state archives. After Ukraine gained its independence (1991), certain changes connected with the national archival traditions revival took place in its archival system. As the country democratizes and Ukraine becomes a legal state, the archival industry management is reformed, which acquires qualitatively new features, and its main content is the creation of optimal conditions for the normal all system links functioning, primarily archival institutions at the level of districts, cities, regions, and the center.

The main direction of the post-Soviet archival construction is the national archival system democratization within the framework of state-building processes and their integration into the world archival field. The analysis of changes that the Ukrainian archival system underwent in the period after the state independence declaration gives grounds to conclude that its reformation is taking place in line with the general trends indicated. During 1991-1992, organizational measures were taken to clarify the archives profile and rename them. The former Central State Archive of the October Revolution, the highest state authorities and state administration bodies of the Ukrainian SSR was renamed to the Central State Archive of the highest authorities and administrations of Ukraine, the State Archive of the Crimean Region was renamed the State Archive under the Council of Ministers of the Autonomous Republic of Crimea. If these measures had a mostly mechanical nature of changing signs and clarifying the names of structural subdivisions, reforming the former party

archives was much more difficult. The party archive of the Institute of Party History under the Central Committee of the Communist Party of Ukraine was reformed into the Central State Archive of Public Associations of Ukraine, which led not only to the expansion of its profile, but also to a noticeable increase in the potential provenance number. The party archives of the regional party committees were liquidated, and their fonds were transferred to the respective regional state archives, which necessitated extensive work on the descriptions unification and new documents classification following state archival standards.

The adoption of the Law “On the National Archival Fund and Archival Institutions”, which is the first legislative act in the history of national archival construction, by the Verkhovna Rada of Ukraine in December 1993 was important in the Ukrainian archival system reforming. Placing the NAF at the archival construction center, the law gave it the unifying factor status of the national archival system, the entire archival institutions network, which forms the structural basis of the archival system.

## **2. The system of archival institutions, its structure and network**

The term “the system of archival institutions” is closely related to the archival system. The system of archival institutions is understood as a set of archives, other institutions, and structural subdivisions that ensure the NAF formation, its storage, and perform scientific research, informational, reference, and management functions in archiving, regardless of the ownership forms. The activity of each archival institution is regulated by legislation, regulations, rules and instructions.

Modern archival science does not identify archival institutions system with archival institutions network. The network of archival institutions is a structural basis of the archival industry, which includes archives, archival units of ministries, departments, enterprises, organizations, and public associations that carry out permanent or temporary document storage. Institutions of the field also include

archival management bodies, research institutions, specialized libraries, professional educational centers, publishing houses, etc. The network of archival institutions in their vertical-horizontal connections together with management bodies and other industry structures make up the system of archival institutions. According to Art. 6 of the Law of Ukraine “On the National Archival Fund and Archival Institutions” in our country there is a fairly well-organized system of archival institutions. The leading place in it is occupied by the central state archives, which collect, store, and ensure the document use of that NAF part, which is state property and has the greatest historical value. Before giving them a brief description, it is necessary to emphasize that state archives are classified into central and local (regional, city, district) ones. Depending on the document storage nature, they are divided into: a) archives for permanent document storage (central and local); b) archives for temporary document storage (i.e., those that transfer them to specialized archives or destroy them according to the established rules after the expiration of the established period of document storage).

An important place in the system of archival institutions belongs to branch state archives that provide accounting and storage of scientific and technical, geological, meteorological, cartographic and other special types of archival documents that require special storage and usage conditions. The archives of the Ministry of Defense of Ukraine, the Ministry of Internal Affairs of Ukraine, the Security Service of Ukraine, the State Committee of Hydrometeorology of Ukraine, the State Cartographic and Geodetic Fund of Ukraine, whose documents have a certain specificity, received the status of state branch archives.

Article 10 of the Law of Ukraine “On the National Archival Fund and Archival Institutions” is dedicated to the state archival institutions of the Autonomous Republic of Crimea, which are classified as local state archives. Regional state archives and their branches, city state archives and archival departments of district state administrations also have this status. Their main function is to store archival documents of local origin and to provide the necessary archival information to institutions and citizens.



Archival units of self-governing scientific institutions, state museums, and libraries constitute a separate group in the Ukrainian system of archival institutions. The Archives of the National Academy of Sciences of Ukraine, manuscript departments of some museum, Institute of Manuscripts of Vernadskyi National Library of Ukraine, and others belong to them.

The largest archival institution group is archival units of state bodies, enterprises, institutions, and organizations. Their feature is completing documents for temporary storage, which are used for official, industrial, scientific, and other purposes, as well as for the protection of legal rights and interests of citizens. After temporary storage period expires, valuable documents included in the NAF are transferred to central, branch, or local state archives for permanent storage, including cinematography and phonographic documents.

The system of archival institutions is also represented by archives and archival subdivisions of associations of citizens, enterprises, institutions and organizations based on collective and private forms of ownership. The number of non-state-owned archival institutions is steadily growing as economic reforms are implemented, private entrepreneurship develops, and new public associations and political parties are formed.

The Ukrainian Research Institute of Archival Affairs and Records Keeping is an important part of the system of archival institutions. Its tasks are developing of the archival development theory, history and practice of archival affairs, generalization and dissemination of advanced national and foreign experience, the latest archival technologies, and records keeping issues.

An integral part of the system of archival institutions is the Chief Archival Administration under the Cabinet of Ministers of Ukraine (now the State Archival Service of Ukraine). It is the central executive body, which is entrusted with the functions of archival affairs management, control and regulatory and methodological records keeping support. Within the scope of its competence it ensures the state policy implementation in the archival field.

Let's consider in detail the place and role of the main parts of the system of the Ukrainian archival institutions in the industry functioning. The central state archives play a leading role in the NAF formation and ensuring its preservation. They have the status of scientific and methodical centers and develop methods for collecting fonds, examining the value of documents, their storage, restoration, and effective use; they publish referral and informational, and methodical materials.

Exceptionally valuable and unique documents, their collections are concentrated in the vaults of the Central State Historical Archives in Kyiv and Lviv. The official establishment of the Central State Historical Archive of Ukraine in Kyiv dates back to 1911, but the formation of its main fonds, the number of which exceeds 1.6 thousand, and storage units over 1.5 million, was completed after the Second World War. Collections of documents stored in the former All-Ukrainian Central Archive of Ancient Acts, part of the fonds of the Central Archive of the Revolution in Kharkiv and the Kyiv Regional Historical Archive are stored here. According to the periodization of archival documents adopted in the Soviet times, the Central State Historical Archive of Ukraine in Kyiv collected sources from 1369 to 1917. They relate to the period when Ukrainian lands were in the Grand Duchy of Lithuania, under the Lithuanian and Polish rule, they contain valuable information about Ukrainian Cossacks' origin, their struggle for national liberation and statehood. Important documentary collections are the Kosh of Zaporozhian Sich archive, the General Military Chancellery documents, Collegiums of Little Russia, etc., a significant array of documents on the activities of Russian governmental structures in Ukraine in the 19th and early 20th centuries, religious institutions, in particular the Chancellery of the Metropolitan of Kyiv, the Kyiv-Pechersk Lavra, and also materials of scientific and technical, historical and cultural societies. The censorship institutions fonds contain documents related to the publication and distribution of the works by T. Shevchenko, L. Ukrainka, I. Franko, M. Kotsiubynskyi, and others. The archival pride is personal and family fonds (of the Khanenkys, the Maksymovyches, the Tereshchenkos, the Hrushevskyis, etc.). Valuable information is contained in the personal fonds of such historians as

D. Bahalii, V. Bazylevych, M. Vladymyrskyi-Budanov, M. Dovnar-Zapolskyi, V. Ikonnykov, I. Kamanin, and others, whose names are associated with Kyiv University.

The Central State Historical Archives of Ukraine in Kyiv stores more than 40 collections of microfilms, documents from Ukrainian history from the 16th to the beginning of the 20th centuries, which were discovered during the preparation for the publication of document collections, the originals of which are stored in the archives of Moscow, St. Petersburg, and in the manuscript collections of foreign libraries. The archive has a perfect system of scientific and reference apparatus: inventory books, systematic, geographical and name catalogs, subject reviews, and various indexes.

Founded as the Central State Archive of Ancient Acts in 1939 on the basis of the Lviv Archive of Ancient Acts, the Central State Historical Archive of Ukraine in Lviv has a certain specificity. There are almost 800 funds and even more cases in its vaults. The oldest documents of the archive date back to 1233. The oldest town book of Lviv from 1382-1389, financial and administrative books from 1401-1414 and 1414-1426, handwritten chronicles of V. Zymorovych, Ya. Yuzefovych, and others. are presented here. The document collections show the condition of the Western Ukrainian lands in the Polish-Lithuanian Commonwealth during the Ukrainian People's Liberation War led by B. Khmelnytskyi in 1648-1657. They include 13 hetman's original letters, Polish kings' and nobles' documents.

Collections of maps and plans of Lviv of the 16th and 17th centuries, plans of other cities, and Ukraine in general have a unique value of the Central State Historical Archive of Ukraine in Lviv. The Lviv Brotherhood funds present documents on the development of culture, education and art in the 16th-18th centuries. A separate section is made up of documents on the history of Western Ukrainian lands incorporated in the Austro-Hungarian Empire. They concern the economic, cultural, religious and political life of the region's population. Document collections on the activities of the Taras Shevchenko Scientific Society, the Prosvita Society, Narodnyi dim (People's House), the Ukrainska Besida (Discourse) Theatre,

the Ridna Shkola (Native School) Ukrainian Pedagogical Society and others are inestimably valuable. Documents related to the names of T. Shevchenko, I. Franko, M. Hrushevskyi, M. Drahomanov, L. Ukrainka, M. Pavliuk, O. Kobylanska, Z. Hnatiuk, M. Shashkevych, I. Vahylevych, Ya. Holovatskyi and others are also relics.

The most important NAF documents, devoted to the history of modern Ukraine (after 1917), are concentrated in the Central State Archives of Supreme Bodies of Power and Government (CSASB) of Ukraine. It was organized in Kharkiv at the end of 1945 on the document basis of the Central Archive of the Revolution of the Ukrainian SSR, the Central Labor Archive of the Ukrainian SSR, and the Central Historical Archive. In 1970, the archive was relocated to Kyiv to the newly constructed building complex of the Central State Archives of Ukraine on Solomianska Street, 24. Until 1991, it had the official name of the Central State Archive of the October Revolution, the highest state authorities and state administration bodies of the Ukrainian SSR, which affected the profile and character of the document collection, the formation of its funds. The vast majority of archive documents were left as a legacy of Soviet-era state authorities and administration: The All-Ukrainian Congresses of Soviets, the Verkhovna Rada of the Ukrainian SSR, the All-Ukrainian Central Executive Committee, the Presidium of the Verkhovna Rada, the Soviet People's Committee of the Ukrainian SSR and the Council of Ministers of the Republic, other governing bodies.

Many documents, especially those of the judiciary, the court, and the prosecutor's office, were in special storage facilities for a long time and were inaccessible to researchers. The democratization of the society and archival affairs creates favorable conditions for the involvement of all sources in scientific research. The above also applies to the State Plan documents, statistics, and the Ministry of Finance of Ukraine.

State bodies' documents of education, culture, art, printing, personal funds of state and public figures, and scientists are stored in the CSASB vaults. There are more than 3,000 fonds, about 2 million files, and a large research and reference apparatus in the archive.

The treasury of documents and monuments of modern political history of Ukraine is the Central State Archive of Public Associations (CSAPA) of Ukraine, created in 1991 on the basis of the Party Archive of the Institute of Party History under the Central Committee of the Communist Party of Ukraine and located in Kyiv on Kutuzova Street, 8. Documents of the Communist Party of Ukraine and regional party organizations form the main archival collection array. The documents of other political parties are also presented here, in particular, the Ukrainian Communist Party, the “Borotbysts” Party, Ukrainian Socialist Revolutionaries, etc. Documents of the Komsomol (Young Communist League) of Ukraine make up a separate fund. Considering the fact that the Communist Party of Ukraine during the totalitarianism era influenced all social development spheres: economy, culture, social, national and political processes, the study of its documentary heritage is an important factor in the knowledge of national history in the 20s-80s of the 20th century. A separate archival fonds collected various documents and materials about the activities of underground party and Komsomol organizations, the guerrilla movement in Ukraine during the Second World War. In 1993, on the basis of judicial and investigative documents transferred from the archive of the Security Service of Ukraine the 263rd fund was formed in the CSAPA. It is an important source for researching the tragic consequences of punitive and repressive actions against the Ukrainian people in the 20s and 30s. The archive has an automated information system and a data base on the guerilla movement members in Ukraine, thematic indexes, establishes creative ties with modern public associations, political parties, societies as future provenance, and provides them with assistance in organizing the documentation.

The Central State CinePhotoPhono Archives of Ukraine plays an increasing role in the archival institutions system of Ukraine. It was founded in Kyiv in 1932, and in 1943 it was reorganized into the Central State CinePhotoPhono Archives of the Ukrainian SSR, and this name was changed only after the Ukrainian state independence declaration. Its uniqueness lies in the collection, accounting and storage of documents primarily of images and sounds, which are photographs, motion pictures, video films, gramophone records and magnetic cassettes. They also

let track progress in the field of audio and video technology. The archival fonds contain countertypes of portraits of T. Shevchenko, portrait and group photographs of I. Franko, L. Ukrainka, M. Hrushevskiy, M. Lysenko, M. Zankovetska, many political figures, associates of the Ukrainian revival, in particular V. Vynnychenko, S. Petliura, P. Skoropadskiy and others. Unique newsreels with records of historical events of the Ukrainian revolution of 1917-1920 have been preserved.

Due to specific historical conditions, the dominant place in the archive fonds belongs to cinematographic and phonographic documents about the events of the Soviet era in its characteristic ideological coloring and party-class assessments. However, despite this, the collected documents reflect the development of Ukraine's productive forces, the construction of industrial enterprises, power plants, the modernization of agriculture, achievements in the field of science, education, culture and art. Cinematographic documents recorded many figures of Ukrainian culture: A. Buchma, O. Vyshnia, O. Dovzhenko, L. Kurbas, P. Tychyna, A. Malyshko, V. Sosiura, M. Rylskiy, Yu. Yanovskiy; prominent scientists: A. Krymskiy, V. Vernadskiy, S. Korolev, V. Hlushkov, B. Paton, and others. In total, the archival holdings include more than 50,000 film documents, 3,000 photographic documents and the same number of phonographic documents, systematic and name indexes and catalogs. The archive is located in the building complex of the State Archival Services of Ukraine on Solomianska Street, 24.

The Central State Archives Museum of Literature and Art of Ukraine (CSAMLA) occupies a special place in the system of archival institutions due to the specificity of its fonds and work organization. This archive was founded in 1968 to collect, store and use documents and materials from the history of Ukrainian culture, literature and art. Documents of cultural institutions and creative associations, as well as personal literary and artistic figures' documents form the archive fonds. The archive managed to create original document collections of the Kyiv Society of Antiquities and Arts, in particular its charter and list of members, materials of the Kyiv Art, Industry and Science Museums (1902), Kyiv branch of the Imperial Russian Musical Society.

The peculiarity of the Central State Archives Museum of Literature and Arts of Ukraine is due to the fact that the vast majority of its fonds are personal fonds of well-known writers and artists: P. Tychyna, A. Holovko, O. Honchar, P. Panch, M. Rylskyi, V. Sosiura, Yu. Yanovskyi, I. Senchenko, V. Ellan-Blakytnyi, Yu. Smolych, A. Malyshko and others. The archive has more than a thousand fonds, almost 200,000 storage units and more than 3,000 museum exhibits. Its fonds are ordered, the descriptions are unified, there are systematic and name catalogs. The archive is located on Volodymyrska Street, 22 a. in Kyiv.

In 1989, the Central State Scientific and Technical Archive of Ukraine was created in Kharkiv, where scientific and technical documentation, which is an integral part of the history of the science and technology development, is collected and centrally stored. In its fonds there are more than half a million cases with unique scientific and technical documentation, including construction projects of the most important facilities of the fuel and energy complex, heavy industry enterprises, in particular, the Dnipro Hydroelectric Stations, the Kharkiv Locomotive Factory, and the Novokramatorsk Machine-Building Plant. The archive contains design documentation of the post-war reconstruction of Khreshchatyk in Kyiv, the residential complexes construction etc. The archive documentary base is used in scientific research on the science and technology history and during the development of reconstruction projects, enterprises repurposing, during re-designing, etc.

The central state archives occupy a decisive place in the archival system of Ukraine, and their fonds are the NAF basis. This does not detract from the role of other system parts, in particular the state archives of regions, cities, and archival departments of regional state administrations. However, if the central state archives realize themselves as scientific and methodical centers of the field, then the state archives of the Autonomous Republic of Crimea, the cities of Kyiv and Sevastopol, and the regions of Ukraine acquire the status of local scientific and methodical centers and centers for the history and local history study.

Democratic transformations and economic reforms in Ukraine affect the archival system, the institutional status with different ownership forms of archival

fonds. The role of branch archives is noticeably increasing, including former department officials. Not only their names have changed, but also their functional purpose. This concerns the archives of the so-called law enforcement agencies. On the basis of the archives of military districts and units that stationed within Ukraine, the State Archive of the Ministry of Defense of Ukraine was created. The former Ministry of Internal Affairs of the Ukrainian SSR archive, and the departmental archive of the former Committee for State Security have been reorganized. The latter acquired the status of the State Archive of the Security Service of Ukraine. The most important innovation of these archives is that their fonds is provided not only for official intra-departmental use, they become available to scientists as well. For this purpose, fonds descriptions are unified according to general standards, and a scientific and reference vocabulary is created.

The state branch archival activities are regulated by the Law of Ukraine “On the National Archival Fund and Archival Institutions”, provisions on ministries and departments, as well as relevant rules and instructions of these departments, if they do not contradict the current legislation. Normative acts of the State Archival Service of Ukraine, which determine the general rules of the activity of archival institutions, are mandatory for all parts of the archival system, regardless of their departmental subordination.

The State Archival Service of Ukraine, being one of the parts of the state system of archival institution, is the bearer of a unified state policy in the archival field. In its activities, The State Archival Service of Ukraine is guided by the Constitution of Ukraine, current legislation, the Regulation on the Central Archival Administration, approved by the Cabinet of Ministers of Ukraine in October 1995. The structure of the State Archival Service allows to monitor all the most important areas of institutional activity in the field: from the formation of the NAF, the creation of optimal storage conditions and the use of archival documents, the organization of information systems, the material and technical base development to the deployment of Ukrainian archivists’ international cooperation. Relying on the scientific and research potential of the industry, cooperating with institutions of the National



Academy of Sciences of Ukraine, leading universities, the State Archival Service develops a strategy for archival construction, specific programs for its implementation, influences material and financial support, personnel policy. According to the Regulations, the State Archival Service is a controlling body with the right to inspect the archival institutional activities, listen to their reports, and suspend the archival activities.

Of course, the system and archival industry management scheme existing in the state still has a lot of the command and administrative past era remnants of totalitarianism, centralization, bureaucracy, which contradicts the general trends of society democratization, expansion of the archival institutional rights and powers, primarily central state archives and other parts under such conditions, there is a tendency to narrow the administrative functions of the centralized management body and expand its coordinating powers as a scientific and methodical center.

Having considered the essence and meaning of the concept “archival system”, we can conclude that it includes a set of fundamental principles of archival organization in a particular state, methods and technologies of its management. At the same time, the archival system is not something immutable, its character is largely determined by the state system, and the social life organization. For modern archival systems, centralization and decentralization are defining features, and the leading trend is decentralization, which is caused by the processes of democratization of all social life spheres as well as archival industry.

The archival system functioning is inseparable from the systems of archival institutions as a set of archives, other institutions and structural divisions that ensure the formation of the NAF, perform administrative, research and informational functions of archival development. With the restoration of Ukraine’s independence, an in-depth process of the archival system reforming began, the defining feature of which is its democratization, decentralization, openness, transition of all parts of the system of archival institutions to legal foundations. The activity of the system of Ukrainian archival institutions is regulated by the Constitution, the Law “On the National Archival Fund and Archival Institutions”, normative acts of the President,

the Cabinet of Ministers of Ukraine, as well as the State Archival Service of Ukraine as a specialized management body of the executive power.

The defining criteria for the classification of archival institutions are their types and the form of their ownership. State archives (central, regional, city, archival departments of district administrations), branch (of state management bodies or public associations) archival institutions based on collective or private ownership are the main parts of the Ukrainian archival institutions system.

## LECTURE 9

### NAF OF UKRAINE, ITS STRUCTURE AND LEGAL FOUNDATIONS.

#### FOREIGN ARCHIVAL UKRAINICA

##### Plan

- 1. NAF of Ukraine, its structure and legal foundations**
- 2. Ownership of NAF documents**
- 3. Foreign archival Ukrainica**

##### **1. NAF of Ukraine, its structure, and legal principles**

The emergence of new legislative acts, in particular in the archival affairs field, became one of the results of the USSR breakup in the early 1990s. Therefore, the new concept of “national archival fund” was introduced into scientific and practical circulation (which replaced the term “state archival fund”) in the post-Soviet countries, and the problem of the common heritage use was ascertained. For the first time, the concept of “national archival fund” (which was included in the subsequent legislative acts of many countries – the former Soviet republics) was applied by the archival laws of Latvia and Estonia, effectively duplicating the law on the “archival fund of Lithuania” (February 1990), which did not yet operate with the concept of “national”, because it took place during the USSR agony. Modern political science considers the concepts of “state” and “national” to be synonymous. However, the term “national” concerning the state archival fund emphasizes the synthesis of the greatest values of a national character and accumulates the highest national wealth, which goes beyond the geographical boundaries of a state. In the world practice (the USA, Great Britain, Canada, Spain, and China), the term “national” concerning archiving has mainly a state-political meaning and denotes common archival fonds that is kept in the country and is under state jurisdiction. Among the states that emerged after the Soviet Union breakup, some of them

(Lithuania, Moldova, and Russia) named a collection of values for the nation's archival sources an "archival fond", while other countries (Belarus, Kazakhstan, the Kyrgyz Republic, and Ukraine) of a unitary structure, as a rule, used the name "National Archival Fund". This name was first enshrined in the regulation on the Main Archive Administration of Ukraine (July 21, 1992), which proved the need for such a new concept of archival practice and social relations, although its content was officially set for the first time in the Law "On the National Archival Fund and Archival Institutions", adopted on December 24, 1993. It became an important archival construction milestone of independent Ukraine. The law not only declared the creation of NAF as a single set of all documents stored on the territory of Ukraine and officially recognized scientific, historical, and cultural value, and established the jurisdiction of the state over the fund, but also defined a certain regulating mechanism for social relations that arise due to its formation, accounting, storage and use. Therefore, the law became the first legislative act of this level in our state history and laid a solid legal foundation for further archival industry development.

The term "NAF of Ukraine" is viewed as a set of documents, regardless of their nature, place of creation, and form of ownership, stored on the territory of Ukraine or outside its borders (and subject to return to Ukraine following international agreements), that reflect the spiritual and material life history of the Ukrainian people, have scientific, historical and cultural value, are recognized as such by the appropriate expertise and registered following the procedure provided by the Law of Ukraine "On the National Archival Fund and Archival Institutions".

NAF is an integral part of the national and world historical and cultural heritage and information resources of society, a multifaceted array of documents of state bodies, enterprises, institutions, and organizations of all forms of ownership, individual citizens, and public associations, which are stored in archival repositories of Ukraine and private collections, as well as documents of national historical and cultural heritage located abroad, and documents of foreign origin related to the history of Ukraine, regardless of the creation time, technology, and means of reproduction.

Let's consider the NAF of Ukraine structure and the composition of its documents. NAF includes three main groups of documents that are the property of Ukraine:

a) documentary complexes formed in different historical periods on the territory of modern Ukraine in the activities of state and local self-government bodies, public and religious organizations, institutions, enterprises of all forms of ownership, and individuals, stored on the territory of Ukraine, reflecting the history of spiritual and material life of its people and other peoples, having scientific, historical and cultural value, being recognized as such by the appropriate examination and registered in accordance with the established law;

b) documents of Ukrainian origin that were created outside Ukraine as a result of the activities of Ukrainian political and labor emigration, Ukrainian military, cultural, educational, and scientific institutions, public associations, and individuals and transferred to the property of Ukraine or its citizens in the order of restitution, on the basis of donation or on other grounds, or stored outside Ukraine and following international agreements are subject to return to Ukraine (in originals or copies);

c) documents of foreign (non-Ukrainian) origin, which were created on the territory of other states and, due to various circumstances, ended up on the territory of Ukraine, became an integral part of its people's historical and cultural heritage.

At the current stage of archival construction, the Law enshrines the concept of "a national archival fund", the actual formation of which firstly in history began after Ukraine's gaining independence. The national NAF basis was the Ukrainian part of the USSR State Archival Fund (SAF), as well as the archives and documents of the Communist Party of Ukraine and Leninist Communist League of Youth of Ukraine (Komsomol), transferred to state storage. So, at the beginning of the 90s in Ukraine, the parallel existence of two archival funds was eliminated and decisive steps were taken to integrate the national archival holdings, which added about 13 million files. Due to the liquidation and transference of former party archives of the CPU to archival institutions, the latter faced a difficult task: to integrate these archives, which as of January 1, 1991, had 65,297 funds (almost 11 million files),

134,384 descriptions, and other accounting and reference apparatus, in the system of state archival institutions, and transfer their accounting documentation to the unified forms of state accounting of NAF documents. At the same time, employees of the state archives not only checked the availability of documents of former party archives but also compiled more than 65,000 fond pages, and opened more than 45,000 new files on the funds of primary party organizations, which were not kept in the party archives. Five sectoral state archives were created, which actively began to collect NAF documents in the systems of the armed forces, internal affairs, security services, hydrometeorology, geodesy, and cartography. In particular, in 1994, the State Archive of the Security Service of Ukraine was created for permanent storage of the NAF documents, which were formed as a result of operational and investigative activities of the security agencies of Ukraine, and other materials. The documents and materials created during operational and investigative and other special activities of the internal affairs bodies of Ukraine are stored in the branch State Archive of the Ministry of Internal Affairs, created in 1995, where about 3 million archival files are grouped and systematized into 53 archival funds and collections.

As of January 1, 1998, NAF of Ukraine had 55 million storage units, including 48.8 million cases concentrated in the system of the Main Archive of Ukraine, which are documents after 1917 – 38.7 million, normative and technical documentation (NTD) – 618 thousand, film documents – 74.3 thousand, photo documents – more than 1 million, phono documents – more than 30 thousand storage units. According to Art. 6 of the archival regulation, NAF documents are stored not only in the state archives (central, brunch, and local) but also in the “archival departments of self-governing scientific institutions, state museums and libraries”, where valuable collection-level documents have been stored due to the specifics of their collection. Library departments of manuscripts were historically formed in the 19th century as collection and archival funds being the result of the purposeful collection of book-manuscript and written antiquities on the basis of independent archeographic activity of libraries, through contributions and acquisition of private collections. The core of

these funds is handwritten books and manuscripts from ancient times to the present day, as well as scientists' and cultural figures' personal archival funds. Currently, there are such funds in several libraries and academic institutes in Ukraine, which have been granted the status of the scientific and branch archives and the right to permanently store documents on the basis of state ownership. Among the institutions of the National Academy of Sciences of Ukraine are the Institute of Manuscripts of Vernadskyi National Library of Ukraine, the Department of manuscripts of the Lviv National Stefanyk Scientific Library, the Department of manuscripts of the Shevchenko Institute of Literature, the Department of manuscripts of the Rylskyi Institute of Art Studies, Folklore and Ethnology, Institute of Archaeology, and under the authority of the Ministry of Culture and Arts of Ukraine – these are the manuscript departments of the Odesa and Kharkiv scientific libraries. Nowadays, handwritten documents collected during the 18th and 19th centuries by various educational institutions, scientific and public associations, as well as collection materials gained in the 20th century are concentrated here. The modern store of library funds was mainly formed in the 20s, when monastic library funds, liquidated pre-revolutionary institutions and private collections were nationalized.

The richest of them are the funds of the Institute of Manuscripts of Vernadskyi National Library of Ukraine, where about 437,000 storage units have been collected. The personal archival funds of outstanding enlighteners of the 19th and 20th centuries are concentrated here: the archive of the famous public figure, teacher V. Naumenko, the antiquities collector O. Lazarevskyi, the historian and archivist V. Modzalevskyi, professors and students of Kyiv University of St. Volodymyr O. Kistiakivskyi, M. Drahomanov, M. Maksymovych, V. Antonovych, V. Ikonnykova; funds of academicians of the All-Ukrainian Academy of Sciences: V. Vernadskyi, M. Vasylenko, M. Biliashivskyi, D. Bahalii, O. Levshchkyi, D. Yavornytskyi, the archaeologist V. Khvoika; autographs of Taras Shevchenko, Marko Vovchok and others.

An important part of NAF is the archival fond of the National Academy of Sciences of Ukraine, the documents of which are stored in the departmental

scientific and technical archives of 227 institutions and organizations of the Academy, including in 99 research institutes, 24 their branches, 7 scientific centers of the National Academy of Sciences of Ukraine, 7 nature reserves, botanical gardens, observatories, scientific libraries, as well as in 84 auxiliary organizations – scientific and technical centers, special design and technological bureaus, research and design offices, research plants and productions.

In particular, 270 funds are stored in the scientific archive of the Archival Institute of Vernadskyi National Library of Ukraine including 5 funds of scientific institutions, 2 collections, and 259 funds of personal origin, among which the documents of the presidents of the Academy of Sciences (V. Vernadskyi, D. Zabolotnyi, O. Bohomolets, B. Paton) take an important place. Over 100,000 storage units of important documents and materials, grouped into 218 funds and collections, are kept by the Department of manuscripts of the Lviv National Stefanyk Scientific Library. These are Cyrillic, Latin, and Polish manuscripts (13th-20th centuries); personal funds of members of the “Ruska triitsia” (Ruthenian Triad) – M. Shashkevych, I. Vahylevych, Ya. Holovatskyi; public and educational figures – Barvinski, Zaklynski, Hrushevychi; bibliographers – V. Doroshenko, I. Levytskyi, I. Kalynovych; ethnographers and folklorists – M. Dykariiev, M. Korduba, D. Zubrytskyi, and others.

Manuscript funds also exist in some educational institutions and museums: the Sheptytskyi National Museum in Lviv and the National Museum of the History of Ukraine in Kyiv, the Yavornytskyi National Historical Museum of Dnipro, the Tarnovskyi Chernihiv Regional Historical Museum, the Sumtsov Kharkiv Historical Museum, the Odesa Museum of Regional History, etc.

The Law of Ukraine “On the National Archival Fund and Archival Institutions” (Article 12) recognizes the right of museums to permanently store archival documents accumulated in museum repositories, as well as to replenish their funds and collections with relevant documents. The NAF documents stored in museums are concentrated in the:

- a) main funds,



- b) archival museums,
- c) current records keeping (accounting documentation).

The abundance of main funds deserves special attention.

Thus, the documentary fund of the National Museum of the History of Ukraine includes old prints, handwritten documents, and rare author's editions reflecting the social and economic development and cultural life of Ukraine in the 19th and early 20th centuries. The sets of documents of M. Biliashivskiy, V. Khvoika, M. Alchevska, and others were kept here. The documentary and archival fund (57 separate funds of personal origin and collections in the amount of more than 6,000 storage units from the 17<sup>th</sup> to the 20th centuries) is subsidiary to the main fund of works of art in the National Art Museum. Funds of such prominent Ukrainian artists as M. Boichuk, K. Kostandi, G. Narbut, M. Popov, O. Slastion, O. Sakhnovska, and others are stored here.

State jurisdiction over NAF does not violate the basic rights of the owners of the documents and their users. On the contrary, through legislative regulation and state guarantees of the storage conditions, reproduction, and use of NAF, the real exercise of these rights is ensured. The priority of the state is focused on the main task to ensure the preservation of NAF documents. For its realization, the law provides for state accounting of archival documents, state registration and control over compliance with legal requirements for their storage, state assistance to the NAF non-state owners, and state concern for the identification and collection of foreign Ukrainica, and return of archival values to Ukraine. It should be emphasized that the Ukrainian archival law, having critically taken into account national and foreign experience in restitution matters, submits a wording consistent with international law and archival practice regarding materials of Ukrainian origin that ended up abroad. NAF documents are only those ones that are "subject to return in accordance with international agreements" (Article 1).

NAF replenishment with the documents on Ukraine's historical and cultural heritage that are abroad remains an important state issue. Considering the fact that the systematic bringing abroad of documents and book collections from the territory

of Ukraine to Poland began after the Union of Lublin (1569), and to Russia during the reign of Peter the Great and lasted for more than 250 years, it is still difficult to determine the amount of “archival Ukrainica”. Only in Russian archival repositories there are huge arrays of Ukrainian historical documents. First of all, they are the Russian State Archive of Ancient Acts, the Russian State Military Historical Archive (Moscow), the Russian State Historical Archive (St. Petersburg), the Manuscripts Department of the National Library of Russia (Moscow), the Saltykov-Shchedrin Russian National Library, etc. The collection of the Ukrainian historian Mykola Markevych, one part of which is kept in the Manuscripts Department of the National Library of Russia, and the other in the Pushkin House (St. Petersburg), is unique in terms of size (about 12,000 storage units) and value. It includes letters and universals of hetmans Ivan Skoropadskyi, Kyrylo Rozumovskyi, Petro Doroshenko, manuscripts of Andrii Rozumovskyi, Petro Horlenko, Kochubei, director of the Taras Shevchenko University Archaeological Museum K. Lokhvytskyi, collections of O. Maksymovych, A. Storozhenko, and others. Centralized accounting of “Ukrainica” documents is carried out by the Main Archive of Ukraine. The identification of this type documents and the creation of their archeographic registers and bibliography is carried out within the state program “Archival and manuscript Ukrainica” (see chapter 5 “Foreign archives and foreign archival Ukrainica”). The specified materials as a NAF component are subject to return to Ukraine in originals or copies in accordance with international agreements, in a form of donation, acquisition, etc.

Other issues included the organization on the single basis of the archival institutions system to ensure accounting, storage, and use of archival documents, NAF formation, as well as conducting research and information activities. Solving the set tasks required unity of approaches to the entire set of archival documents. The law defined the central body of executive power, which manages archival affairs on the state’s behalf, is responsible for its condition and further development, – the Main Archive of Ukraine (Article 7). A system of law created archival institutions is to work with NAF documents, and carry out management, research, and

information activities in the archival field (Articles 2, 6). Therefore, the adoption of the law provided a legal foundation for an archival system built on the same basis, and legally formalized a huge information array – NAF of Ukraine.

NAF of Ukraine comprises the documents of “state bodies, enterprises, institutions and organizations of all forms of ownership, as well as of the documents of citizens and their associations.” The only reason for archival documents entry into NAF is the examination of their value, which is carried out by expert commissions (EC) of various levels (see chapter 8 “Examination of the value of documents and completing of state archives”). Changes in society, which affected all spheres of its life, require new approaches to the examination of the value of documents, because documents not taken into state storage may be lost forever. Examination of the value of documents should be conducted according to the principles of objectivity, historicism, comprehensiveness, and complexity. In 1995, the Cabinet of Ministers of Ukraine adopted “Regulations on the principles and criteria for determining the value of documents, the procedure for the formation and operation of expert commissions on the assignment of documents to NAF”, and “Regulations on the state registration of NAF documents”. In 1996, the Main Archive of Ukraine approved “Standard Regulations on the Expert Inspection Commission of the State Archive of the Autonomous Republic of Crimea, the State Archives of the Regions, the Cities of Kyiv and Sevastopil” and “Standard Regulations on the Expert Commission of the Regional State Archive Branch, the Archive Department of the District State Administration, and the City State Archive”, which determine the rights and tasks of EC.

The NAF of Ukraine documents are under state protection. Accounting, storage, and use of this information array, which is extremely valuable for the state, are the main tasks of archival institutions in Ukraine.

To determine the exceptional historical and cultural value of NAF documents and assign them to the Unique Documentary Monuments (UDM) the following criteria should be taken into account:

- a) the status and significance of the provenance;

- b) the origin of the documents;
- c) authors of the documents;
- d) the time when the documents were made;
- e) the value of the information in the documents;
- e) legal validity of the documents and their originality;
- g) presence of artistic or paleographic features.

The classification of NAF documents is based on slightly different criteria than the classification of documents of the State Archival Fund (SAF) of the USSR and the Archive Fund of the CPSU. In order to organize storage and search, they were grouped according to the most essential features, such as belonging to certain historical eras, institutions, and organizations of a certain level of subordination, certain administrative and territorial units, to certain industries and fields of activity, and the document recording method and technique were taken into account. Grouping of archival documents within the entire USSR, taking into account these characteristics, determined the network organization of state and party archives. Such a classification of documents is no longer thorough for NAF of Ukraine, although it retains certain significance for the organization of the modern network of state archival institutions. Hence, according to the chronological boundaries up to 1918, and for the territory of Western Ukraine – up to 1939, documents were stored in central state historical archives. Funds of supreme and central state authorities form the basis of the Central State Archives of Supreme Bodies of Power and Government of Ukraine.

## **2. Ownership of NAF documents**

The Law of Ukraine “On the National Archival Fund and Archival Institutions” recognizes three forms of NAF documents ownership: state, collective and private (according to the Constitution of Ukraine, there are state, public, and private forms of ownership). At the same time, it is emphasized that all NAF

document owners have equal rights. The classification of NAF in terms of ownership, belonging to a certain social institution, provides for three categories: a) state archival institutions of the main Archive system and other subordination; b) public associations' archives with collective property rights; c) private archives, private collections or individual documents owned by citizens. According to the Archive Law (Article 25), the owners are entrusted with the task of ensuring the preservation of NAF documents, and in case of non-compliance with the proper preservation conditions, the court can deprive the owner of the right to own these documents in accordance with the established by law procedure (Article 23).

In line with modern world trends, the archival law provides equal rights to access to NAF documents for both foreign and Ukrainian citizens. At the same time, it is noted that the Cabinet of Ministers of Ukraine can limit access to NAF documents to the citizens of those states, which restrict Ukrainian citizens' access to their state archives.

Provision of control functions to state archival institutions regarding all NAF documents, no matter who owns them, is ensured by an appropriate legal procedure. For this purpose, the archival law provides for the norm on mandatory registration of archival documents that have passed the value examination. If the examination is an archival part of the procedure for including a document to NAF, then state registration is a legal part of this procedure. The law associates the emergence, change, or termination of certain rights and obligations with the fact of registration. According to the mentioned provision on the state registration of NAF documents, approved by the government after the adoption of the law, the owner of the documents is obliged to notify the state archival institution that issued the registration certificate about the transfer of ownership of the documents or their relocation, changes of storage conditions or use. Alienation of documents in any form must be documented. Thus, in case of a gift or donation, it can be letters, or relevant certificates; in the event of purchase it goes about an invoice, a sales agreement; and in case of inheritance it may be a will, etc.

Thus, NAF of Ukraine is a set of documents belonging to it, as well as those that, according to the international law, are subject to return to Ukraine. The documents reflect Ukrainians' history, have scientific, historical, and cultural value. NAF of Ukraine has developed historically and includes monuments from ancient times to the present day. The basis for entering documents to NAF is the appropriate expert opinion and state registration. The main part of NAF is UDM, which must be entered into the State Register of the National Cultural Heritage of Ukraine.

### **3. Foreign archival Ukrainica**

In modern historical and archival science, the concept of foreign Ukrainica has been established to define archival materials related to Ukraine, which are stored abroad (similarly: Rossika – for Russian documents, Polonika – for Polish ones, etc.). It should be mentioned that in traditional scientific and library usage, the terms “Rossika” or “Ukrainica” usually refer to foreign publications about Russia or Ukraine, as, for example, to the “Rossika” collection in the pre-revolutionary Imperial Public Library in St. Petersburg. Foreign bibliophiles use this term to denote early (before the 19th century) books published in Russia (including Slavic books from the Russian Empire), in collections outside Ukraine. Relatively recently, the word “archival” has been added to the term in order to clarify its meaning.

Foreign Ukrainica is an important information array and the basic historical and cultural potential of the humanitarian sphere of knowledge. It allows for the involvement in the social circulation the information that forms spirituality and lays the foundation of a new national and social psychology, politics, and culture. According to the Law of Ukraine “On the National Archival Fund and Archival Institutions”, such documents, in accordance with international agreements, are subject to return to Ukraine in originals or copies. According to the nowadays American researcher Dr. Patricia Kennedy Grimsted, the issues of adequate archival Ukrainica identification are complicated with regard to materials stored abroad,

because the determinacy level between Ukrainian and Russian, Polish and Ukrainian, Austro-Hungarian (or Austrian or Hungarian) and Ukrainian depends on the accuracy of ethnic identification or the degree of Ukrainian national identity.

The information array of foreign Ukrainica has formed for a long time.

The systematic export of documents and book collections from Ukraine began during the reign of Peter the Great. According to the order of December 20, 1720, the Kyiv governor Holitsyn was to inspect and take away credentials and other valuable documents, handwritten and printed books from the monastery archives. Menshykov's army seized a significant number of documents during the defeat of Baturyn in 1708. The documents were sent to Moscow after the arrests of Ukrainian state and military figures. Thus, during the investigation into Hetman P. Polubotok's case, part of the General Military Office documents, and the Cossack starshina's (foremen) correspondence was confiscated. Reasons for taking archival documents to the capital were reforms of the central and local authorities. After the liquidation of the Office of the Ministry Board of Little Russian Affairs in Hlukhiv in 1750, secret records were completely seized from it and sent to Russia. As a result of the judicial reform of 1864, thousands of pounds of archival documents were taken out to Moscow. The famous archive of the Greek Catholic metropolitans was transported from Radomyshl to St. Petersburg after the liquidation of the Greek Catholic Church in the 1940s. The most valuable documents from ancient Ukrainian archives were brought to the capital at the request of the Archeographic Commission in St. Petersburg in 1837-1840. The most dramatic changes took place during the Soviet era when a huge number of institutions were liquidated and their funds nationalized. Since then, massive arrays of documents created by Ukrainian institutions on the Ukrainian territory were "legally" moved to Russia under the law of the colonial power. Here are only some facts. In 1924, the requisitioning of documents of the Central Black Sea Archive in Mykolaiv and their transportation to Petrograd began. Subsequently, the documents of almost all military institutions and enterprises were taken out from Ukraine. According to incomplete data, during 1951-1972, more than 3,000 funds containing 80,000 files on military history were

taken out. In particular, the valuable fund 345, Headquarters of the Odesa Military District, was sent to Leningrad from the Central State Historical Archives of the Ukrainian SSR in 1956. The transfer of a significant array of documents from the archives of the Ministry of Internal Affairs and the Committee for State Security (KGB) regarding the resistance movement to the Bolshevik regime in the 40s and early 50s was one of the last acts of open looting of Ukrainian archives. It occurred in 1991 and the documents were taken out to Moscow.

To define the term “foreign Ukrainica” more precisely, we single out two main sets of materials: Ukrainian (documents created by the Ukrainian government, Ukrainian institutions, or individuals) and foreign (documents created by foreigners).

Let’s consider the characteristics of the main groups of documents of the Ukrainian set, which include:

1. Official documents of ancient Ukrainian government institutions that operated on modern Ukrainian lands (including any fragments of official state documents that were created by Ukrainian government institutions and then captured by other imperial regimes or taken abroad by emigrants and now legally constitute a part of the national archival heritage of Ukraine).

2. Diplomatic and other official documents and materials created abroad by Ukrainian missions or representatives of official Ukrainian institutions and organizations.

3. Official documents of central institutions, that were entrusted with administrative activities on Ukrainian lands by the authorities of previous imperial regimes. These are documents of Russia, Poland, Austria, Hungary, Austria-Hungary, Romania, and Turkey.

4. Official state documents of provincial, regional, and local bodies that were located on Ukrainian lands and created by the authorities of the previous imperial regimes (including documents of the Communist Party of Ukraine of the Soviet era). Regarding the times of the Russian Empire, for example, there is no question of local provincial or judicial documents created by Russian governors-general or provincial



administrations of the lands of the successor states, all of which are provenance documents of these states and, thus, a legitimate part of their own archival heritage. Hence, the documents of the Kyiv, Volyn, and Podilsk governorates-general of Kyiv origin are part of the Ukrainian national archival heritage.

5. Documents of official Ukrainian military units or clearly Ukrainian parts of the Russian (Soviet) armed forces documentation.

6. Documents created abroad, outside the former Russian Soviet Empire as a result of the activities of the representatives of other non-diplomatic official Ukrainian (Soviet) state institutions there. There are much more such official documents of the Soviet period than those created in pre-revolutionary times, because the state during this period had extraordinary functions in all spheres of economic and social life, and, therefore, there were much more of its representatives abroad. These are documents of official Ukrainian trade missions, press offices, etc.

7. Documentation of Ukrainian non-governmental private institutions: business, church, or cultural representative bodies that were not officially controlled by the state. This category includes documents of foreign representative offices of those Ukrainian institutions or organizations that had official permission for business activity within Ukraine. In most countries, such documents fall under the laws of private or corporate ownership, although they were most likely nationalized under the Soviet regime.

8. Documentation of clandestine organizations or organizations in exile and individuals, including underground and dissident groups that were on the territory of Ukraine during the Russian imperial or Soviet regimes.

9. Personal papers of Ukrainians, including Ukrainian emigrants. There are many important groups of prominent Ukrainians' personal papers, which were created on Ukrainian lands and legally taken out abroad by individual exiles or political or intellectual emigrants, or for them.

10. Manuscript books, collections of historical documents and autographs, and audiovisual documents taken out from Ukraine. Emigrants are responsible for alienating significant amounts of Ukrainian archival documents or documents

related to Ukraine. Along with their personal documents, many emigrants took out important collections of historical documents, manuscript books, and audiovisual materials.

11. Documents created abroad by private Ukrainian emigrant organizations and communities that continued to preserve Ukrainian traditions in emigration. Many such groups maintained close ties with their homeland and followed events on an official and unofficial level. Among the personal documents of prominent Ukrainian emigrants, there is a significant number of letters and other materials of Ukrainian origin. In the West, as a rule, all such groups of documents are protected by the laws on private property and cultural values of the country where they originated or are now. Thus, the documents of institutions and organizations of the Ukrainian community in Prague or Munich, although related to Ukraine and important for Ukrainian history and culture, should be considered foreign subject to the laws of the country where they originated.

12. Collections of Ukrainian archival documents created abroad, or Ukrainian parts of other collections. Many archives or libraries of Ukrainian emigrant groups abroad store collected documentary sources or literary manuscripts, as well as other archival materials of Ukrainian origin. Like emigrants' personal documents, they are considered private property protected by the private cultural property law of the country where they are now. In most countries, documents purchased legally at auctions or from literary brokers are considered to be the legal property of their new owners based on the fact of purchase, even if their previous status is not clear.

The second large (foreign) set of documentation comprises documents created by foreign governments, institutions, and individuals. When including documents to this set, it should be kept in mind that many Ukrainian emigrants or exiles have become citizens of other countries. However, if the distinction is made solely on the basis of citizenship, it is possible to miss important differences between ethnic Ukrainians, Russians, or those who, although of foreign origin, have spent most of their lives in Ukraine and even held high positions in the Ukrainian government.

Six groups can be distinguished in the foreign set of documents:

1. Government, semi-private, or documents of private institutions and organizations, as well as individuals. In accordance with international laws and the established archival practice of many Western countries, the majority of such documents created by foreigners in Ukraine or related to Ukraine, including personal documents and those of private organizations, and especially documentation that originated abroad, certainly cannot be the object of requirements as an official part of the national archival heritage, this extensive set of materials itself is not actually archival Ukrainica. Many such materials arouse justified interest due to their informativeness and connection with Ukrainian history and culture, especially in the field of international relations and foreign experience on Ukrainian lands.

2. Diplomatic or consular documents of other countries' official missions on Ukrainian lands and/or documents related to Ukraine among the diplomatic documents of foreign missions in the Russian Empire and the Soviet Union. However, according to diplomatic precedents, even consular documents of other countries that originated in Kyiv, Lviv or Odesa must remain under the jurisdiction of the country they were created in. According to the diplomatic practice of recent centuries, there is no reason to demand the return of even extremely interesting intercepted or deciphered Russian/Ukrainian documents that can be found among this documentation. Demands for copies of documents that have been open to researchers in foreign archives for many years would be justified. Extensive documentation related to Ukraine is often difficult to find among the documents of foreign embassies in Russia, Poland, or Austria. They are rarely stored under Ukrainian headings.

3. Documents of military and civilian occupation authorities on Ukrainian lands during the war. In most cases, military documents were legally claimed by the state that created them, and they are usually seen as the property of the occupying army and navy. Therefore, the documents of the occupying armies can often be found in the archives of the occupier (for example, France during the Napoleonic Wars, and Germany during both world wars).

4. Documents of foreign non-governmental companies, cultural, religious, journalistic, and other organizations that worked in Ukraine (or on the Ukrainian lands of the Russian Empire/the Soviet Union).

Many documents of Ukrainian relevance of private institutions (including church organizations and religious groups, charitable organizations and aid missions, business enterprises, press bodies, and political groups), which had branches or operated in the Russian Empire or the Soviet Union, are still stored abroad. This category should also include documents of the international organizations, e.g. the Red Cross, Amnesty International, Green Peace, and others that sent their missions to Ukraine or maintained contacts with it. In most cases of international practice, such documents are considered to have been legally taken out abroad as private or corporate property. However, under the Soviet government, the documents of foreign firms and other institutions created on the territory of the Russian Empire, which remained there, were nationalized. The status of many such documents may be appealed against by appropriate foreign institutions, but at the same time, it would be useful for Ukraine to receive copies of documents stored abroad but relating to those firms that operated in Ukraine.

5. Personal documents of foreigners who were in Ukraine. These are their travel notes during trips to Ukraine, e.g. to Kyiv, Volyn, or Southern Russia (or other documentation added to these notes or memoirs), written after returning home. Although such personal papers belong entirely to their owners, they can have considerable interest due to their informativeness about Ukrainian affairs. There are a lot of scientists, journalists, and diplomats among the foreigners who lived in Russia (or particularly in Ukraine) during the last centuries, who collected extensive information with testimonies about events in Ukraine and in general in Russia/the USSR, handwritten copies of documentary and audiovisual materials, many of them kept diaries or wrote about their impressions after returning home.

6. Collections of manuscripts and documents collected by foreigners who lived in Ukraine. Foreign visitors and officially accredited diplomats are known to have taken out many manuscripts and historical documents, which were forbidden

to export according to existing laws. The lack of evidence that these documents were not purchased or exported under the guise of diplomatic immunity renders prosecution efforts futile, and in some cases, the application of the limitation period makes it difficult to argue demands or claims. Foreigners staying in Ukraine collected important official state or illegal documents, or their handwritten copies, and audiovisual materials. Today, scholars return home with microfilms and photocopies of archival documents, interviews with public or literary figures or even famous academicians, surveys and questionnaires, and sometimes with databases drafts created during long research trips. Graphic materials: prints, drawings, and photographs are of special attention when describing personal papers and manuscript collections. Films, audio, and video recordings are extremely important.

#### Problems of the foreign Ukrainica return

The current location and state of organization of foreign archival Ukrainica in the archival context are important factors for determining the possibility of returning appropriate materials or obtaining their copies. However, information about the repository where these materials are stored now is often less important than information about the current state of their orderliness.

With the world's recognition of Ukraine as an independent democratic state, the processes of restitution of the Ukrainian archival heritage stored abroad intensified. In 1992, the Commission for the Return of Cultural Values to Ukraine was established under the Cabinet of Ministers, which deals with restitution issues. Separate Ukrainian archives are beginning to return to Ukraine from Canada, the Czech Republic, Germany, and other countries.

Concluding what has been said above, we may say that foreign archival science, in all its diversity and specificity from the point of view of archival systems, principles of archival institutions building, management and organization of archival affairs, has a number of general development trends. First of all, this is the democratization and decentralization of the archival industry, the reduction of restrictions on access to documentary information, the strengthening of the legal basis for the functioning of archives, the introduction of the latest technologies for

document processing and storage, and modern information systems. A huge layer of documentary information about Ukraine, its history and culture, is connected with foreign archives. Foreign archival Ukrainica is part of the Ukrainians' spiritual riches and historical memory. It includes numerous monuments of material and spiritual culture, which, following international legal acts and agreements, are subject to return to Ukraine.

**CREDIT 4**  
**WORK ORGANIZATION OF ARCHIVES. CLASSIFICATION OF**  
**ARCHIVAL DOCUMENTATION**

**LECTURE 10**  
**WORK ORGANIZATION OF ARCHIVES**

**Plan**

- 1. Tasks, rights, structure of archives**
- 2. Archive departments and main archival technologies**
- 3. Planning, reporting and economic activity of archives**

**1. Tasks, rights, structure of archives**

According to Article 6 of the Law of Ukraine “On the National Archive Fund and Archival Institutions”, the system of archives consists of the State Archival Service of Ukraine, state archives (central, branch, local), archival department (of self-governing scientific institutions, state museums, libraries, public authorities, companies, agencies and organizations, public associations), and research establishments in the field of archiving.

An archive is a specialized establishment or structural unit that provides collection and storage of archival documents, organization of their data usage or carries out management, research and information activities in the field of archival affairs. Archives are guided by the Basic Legislation of Ukrainian on culture, the Law of Ukraine “On the National Archive Fund and Archival Institutions”, other legislative acts, regulations of the Verkhovna Rada of Ukraine (The Supreme Council of Ukraine), decrees of the President of Ukraine, resolutions and orders of the Cabinet of Ministers of Ukraine and heads of local state administrations.

State archives form the foundation of the industry and perform its main functions: collecting, identifying, describing and classifying documents, providing their storage, restoration and organizing their using. As it has already mentioned in chapter 3 “Archival System and Network of Archives”, archives are divided into those for permanent storage of documents (central, branch, regional, self-governing scientific institutions, state museums and libraries) and those for temporary storage of documents (archival departments of public authorities, companies, agencies and organizations).

State archives with a permanent storage of documents have different status. Central archives are specialized scientific and methodical centers; the archives of the Autonomous Republic of Crimea, Ukrainian regions, the cities of Kyiv and Sevastopol are primarily local executive bodies and manage archiving on the respective territory, but also perform scientific and methodical functions; state branch archives are part of the system of relevant ministries and departments.

Tasks and rights of state archives are determined by a special regulatory document of the government – the Regulation. Let’s consider them on the example of state regional archives. The main tasks of regional archives, the cities of Kyiv and Sevastopol are the realization of state policy in the archival industry, coordination of the activities of public authorities, companies, institutions, organizations on matters of archival affairs and record keeping, providing state registration, accounting, permanent storage, completing and using of documents. Regional archives are tasked with maintaining scientific and methodological work in the field of Archives and Records Keeping and archeography, as well as ensuring compliance with the provisions of the Law of Ukraine “On the National Archive Fund and Archival institutions”. The archive also fulfills public socio-legal requests and publishes archival documents. Additionally, as an administrative authority, the State Archive carries out scientific and methodical management of archival departments of district state administrations and municipal archives.

The rights of archives are also recorded in the regulation. In particular, the state regional archive has the right to receive information, documents and other



materials on their storage and arrangement from units of the regional state administration, local self-government bodies, institutions and organizations. Within its powers, it may give binding instructions to companies, institutions and organizations on the operation of their archives (archival departments) and their record keeping. One of the important rights of the archive is to raise in the established procedure the issue of suspension the activities of archives that do not provide the safety of NAF documents. The rights of the state archive also include limiting access to documents and establishing special conditions for their use.

The archive is managed by the director, who is appointed and dismissed by the State Archival Service of Ukraine, the regional state archives are managed by the heads of regional state administrations with the consent of the State Archival Service of Ukraine, the state branch archives are managed by the heads of ministries and departments. It is director who is responsible for performing the tasks assigned to the archive. He/she approves of the structure and staffing, regulations on structural subdivisions, functional duties of employees of the institutions, issues orders and monitors their implementation, appoints and dismisses archive employees.

For the purpose of agreed resolution of competence of the state regional archive, it may form a board consisting of the director, his/her deputies and other archival employees.

The director of central state archive has a collegial advisory body – the directorate, which includes department heads, leading specialists, and representatives of public organizations. Decisions of the directorate are formalized by the director's orders.

State archives are maintained at the expense of the State Budget of Ukraine. The heads of the respective state administrations approve of the maximum number of employees, payroll and the maintenance costs of the institution. They are legal entities, have an independent balance sheet, bank accounts and a stamp.

According to the current legislation, standard regulations on state archives of regions are approved by the Cabinet of Ministers of Ukraine, other archives are approved by the State Archival Service of Ukraine or a relevant department together

with the State Archival Service. Regulations on archives (archival departments) of public associations, companies, institutions and organizations based on collective or private forms of ownership are approved by their founders.

The organizational and production structure of state archives are determined by the main directions of their activity. For example, central and regional archives have departments for: acquisition and examination of the value of documents; accounting and storage of documents; departmental archives and others. Within the departments, smaller production units (sectors, groups) may be formed for narrower specialization of work.

The distribution of employees by positions in departments is carried out in accordance with the staff list. According to the currently accepted classification, the employees of the archival institution are divided into: managerial staff – director, deputies, chief custodian of funds, chief accountant; specialists – chief, leading, 1st and 2nd categories, senior research associate, research and junior research associates, senior custodian of funds, custodian of funds, restorer of 1st and 2nd categories; employees – senior foreman, senior cashier, senior inspector, office manager, operator, technicians of various specialties, secretary-typist, clerk and others; service personnel – qualified workers, cleaners, janitors, watchmen, etc.

Freelance, economic and accounting units can be created in the archives. There are to arrange the documents of current records management in provenance organizations and are financed at their expense.

The activities of archives largely depend on their material and technical base. The vast majority of central and regional state archives are located in specialized buildings. They were built in the 1960s and 1980s and are typical archival repositories designed to store about one million cases each. The archives are provided with technological equipment for maintaining the temperature and humidity regime, fire alarm systems, and automatic fire extinguishing. Some of the regional, most of the district and city state archives are located in fitted premises.

For the normal functioning of archival institutions with permanent collection of documents, in addition to archival repositories and technological equipment, the following services are required:

- a reading room with a library;
- photo and microcopy laboratory;
- restoration and bookbinding workshop (section);
- repair and technical workshop;
- premises for scientific and reference system;
- staff workrooms and utility rooms.

Since the archivist's activity is mainly creative and intellectual, the most appropriate is the office organization of work. At the same time, it is necessary to take into account the rational use of the workspace, the convenience of transporting documents, work communication, etc. The organization of workrooms requires equipping them with appropriate furniture, communication facilities, office appliances, lighting and stationery. Employees are also provided with proper reference, instructional and methodical literature, and clean form sheets.

The number of employees in the workrooms depends on the nature of the work (managerial, scientific, service, technical). It varies from 1 to 3-4 people, based on the available workspace. The main requirements for the equipment of work rooms are as follows: the average area per employee is up to 5 square meters; the power of table lamps – 60 -75 W, air temperature – 18-22°C; air humidity – 60-40%; sound intensity level – no more than 40-50 dB.

An important element of organizing the work process is keeping the safety of working conditions, preventing injuries and professional diseases. In archives, it is necessary to strictly observe safety rules when working with elevators, lifting mechanisms, electrical appliances, computers, chemicals and reagents in the process of microfilming, restoration and repair of documents, disinfection, etc.

## **2. Archive departments and main archival technologies**

Among the archive departments the main one is an archival repository which is a specialized room for storing documents. As a rule, it has the necessary technological equipment and facilities: automatic temperature and humidity control systems, fire and security alarms, special lighting, as well as racking equipment, cardboard boxes, transport carts, sliding ladders, elevator lifts, thermal and hygrometry devices, etc.

But an archival repository is not only a room, but also a department. This is a group of employees, which may include a different number of workers, depending on the amount of work. For instance, there are over 300,000 cases in the first group archival repository; it is maintained by the head of the archival repository, a senior fund guard and two fund keepers.

The archival repository employees perform the entire range of work related to providing the preservation of documents: compliance with the temperature and humidity conditions, cleaning of premises, disinfection and disinsection, issuing and placing cases to cardboard boxes, conducting checks of documents, participating in the public inspection of their safety, etc.

Archival repositories are objects of restricted order and access to them is determined by a special instruction and the director's order. It is strictly prohibited for people not specified by the order to enter the repositories. It is also forbidden to enter the repositories in outerwear, with bags, etc.

Maintaining an optimal sanitary and temperature-humidity conditions is the key to ensuring the durability of documents (see Section 10 "Ensuring the preservation of documents").

The reading room is one of the main archive departments. Its work is regulated by special rules, developed by each archive on the basis of the Rules for the use of NAF documents in the reading rooms, approved by the State Archival Service of Ukraine. They determine the main functional areas of the activity of these departments for meeting the citizens' needs in retrospective documentary

information. Citizens and legal entities are allowed to work in the reading room if they prove in an official written application the necessity to get acquainted with documents on a particular topic. Director of the archive or his/her deputy gives such a permission which is one year valid.

Before starting working in the reading room, citizens familiarize themselves with the rules and fill in a special questionnaire. These documents form the basis of the database on the staff of researchers and the scientific and thematic focus of their interests. Documents are ordered after a researcher has reviewed the descriptions, card files, catalogs and other reference materials. Data on the required documents are entered in the order forms and are transferred to the head of the reading room for execution. As a rule, a researcher orders no more than 10 cases per day. Receipts of ordered cases are recorded in the log, and a researcher signs the order form to acknowledge receipt. The cases people work with are stored in special box cabinets for no more than one month, and then returned to the archival repositories. Employees review cases during the issuance and acceptance to determine the completeness of the sheets, their damage, etc.

When working with documents, researchers can make extracts of the fragments they are interested in. After finishing working with the case, researchers make an entry in the document usage sheet, indicating the date, the topic of the work, the numbers of the sheets used, and also put a legible signature.

According to the current rules, in case of publishing archival documents, a researcher is obliged to provide references to the archive, fund, description, file and pages in the established form. For example: the CSASBPG (Central State Archives of Supreme Bodies of Power and Government) of Ukraine, f. 14, descr. 1, file 125, pp. 18-21. He/she is responsible for authentic transmission of the text of documents and their content. People may be deprived of the right to use archival documents for violation of current rules.

The work of the reference group (information desk), which is part of the functional area of the document usage, is closely related to the reading room activities. As a rule, it comes down to meeting citizens' social and legal needs. The

thematic range of these requests is quite wide: place and date of birth, work experience, salary, property, housing, education, genealogy, repression, rehabilitation, participation in the guerilla movement etc.

In most archives, this type of work is performed by a special structural unit such as a document use department, group or information desk. Its employees prepare an archive certificate for each request of citizens or legal entities. It can be of an established or no special form, but must have mandatory details: the archive stamp and seal, the director's and the executor's signatures, date, exact address of citizens or legal entities, a clear statement of the answer to the essence of the request based on archival documents. In case of a negative answer, a recommendation for further citizens' request in the case as well as the addresses of relevant archival or other institutions are given. The regulations set one month for fulfilling citizens' requests.

Researchers or leading archivists fulfill thematic requests. Temporary working groups may be created to fulfill complex requests. Director of the archive determines the term of the request fulfillment.

An important condition for optimizing the archival work is the introduction of computers. In general, in modern conditions, these are computers of both obsolete types of IBM AT-286, AT-386, and newer ones - AT-486, Pentium, etc. They are mostly used in the field of improving the scientific and reference apparatus, in particular for creating a database and automated search of archival information. For example, the Central Archive of Ukraine is creating an automated information retrieval system (AIRS) "Fund catalog".

The CSAPOU of Ukraine has implemented an information and reference system on archival and investigative cases of the repressed. State archives in most regions have developed computer programs and created databases on people deported to Germany in 1941-1943. They are based on documents from filtration cases. In the result of these programs implementation, quite time-consuming processes were automated, and traditional archival technologies were easily abandoned.

For this purpose, automated workstations (AWS) are created in the archives. Such workplaces are equipped for users in the reading room. The functional purpose of the latter is to facilitate the search for the necessary data in large amounts of information. AWS should be created as a multidisciplinary open computer system, which allows to easily increase additional automated functions (these problems are considered in more detail in Chapter 11 “Informatization in archiving”).

The work of the restoration and bookbinding workshop (department) being one of the main departments of archives deserves attention. By restoring, mending and framing documents, it ensures their proper physical condition. The workshop is to have a certain set of equipment (depending on the number of employees): a restoration table with a stand, a metal cabinet (or safe), a workbench, a binding press, a cardboard cutting machine, a paper cutting machine, a paper drying device, an electric stove, an electric iron, scales, a device for stacking and stitching sheets, a cart, a refrigerator, etc.

The basic set of restorative tools includes medical scalpels, spatulas, straight scissors, tweezers, needles, awls, chemical thermometers, brushes, rulers etc. There are also certain requirements for the ware used in the work process.

Special types of paper are used in restoration: micalent, condenser, filter, tea, writing, paraffin, poster, parchment, tissue and others. The most commonly used materials for bookbinding include: binding cardboard, electrical insulation, pressboard, lederin, boomvinyl, flyleaf paper, special gauze, calencar binding, linen threads etc. The workshop is also provided with certain types of glues. The main requirement for the restorer’s workplace is to protect the desktop from direct sunlight. Restoration tools and materials are rationally and conveniently placed around the restorer’s workplace. Special attention is paid to compliance with safety rules when performing work.

First of all, documents with mechanical, physicochemical or biological damage are subject to restoration. When they arrive at the workshop, they are registered in a special log, and when the restoration is complete, a record is made of the return of the documents to the archival repository.

### **3. Planning, reporting and economic activity of archives**

Planning is an integral part of management functions. It has two forms: perspective and current. The first one is inherent in archival management bodies (central archives, state archives of regions) and is designed for a long term. The second one is for archival institutions with a permanent collection of documents. They usually make annual plans.

Based on the amount of work, time budget and the number of full-time employees, departments prepare proposals for the draft plan, which is approved by the director. The plan has two parts – textual and calculated.

The plan indicators include: types of work, unit of measurement (cases, sheets, cards etc.), standard, amount of work by quarters, time budget, executors and explanations. The plan sections reflect the main activities of the archive. The structure of the plan can be changed according to the requirements of the time.

To account for time expenditures when drawing up the plan, the directorate of the archives is guided by the “Labor Intensity Standards for the Main Types of Work Performed in State Archives of Ukraine” approved by the order of the Director of the State Archival Service of Ukraine.

For example, accepting cases for state storage: general record keeping – 450 cases – 1 person-day; personal records – 200 cases or 3,5 thousand pages – 1 person-day; insurance fund – 6 thousand cases – 1 person-day.

Fulfillment of requests: for documents – 3 certificates – 1 person-day; for reference files – 9 references – 1 person-day.

Preparation: articles, reviews; scientific reports – 1 printed page – 30 person-days; methodical manual, methodics, instructions – 1 printed page – 26 person-days.

The introduction of these standards contributes to the increase of labor productivity, unification of production processes, and establishing records of completed works.



Archives with a variable set of documents plan their work in accordance with the requirements of state administrations; their plans may be annual, semi-annual or quarterly. Their characteristic feature is increased attention to such types of work as control over the activities of archival departments and services of current record keeping institutions, enterprises and organizations, acceptance of documents for temporary storage and transfer them to permanent state storage. Archives also practice drawing up individual work plans for employees.

Various forms of labor accounting are used to control the execution of planned tasks in the archives. The most common is keeping diaries, in which the head of the department enters digital indicators of stage control. Departments summarize the plan results on a monthly basis, and archival institutions do it quarterly.

State archives report on several statistical forms.

Form No. 1 is a passport of an archive, which contains data on the number of buildings, the size and area of archival repositories, the length of racking equipment, the number of work rooms, reading rooms and auxiliary premises. Then there are the quantitative characteristics of paper-based documents (funds, cases etc.), film, photo and audio documents.

The next section of the passport contains data on the number and condition of the scientific reference apparatus (inventories, record books, cards, the amount of information entered into computers etc.). The last section of the passport deals with the staff (all people employed, including managerial staff, specialists, employees and others). The passport is filled in as of January 1 of the current year and submitted to the Central Archive of Ukraine by February 1.

Form No. 2 is a report on the implementation of the archival development plan. It embraces the main areas of the archive activity: ensuring preservation of documents, creation and development of scientific reference apparatus, use and publication of documents.

This form includes types of work, unit of measurement, planned task and actual performance. This report is also submitted by February 1.

Using Form No. 3 local archives with a variable set of documents report on the state and amount of NAF documents in the departmental storage. They submit information on the number of institutions – sources of manning, available premises, number of employees, characteristics of documents composition etc. According to this form, archives (archival departments) submit information to the state regional archives by January, 20.

Archives also report on the number, the personnel and movement of the personnel holding managerial posts and specialists' ones (form No. I-K), and on the number of individual categories of employees (form No. 6-PV). Reports are submitted by January, 5. In addition, financial reports in the forms established for budget organizations are prepared.

As it has already been mentioned, archives are mainly state funded. The only form of extra-budgetary revenues used to be funds from the activities of economic and settlement departments for paid arrangement of documents of ministries and departments, enterprises, institutions and organizations.

In terms of market relations, retrospective information of documents is a commodity. This stimulates the economic activity of archives and expansion of archival services. Requests of citizens and legal entities can be fulfilled on a paid basis. The most common forms of such use of documents are fulfillment of orders for the microfilms or photocopies production. They also practice providing documents for showing at exhibitions, in TV shows, and for filming. Archives carry out thematic requests, compile historical references and prepare collections of documents. Genealogical orders are quite common.

Prices and tariffs for the main types of work and services are approved by the State Archival Service of Ukraine. Prices for the work done depend primarily on the category of documents (unique, especially valuable, and others), and on depreciation expenses for microfilm, paper, electricity etc. Contractual prices may be negotiated with individual users of documents. Money received from economic activity is used for employees' financial encouragement, technical base development and economic needs of the archive.

Thus, the main issues of work organization of archives are related to their social functions as centers of storage and use of information resources. The status, tasks, forms and content of the archival activities determine their structure, staff, material and technical and financial potential. The archive activities are regulated by regulatory acts and reflected in work plans and reports.

**CREDIT 4**  
**WORK ORGANIZATION OF ARCHIVES. CLASSIFICATION OF**  
**ARCHIVAL DOCUMENTATION**

**LECTURE 11**  
**CLASSIFICATION OF ARCHIVAL DOCUMENTS.**  
**APPRAISAL AND ACQUISITION OF FUNDS**

**Plan**

- 1. Classification of documents within the archives**
- 2. Classification of documents within the archival fund**
- 3. The concept of appraising documents and its tasks**
- 4. Principles of appraisal and criteria for the evaluation of documents**
- 5. Organization and methodology of appraising documents and registration of its results**
- 6. Lists of documents**
- 7. Acquisition of archives**
- 8. Working with sources of acquisition of the state archive**

**1. Classification of documents within the archives**

Classification of archival documents is carried out at the levels of the NAF (National Archival Fund) (see section 4 “NAF of Ukraine, its structure and legal framework”) of the archival institution and archival fund. The classification unit within the archive is an archival fund.

Archivists did not immediately infer that it was necessary to group documents by archival funds. Initially, the classification, called formal and logical, was carried out according to sectoral and thematic characteristics. It led to the destruction of the integrity of archival funds, which made it difficult to find archival information.

Currently, the term “archival fund” is considered as a definition of a complex of documents, historically or logically related to each other, which were formed as a result of the activities of a certain institution, organization, enterprise or individual. In the activity of each fund creator, a set of documents arises, which is called a documentary fund. A special feature of the documentary fund is that it includes documents with permanent and temporary storage periods and does not have a stable composition. Some documents with temporary storage periods after the value assessment are liquidated as having no scientific or practical value, while others are sent to the archives for permanent storage. Therefore, the archival fund is formed from the documentary fund. Documents of the archival fund have a common origin, uniformity of content, historical and logical interconnections. All these factors make it necessary to store documents as a whole complex, without allocating them to different archives. Complexes of archival funds can be formed from the funds of institutions and organizations of the same field of activity or one department, administrative and territorial unit, time of existence, etc.

Such documentary complexes as the archival fund of the institution, the fund of personal origin, the pooled archival fund, the archival collection, and the complex of NTD (normative and technical documentation) are types of archival fund.

At present, the archives of Ukraine store about 187,500 funds that have arisen as a result of the activities of legal or individual entities who are fund creators.

The classification of documents by archival funds in accordance with the principle of indivisibility is important both for the rational placement of documents in archives and for the distribution of documents within a specific archive.

Funding is a complex of steps on determining the fund affiliation of documents, creating archival funds on a scientific basis and establishing their chronological boundaries. When funding, archivists are always faced with the question of which institution or organization can be a fund creator and which cannot? To answer this question, it is necessary to study the history of the institution, its functions and place in the system of state or public bodies, and the content of documents that were postponed in the course of its activities.

Formal characteristics of the independence of a fund creator are the presence of a legislative enactment on the establishment of the institution, the definition of its functions and structure, an independent budget and a bank settlement account, an official stamp, a staff list, etc.

A mandatory characteristic of a fund creator is the presence of documents that have scientific, cultural or practical value and cover the activities of this institution or organization.

An important stage in the process of determining the boundaries of the archival fund is establishing the dates of emergence and liquidation of the fund creator. When determining the chronological boundaries of the fund creator's activities, the dates of legislative enactments in accordance with which this institution or organization was established and liquidated are taken as a basis. Sometimes these dates may not coincide with the dates of the actual creation and liquidation of the institution. For example, the appearance of a new public organization or political party is dated by the day of its registration with the Ministry of Justice of Ukraine. However, this enactment is preceded by a long organizational period and a significant number of documents appear as a result of the organizing committee's activities. In such cases, the actual dates of the fund creator's existence should be indicated in the archival directories.

To determine the chronological boundaries of the archival fund, it is necessary to take into account the factors affecting the activities of fund creators. At the same time, the following factors are determinant: political factor, that is, a change in the state system; legal factor, that is, the expansion or narrowing of the legal rights of the fund creator; administrative factor, that is, the expansion or narrowing of administrative and territorial rights.

A political factor can be considered the formation of the Ukrainian People's Republic (UPR), the Ukrainian Soviet Socialist Republic, the breakup of the Soviet Union, the emergence of independent states, including Ukraine, which chose a democratic way of development. All this led to the emergence of new institutions and organizations that could not operate at all during the Soviet period. It goes about

the Union of Entrepreneurs and Industrialists, trading banks, stock companies, trusts, private educational institutions, and non-communist political parties. The new fund creators are also those state institutions that emerged as a result of the declaration of Independence of Ukraine, such as the Presidential Administration, the Ministry of Defense, and other state authorities and management bodies. All of them have become new fund creators. They emerged in different years, so when determining the chronological boundaries of the corresponding archival funds, in each specific case it is necessary to establish the availability and date of a legislative enactment on the establishment of each fund creator.

As a rule, the chronological boundaries of fund creators' activity and the boundaries of archival funds are not affected by the transfer of an institution from one department to another, changes in the subordination of an institution within one department, changes in its location and structure, expansion or narrowing of the functions and scope of the institution's activity, expansion or narrowing of the territorial boundaries of the institution's activity, temporary evacuation of the institution, as well as its renaming.

#### 1.1 Peculiarities of determining the boundaries of funds of personal origin

The fund of personal origin is the archival fund of an individual, family, or kin that was formed during their life and activity. Funds of personal origin are divided into personal, family and kin funds.

#### 1.2. Determining the fund affiliation of documents

In the process of funding or preparing documents for transfer to archival storage, it is sometimes necessary to determine the fund affiliation of the documents. In these cases, the archivists' task of is to correctly establish the fund creator. The solution to this task largely depends on how carefully the history, functions and record keeping of the fund creator has been studied. This is especially necessary when organizing allocations consisting of disparate cases and separate documents of different fund creators. If in most cases the name of a fund creator is indicated on the file covers, then when working with documents, this name can only be determined by the content.

### 1.3 Formation of pooled archival fund

A pooled archival fund is a fund consisting of documents that were formed in the course of the activities of two or more fund creator organizations with historically determined ties (uniformity of functions, subordination, location, succession, etc.) and pooled together for ease of use.

Pooled archival funds are created for more rational placement of documents in archives, simplification of document accounting, and creation of a compact and high-quality scientific reference apparatus.

### 1.4 Formation of archival collections

An archival collection is a set of individual documents that have arisen in the course of various fund creators' activities and are compiled according to one or more features. Unlike pooled archival funds, archival collections are formed not on the basis of historical connections, but on the basis of logical ones, such as thematic, authorial, nominal, and chronological. For example, "The collection of theater posters and programs", "The collection of the Ukrainian necropolis" and others. These features can be treated separately and be combined with each other, for example, thematic and nominal, nominal and chronological, and so on. The choice and combination of features depends on the content and form of documents and the purpose of creating the collection. Often collections are created from separate disparate documents, which are scarce to form an independent fund. This happens when institutions and organizations receive documentary complexes for storage in archives, of which only some documents have a certain value. They are used to form archival collections. The vast majority of collections are thematic: "A collection of photocopies of documents about the Liberation War of the Ukrainian people of 1648-1657", etc.

One of the types of archival collections is a personal collection of documents of outstanding state and public figures, scientists and cultural figures. The creation of such collections leads to a violation of the principle of indivisibility of archival funds, since particular documents are removed from them. Therefore, personal archival collections are created only in certain cases.



## **2. Classification of documents within the archival fund**

A classification unit within an archival fund is a storage unit that can consist of either one or several documents united by a certain common feature. In archival practice, a storage unit on paper is called a case. The formation of a case begins even in the recordkeeping system of an institution where documents are compiled into cases according to the nomenclature (see Section 8 “Appraisal of documents and acquisition of state archives” for more information).

Classification of documents of the archival fund begins with the creation of groups of storage units that are homogeneous in content, authorship, form, or other features. Then cases are placed in these groups and groups are placed in the fund, but first you need to develop a scheme for systematizing documents within the archival fund, according to which cases are arranged. This scheme is a list of classification units of division, arranged in a certain sequence, and is intended for the distribution of fund documents by this division. Classes, departments, sections, rubrics, etc. can act as a classification unit of division. Composing a systematization scheme requires knowledge of the specifics of the fund creator's activities and recordkeeping system. It is based on the following general approaches:

- the grouping should be complete, i.e. cover all documents of the archival fund;
- classification features are determined in each specific case, depending on scientific and practical goals;
- classification should be carried out according to the method of deduction, that is, from general to specific;
- division should begin according to the main feature inherent in the entire fund, and end according to the features that are characteristic of particular, smallest groups of documents;
- each group of documents should be divided according to the same feature.

Identification of other features of documents is carried out at the next stages of division. All stages of division must be historically and logically connected. The process of grouping the fund cases should be carried out taking into account the following classification features:

- structural – for grouping cases according to their belonging to structural divisions (department, workshop, faculty), where they arose;

- chronological – for grouping cases based on the time when documents appeared (year, month, date);

- branch, functional, thematic – for grouping cases in accordance with the branch affiliation and functions of the fund creator, as well as by the subject of documents;

- nominal – for grouping cases by their belonging to a specific type of storage units (books, magazines) or by types of documents (plans, reports, orders);

- authorial – for grouping cases by authorship (legal or individual entity);

- correspondent – for grouping cases arising from correspondence with certain individuals or institutions;

- geographical – for grouping cases by separate administrative and territorial units with which the author, correspondent or content of the document are connected (region, district, city and village).

In addition, such features as the language of the documents, their format, originality or duplicability, material (paper, photographic tape, video tape, diskette) should also be considered.

In each specific case, the main and secondary features are determined. Structural and chronological features are often viewed as the main ones. In some cases, branch, geographical, authorial, or others may be treated as main ones. The choice of the main features is determined by the specifics of the fund creator's activity, the composition and content of documents, and the purposes of grouping.

The type of classification scheme is determined by the features that make the first two divisions of the fund materials. These can be: structural and chronological or chronological and structural; branch and chronological or chronological and

branch; functional and chronological or chronological and functional; nominal and chronological or chronological and nominal; geographical and chronological or chronological and geographical, etc.

For fund creators that have ceased their activities, a structural and chronological scheme is most often used, so the fund documents are first grouped by structural divisions, and then by chronological ones.

The largest groups within the fund are arranged mainly taking into account the structural division importance. For example, the documents of the rector's office, Academic Board, faculties are arranged first, and then those of the administrative and economic services. Cases within groups are most often placed in alphabetical order or chronologically.

Difficulties with grouping arise during the classification of documents of personal funds as a single system for creating a fund, as well as a common grouping feature that would apply to all fund documents cannot be applied to them. This is explained by the wide variety of personal fund documents. Therefore, at the first stage of classification, documents can be grouped according to several of the most characteristic classification features at the same time. In such cases, thematic, nominal, and authorial features are most often used. Currently, there is an approximate scheme for the classification of documents of personal funds, namely personal documents and other documents related to the biography of the fund creator (biographical materials); documents of official and public activities; creative documents; preparatory documents collected by the fund creator for work; correspondence; property and economic documents; iconic documents; documents; collections composed by the fund creator.

Thus, thematic (biography, official and public activities) and nominal (correspondence) features are the basis of the preliminary grouping of documents. In each specific case, the sequence of arrangement and meaning of sections of the scheme depend on the kind of the fund creator's activities and documents. Creative documents are of the greatest value in the famous artists' funds. In the funds of state and public figures, documents about official and public activities are the main ones.

Property and economic documents are of great importance in the funds of philanthropists and enterprises.

### **3. The concept of appraising documents and its tasks**

Appraisal is the evaluation of the scientific, historical, cultural and practical value of documents by expert commissions. Its main tasks are:

a) determination of the documents in each institution that have scientific, educational, historical and cultural value and are subject to permanent, long-term (more than 10 years) and temporary (up to 10 years) storage;

b) determination of the documents corresponding to the profile of this state archive;

c) ensuring the completeness of the documents of each fund in particular and the archive as a whole.

Permanent storage documents include those that reflect the main directions and results of the institution's activities, its management, control, production, scientific, educational, financial and other functions. These include orders on the main activity, minutes of meetings of collegial bodies and production meetings, plans, reports, analytical materials, etc.

Long-term (more than 10 years) storage documents comprise materials necessary for a long-term practical use. Among them there are also those that can be classified as permanent storage documents in 10 years after their authors have received public recognition, for example, manuscripts of scientific works, literary and artistic works. A separate group of these materials consists of the personnel documents (orders, personal cases and personal cards, lists of employees, file cabinets and pointers from the personnel, customer references, payroll records, etc.), which provide for a value assessment in 75 years with the subsequent selection of a certain part of it for permanent storage.

The group of temporary (up to 10 years) storage documents includes documents needed by the institution for operational practical activities.

While the first appraisal task is performed for each institution separately, the second, that is, determining the documents corresponding to the profile of this archive, provides for limiting the acceptance of duplicate documentation for state storage. Thus, among several institutions of the same system, organizational and administrative documentation (orders, statutes, regulations, rules, instructions, etc.) is accepted for state storage only in the archival fund of the institution that approved them; planning documentation is accepted in the fund of the institution that is the author of the document; statistical documentation is accepted in the fund of the state statistics body; decrees and orders of the President of Ukraine, resolutions of the Cabinet of Ministers of Ukraine, orders of ministries, other central bodies of state executive power, regarding the activities of specific institutions are accepted in the funds of these institutions.

The original NTD of particular parts of the project performed on a contractual basis by subcontractors is transferred to the general designers in agreement with them for completing projects, which are subsequently sent to the state archives.

Patent documentation is included in the NAF, as a rule, in the form of originals. NTD in machine-readable form, which has scientific and historical value, belongs to the NAF in cases if its information is not repeated on traditional information carriers. NTD documents of scientific and historical value are selected for permanent storage in accordance with the lists. NTD that is not included in the list of projects or issues is saved according to the terms defined in the standard list, or until the need passes.

Organizational, scientific and methodological activities contribute to the implementation of the third task of expertise, namely, ensuring the completeness of the stock composition of each institution and the documentary complex of the state archive as a whole. For example, if gaps are found in the planning documentation in the fund of an institution, its composition can be supplemented with the same documents of higher or subordinate institutions.

The final goal of the appraisal is to equip each state archive with a complete set of documents of its profile, and, therefore, to ensure the full formation of the NAF of Ukraine according to the principle: the smallest physical volume of documentation should provide the greatest information content.

#### **4. Principles of appraisal and criteria for the evaluation of documents**

Conducting the appraisal of documents requires compliance with the principles of objectivity, historicism, comprehensiveness, and complexity. The principle of objectivity provides for the evaluation of documents taking into account their content, authenticity, authors' or fund creators' significance, the legal force of documents and their originality, the time and place of creation, and the repeatability of information. The principle of historicism focuses on the study of phenomena, events, processes reflected in documents, in historical development, following the conditions and features of the period when they arose. The principle of comprehensiveness ensures determining the value of documents from the point of view of any consumer of information. The application of these principles of appraisal of documents allows to recreate the historical conditions for creating documentation, to establish its scientific, historical and social significance.

Document value criteria are a system of scientifically based features (origin, content, time and place of creation, external features), on the basis of which the degree of value of documents is practically determined.

Let us briefly consider the application of document value criteria in archival practice.

The criterion of origin consists in determining the value of the fund creators (institution or person). Since some institutions (persons) play a crucial role in the state and society; others play a less important role or perform auxiliary functions, there are groups of institutions (persons) from which documents are accepted:

- a) full acceptance;

b) so-called selective acceptance.

Documents for state storage are not received from individual institutions. Accordingly, lists of institutions and organizations are formed, as well as a list of people whose documents should preferably be concentrated in a state archival institution.

In the life of a state, society, and individuals, there are particularly significant, defining periods, for example, participation in liberation activities, military operations, the formation of a new state, participation or presence in resolving issues of nationwide scale, etc. The more fully the phenomena, events and processes of historical reality are reflected in documents, the more important and valuable they are for history.

The time and place of document creation are essential. It is well known that the older a document is, the more valuable it is from the point of view of history, because being a “fragment” of its era, it carries certain information about this period. The further away this period is from us, the more valuable the document is.

The main criterion for the value of the content of documents is, first of all, the significance of its information. The content of a document is a set of information recorded in it about specific facts, events, phenomena, and processes. Its application is associated with determining the storage periods of documents. The more significant the information content is, the more valuable the document is. An important indicator is the repeatability and dispersion of information. There is adequate repeatability when the information of the primary documents is completely repeated in the collective document.

For example, the annual indicators of acquisition of state archives are repeated in the summary annual table, and during the list of all archives, the volume of acquisition, such as management documentation, is set against each of them, and summary indicators for Ukraine are displayed. Thus, the annual table of the Chief Archive absorbs the information on this issue obtained from state archives. Therefore, such a table is called absorptive. Partial absorption of documentary information is observed when comparing the annual reports of state archival

institutions and the chief archive. The latter contains final and analytical material on the activities of industry institutions for the year and reflects positive or negative trends in their work. Basic information about the activities of each archival institution remains in their annual reports. This absorption is called partial.

There is also the concept of “allocation” of information, which means that information about the same fact is contained not in one, but in several or even many documents.

So, the formal note of an industrial accident records the fact of what happened. The certificate of the accident prevention officer at the enterprise, compiled for the whole year, contains statistics of accidents, analysis of weak points in production related to injuries, information on measures to prevent injuries, their effectiveness, etc. So, information on injuries (formal notes) will be “allocated” in relation to the composed document.

A separate group of documents with repetitive information consists of duplicate documents that are replicated copies of originals or copies of documents. Their creation and storage are caused by functional connections of organizations. They are most often regulatory, directive, and administrative documents, planning and reporting documentation, minutes of meetings and sessions, etc. They make up a fairly large category of documents and create difficulties during the appraisal.

The procedure for selecting duplicate documents for state storage is defined as follows:

- originals of duplicate documents are stored in the institution or structural division where they were created;
- duplicate documents are stored in the funds of those institutions they directly relate to;
- from duplicate documents of intensive use, each state archive can create the so-called use funds with free access to information for consumers;
- in case of absence (loss) of the original documents, they can be replaced with duplicate copies that have legal force.



During the appraisal, attention is paid to the intended purpose of the documents. Each document is created with a specific purpose, first of all for imparting this or that information not only traditionally between the addresser and the addressee (correspondence, report, order, etc.), but also for passing this information to the widest strata of society (appeal, proclamation), as well as for future generations (recollections, memoirs). The form of the document, the presentation of the text, summarization of information and its reliability also depend on the intended purpose.

The degree of preservation of documents is important, as it makes it possible to establish the completeness of the documentary complex, a separate fund, a group of homogeneous organizations or funds of one functional management system. This criterion is mostly applied in two cases:

a) in case of absence of the main original document, a certified copy of it (on the rights of the original) is accepted for state storage. For example, the fund has lost the original orders of the organization for its main activities. Then they search for certified copies of these orders in structural divisions, form cases from them in accordance with the established procedure and include them in the fund as originals, indicating this in the preface to the description. Or the second example, when the fund does not have the original annual production report of the organization, its information is contained in quarterly reports or in the report for the 4th quarter (provided that it is concluded with a cumulative summary).

b) in case of absence of the original documents in the organization's fund, they can be replaced with certified copies from the funds of lower or higher institutions of the system, where they are stored temporarily.

In the work of the state archives of Ukraine, the practice of the so-called complex appraisal of documents has developed, which is carried out in order to allocate duplicate documents and documents with absorptive information in single-functional organizations (for example, collective farms) in a certain territory (district, region) or in a system of institutions (local self-government bodies at all levels, such as regional, district, city and rural) of a certain chronological period.

This is one of the most effective methods of appraising, which allows to comprehensively solve the issue of optimizing the fund stock of documents of dozens or even hundreds of organizations at the same time.

## **5. Organization and methodology of appraising documents and registration of its results**

The appraisal of documents is carried out in the following sequence. At the first stage of the appraisal (recordkeeping office), a preliminary evaluation of documents takes place by determining the cases that will be formed and setting storage periods for them. It is based on a detailed study of the institution's activities, its functions, the organization of the documentary part of the recordkeeping office (centralized, decentralized, mixed), as well as the documentation. In the structural units, directly during the formation of cases, they specify the terms of their storage, which is provided for in the nomenclature of the institution, which are subsequently taken into account when compiling the nomenclature of cases for the next year. At the end of the recordkeeping year, each structural unit of the institution carries out the appraisal of documents. Cases of permanent and long-term storage are subject to legal expertise, undergo scientific and technical processing (laying titles, numbering sheets, cover design, binding works, etc.), and descriptions are compiled on them. Being approved by the management of the institution, the cases are transferred to the departmental archive for storage. Documents of temporary storage (up to 10 years) are withdrawn in accordance with the established procedure for destruction.

At the second stage (departmental storage), the appraisal of documents can be either an independent type of work, or part of a complex of works on scientific and technical processing of this organization documents. Its purpose is to identify duplicate documentation and documents with absorptive information. As a rule, the appraisal begins with the leading structural divisions, where the main documentation is concentrated, that is with the Registry office, the financial and economic

department, then the production departments, etc. For such documents, a sheet-by-sheet appraisal is carried out. If necessary, cases can be expanded and new cases are formed from them, with the cases titles being retaken accordingly and their technical processing repeated. The practice of value assessment of documents in archives has shown the effectiveness of compiling lists of permanent documents and separate lists of long-term storage for each structural unit. This makes it possible to significantly save time and properly organize work.

At the third stage (state storage), the following issues are resolved: elimination in the process of complex appraisal of interdepartmental duplication, concentration of mass duplicate documentation (administrative, planning, reporting, controlling, etc.) in certain funds, as well as restoration of lost documentation at the expense of funds that are not part of this system of institutions and organizations. For example, the state archive of the region received the entire complex of documents of funds from the public education system, namely, a complex of documents of the regional administration, the Institute for Advanced Teacher Education, methodological offices, district departments, schools. However, during this period, the documents of public education were stored in other governing bodies of the regional and district levels, respectively, in financial, statistical, trade unions, etc. The analysis of this documentation is carried out by means of the complex appraisal not only on the public education system from top to bottom, but also on systems related to it functionally.

Each stage of the appraisal involves carrying out work according to the established methodology at all four stages (preparatory, collection of documentation, actual appraisal of documents and registration of its results):

The first stage is preparatory. The compiler of the archive concentrates all descriptions on documents of permanent, long-term storage and personnel; the case of the organization's fund (cases of funds of all organizations that are stored in the departmental archive), regulations, charters of this organization, schemes of organizational structure of the institution of this system; historical references; nomenclature of cases; literature on the fund creator and the documents. All

collected material is carefully studied and researched. If necessary, extracts and notes are made from it.

The second stage is collecting documentation. It is carried out with the direct participation of employees of the recordkeeping office and archival services from all structural units without exception. The purpose of this stage is to ensure the completeness of materials for their assessment. Practice shows that poor-quality or incomplete this stage implementation will have a significant impact on the further course of work and lead to considerable losses of working time at the following stages.

The third stage is the actual appraisal of documents. All collected materials are systematized by structural units, within each of them they are arranged by types of documents, within the types they are organized by chronology, and the location of certain materials is indicated by special inscriptions on the sheets. For example: "Registry Office. Personnel orders. Copies. 1980-1990". This method of grouping materials offers several advantages. Firstly, the documents of an ordered archive can be used in case of practical need and without the compiler's participation. Secondly, it is more convenient to subject the collected set of documents of one type to appraisal and consultation. Thirdly, it is easy to establish the completeness or incompleteness of documentation. Fourthly, it is under such conditions that it is best to compile an act on the withdrawal of documents before destruction.

For visual analysis of the completeness of the documents of the fund, the practice of compiling so-called "shakhmatka" (results grid) is also used, which is a kind of information for each structural unit, where the type of the document is written in each line vertically from top to bottom, and the years for which the archive is ordered are indicated horizontally in the upper part of the results grid (for example, 1980, 1981, 1982... 1995). At the intersection of both columns, i.e. the type of document and years, the presence of the document is marked. If the document is absent then the column of the results grid is empty.

Appraisal of documents at this stage can be of two types, namely individual (case-by-case) and sub-document (sheet-by-sheet). Individual assessment concerns

those cases that are formed in the current records keeping, contain a set of all necessary appendices, are bound or filed (for example, the annual financial report for 1990; the plan of scientific and research work for 1990). The sheet-by-sheet appraisal of cases is the main one and covers almost the entire complex of documentation of the institution.

During appraisal, the scientific and practical value of all available documents is determined on the basis of departmental or standard lists, as well as the approved nomenclature of cases for a given year. After it is established that all the original orders from the personnel are available (see the example above), their copies are recognized as such that are not subject to state storage. In this way, the existing record is supplemented with another one, indicating the number of cases, the deadline for documents, and the corresponding items on the list. For example, 1980-1995, 6 cases/article 141.

As it is provided for by the basic rules of archives after the registration of cases, systematization of sheets, compiling headings for cases, descriptions of cases for documents of permanent, long-term storage and personnel, the fourth stage – the period of registration of acts for the destruction of documents – begins,

To appraise large and complex funds, it is recommended to write methodological rules, instructions or guidelines, as well as work guide lines. During the work, issues may arise that are not provided for in the methodological guide books and require a collective solution. They are considered at meetings of expert or methodological commissions.

## **6. Lists of documents**

The appraisal of documents is a complex and responsible type of archival activity and to facilitate it a system of lists of documents formed in the activities of state and local authorities, other institutions, organizations and enterprises has been developed, indicating the storage periods of documents.

There are different types of lists:

- interagency, i.e. for all state and local government bodies, other institutions, organizations and enterprises;
- departmental, i.e. for institutions and organizations of each individual ministry or department;
- specific, i.e. for each organization (if there is no corresponding departmental list).

The first interagency list in independent Ukraine was the “List of standard documents formed in the activities of state and local government bodies, other institutions, organizations and enterprises, indicating the storage periods of documents” (Kyiv, 1997), which is the basis for determining the storage periods of documents and selecting them for inclusion in the NAF or before the destruction of documents. It covers all documents formed in the process of the same type of administrative functions of state authorities, local self-government bodies and other institutions, organizations and enterprises (Part I), as well as documentation formed as a result of production and scientific and technical activities of institutions, organizations and enterprises of all forms of ownership (Part II).

The storage periods indicated in the lists are mandatory for all institutions and organizations in Ukraine. No institution, organization, or enterprise has the right to reduce these storage periods. Extension (increase) of the storage period of documents occurs upon submission of the organization by the relevant archival institution. The lists are designed to ensure the safety, organization and high-quality replenishment of the NAF stock. They can be used in the formation of cases, preparation of standard, sample and specific nomenclature of cases, development of schemes for classifying documents and industry lists of documents indicating the storage periods, as well as in the work of the EVC (Expert and Verification Commissions) of state archival institutions and the EC (Expert Commissions) of organizations.

The lists are based on the main areas of activity of organizations, regardless of their status in the hierarchical management system and industry affiliation, and within it – on the functional principle of assigning a particular documentation. Each area of activity corresponds to a separate section of the list.

The structure of the standard list is as follows:

1. Documents formed in management activities: organization of the management system; projection, planning, pricing; financing, lending, tax policy; accounting and reporting; organization of the use of labor resources; work with personnel; social and cultural development of the population; scientific and informational activities; economic, scientific, technical and cultural cooperation with foreign countries; material and technical supply; administrative and economic services; activities of public organizations.

2. Documents formed in the scientific, technical and production sphere: scientific, research and development work; invention, rationalization, patent and licensing work; design, construction, reconstruction; production; product quality, technical control, standardization; environmental protection; automated systems (AS).

Each section of the list has its own divisions. For example, Section 6 – “Working with personnel” has the following subsections: recruitment, distribution, transfer and accounting of personnel; training of personnel, improving their skills; conducting attestations and establishing qualifications, awarding academic titles, granting academic degrees; awarding, awarding honorary titles. Section 8 – “Scientific and informational activities” consists of the following subsections: scientific and technical information; publishing activities. The same scheme of organizing the list is applied to its other divisions.

An example of a departmental document is “List of documents formed in the activities of the National Bank of Ukraine, institutions and organizations of its system, joint-stock and commercial banks of Ukraine with an indication of storage periods” (Kyiv, 1996). Although the scheme of its organization has sections that are

included in the standard list and reflect the functions characteristic of all organizations, it registers areas of activity specific to the banking system.

Let's consider the "horizontal" structure of a typical list. All documents in its sections and subsections are arranged in a logical sequence according to the degree of significance of their types and the issues that are recorded in them. The list contains not only specific names of documents (column 2), but also their generalized name under the title "documents on such an issue", where after that the names of all types of documents included in the generalized name are stated in brackets. Document storage periods in the list are divided into two groups of organizations. The first group (column 3) includes organizations where documents of scientific, historical and cultural value are created as a result of their activity and are subject to inclusion in the NAF, according to the list of organizations No. 1. The second group includes organizations of a subsidiary and service nature (list of organizations No. 2), directly from which documents are not included in the NAF – column 4. The storage period of documents is put down in column 5. Remarks to them are given in column 6.

In the departmental list of the National Bank of Ukraine (NBU), the documents are divided into groups created in the course of activities: the central office of the NBU; regional departments of the NBU and its institutions; central offices of joint-stock and commercial banks, regional departments, directorates and branches of joint-stock and commercial banks; and district branches of joint-stock and commercial banks.

Document storage period is calculated from January 1 of the following recordkeeping calendar year. For example, the term of storage of a document created in the records in 1996 begins to be calculated from January 1, 1997. The term of storage of the NTD is calculated from January 1 of the year that follows the year of completion of the development of the topic or project. For documents with the term "75 years – A (age)", the calculation of the storage time is set at 75 years minus the age at the time of dismissal. Thus, the personal case of an employee who is 25 years old on the date of dismissal is subject to storage for 50 years ( $75 - 25 = 50$ ). The



mark “until the need passes” means that the documents have a long-term practical value and are stored for at least 10 years.

## **7. Acquisition of archives**

Acquisition of an archive is a systematic, purposeful and planned replenishment of its funds with relevant documents of state bodies, enterprises, institutions and organizations of all forms of ownership, as well as of citizens and their associations on all possible information carriers that have scientific, historical and cultural value. The purpose of acquisition is to create a full-fledged source base on the history of the country, region. The purpose of the departmental archive is to organize its system. It covers the following issues:

- determination of specific acquisition sources and their distribution among the relevant archives;
- determination of the documents to be transferred for storage;
- scientific and technical processing of documents in order to prepare them for further storage;
- direct acceptance and transfer of documents to the archive.

Archives of institutions and organizations (about 40,000) are the most numerous sources of acquisition of state archives. The completeness and quality of the source base depends on the quality of their acquisition, the correct selection of documents and their preparation for permanent storage in archives.

The tasks of the state archive are to complete documents from all institutions and organizations of its profile and within certain deadlines, to compile the necessary scientific and reference apparatus, and create conditions for the comprehensive use of the source base available in it.

The documents of departmental Archives in accordance with the Standard Regulation on the archive division of a state body, local self-government body, state enterprise, institution and organization (1995) include:

– documents completed in the recordkeeping office work on a paper basis of permanent and long-term storage (more than 10 years), created by the organization structural departments;

– scientific and technical, film, photo, phono-, video documentation, machine-oriented documents created by the organization or obtained by it legally;

– personal archival documents of employees of organizations;

– documents on various types of information carriers of institutions that are liquidated predecessors of the organization;

– printed publications complementing archival documents and being necessary for scientific, methodological and information and reference work of the archive;

– accounting and reference apparatus for archival documents.

The departmental archive acquire all types of documents on all possible information carriers:

– documents on a paper basis are transferred from the organization's structural units to the departmental archive two years after their completion in records keeping in an orderly condition according to the descriptions of the sample established by the Chief Archive of Ukraine;

– scientific and technical documentation is transferred immediately after approval and in accordance with the procedure established by the state standards of Ukraine; film, photo, phono, and video documentation is transferred from production divisions immediately after it being released.

The following deadlines for temporary storage of documents in the departmental archive of the institution are established:

– for documents of the Verkhovna Rada (the Supreme Council of Ukraine), the Office of the President, the Cabinet of Ministers, the Constitutional Court, the Supreme Court, the Supreme Commercial Court, the Prosecutor General's Office, ministries, other central bodies of state executive power and organizations directly subordinate to them – 15 years;

– for the documents of the Verkhovna Rada and the Council of Ministers of the Autonomous Republic of Crimea, regional, Kyiv and Sevastopol city state administrations and subordinate administrations – 10 years;

– for documents of district state administrations, local self-government bodies and subordinate administrations – 5 years;

– for civil status records – personnel documents, records of notarial acts and court cases – 75 years;

– for scientific and technical documentation – 25 years;

– for movies, newsreels, film chronicles, photographs, audio and video recordings – 3 years after the copying is completed;

– for machine-readable documents – 5 years.

The terms of temporary storage of documents in the departmental archive of the institution may be changed with the permission of the state archive to which these documents are received for permanent storage.

Therefore, the following tasks are assigned to the departmental archive in the field of acquisition:

– acceptance from structural departments of the organization and storage of archival documents on various information carriers;

– control together with the documentation support service of the department of the state of storage and correctness of registration of documents in the organization structural departments;

– participation in the preparation of the consolidated nomenclature of the organization's cases, checking the compliance of the formation of documents in the case according to the approved nomenclature;

– conducting a preliminary value assessment of stored documents, compiling and submitting for consideration by the organization's EC descriptions of NAF documents, cases on the organization's personnel and acts on the withdrawal for destruction of documents that are not classified as part of the NAF of Ukraine;

– preparation and transfer of NAF documents to the relevant state archive, which includes this departmental archive.

So, the rights of a departmental archive ensure the fulfillment of the tasks assigned to it, the ultimate goal of which is to transfer documents of a permanent period for state storage.

Two categories of state archives – with a permanent and variable composition of documents – are known to be in Ukraine. The acquisition presupposes the distribution of acquisition sources, considering the value of documents and the profile of archives.

During acquisition, certain principles are observed, first of all, the indivisibility of archival funds and their complexes (one fund or a set of funds of homogeneous institutions in the region should be stored in one archive).

The direct organization of archive acquisition begins with determining the sources of its acquisition – compiling lists of institutions, organizations and enterprises whose documents are subject (list No. 1) and not subject (list No. 2) to transfer for storage. List No. 1 includes institutions and organizations of so-called selective acceptance. It is of two types:

– from numerous homogeneous institutions, one or more are selected for storage in order to represent their diversity. For example, among several hundred schools in the region, one or two general education schools and one or two specialized ones (eight-year-olds, eleven-year-olds, special needs schools, such as for the deaf, the blind, mentally retarded, the disabled, etc.) are selected for list No. 1 of compulsory acceptance;

– from numerous homogeneous institutions of the same system, one or more types of basic documents are selected for storage, which are included in the description of the fund of a higher organization. For example, only annual reports are accepted from forestry agencies (list No. 2) in the regional forestry agency fund. Lists No. 1 and No. 2 are compiled in accordance with the guidelines set out in the “Methodological recommendations for determining the sources of acquisition of state archives” (Kyiv, 1992). These lists are considered at the EVC meeting and approved by the state archive director. Their internal structure corresponds to the structure of state authorities, local self-government bodies, the list of branches of the

national economy, science and culture. Within the industry, institutions are placed in a logical sequence by groups of institutions and organizations of the same subordination.

It is important to remember that the quality of formation of the NAF of Ukraine and the effectiveness of its use depend on the correct completion of each state archive.

## **8. Working with sources of acquisition of the state archive**

An important prerequisite for optimizing the acquisition of state archives is methodological work with the sources of their acquisition. As it has already been mentioned, in each institution (organization, enterprise) there is an archive department, whose main tasks are:

- systematic acquisition of the archive with documents of structural units within the established period – 2 years after the end of the records keeping year, documents of personal origin with the knowledge and supervision of the state archive;

- performing a full range of works with documents stored in the archive division – ensuring their safety, accounting, value assessment, scientific and technical processing and use;

- providing methodological guidance and control over the activities of records keeping and archival services both in their institution and in the subordinate network of institutions, enterprises and organizations of the system;

- transfer of documents of the NAF of Ukraine for permanent storage in the relevant state archive within the established deadline.

The functions of the archive department are:

- maintaining lists of institutions and organizations whose documents are subject (list No. 1) and are not subject (list No. 2) to transfer to it for departmental storage;

- providing the full range of measures to ensure the safety of documents;
- accounting of the documentation and compiling the necessary SRA (Scientific and reference apparatus) for it;
- carrying out scientific and technical processing of documents stored in it, and provision of methodological and organizational assistance to structural divisions in carrying out this work;
- finding unique and especially valuable documents; creation of a security fund of microfilms for subsequent transfer to the state archive;
- ensuring the compilation of statistical reports within the established deadline, as well as annual information on the composition and volume of materials available in storage; issuing documents for the employees of the organization to practically use them, as well as for researchers to work in the reading room;
- complying with the requests of organizations and applications of citizens of a social and legal nature; development or participation in the preparation of regulatory and methodological documents on the activities of the records keeping and archival services, making proposals to the organization's management concerning their activities improvement.

The archive department has the right to give instructions to structural units and accountable organizations on records keeping and archival issues and receive the necessary information for work from them.

Depending on the stock documents and the tasks of their storage, the following types of archives can be formed in the archive departments of institutions:

- central archive of a ministry or department, public organization for storing both its own documents and documents of organizations directly subordinate to them, if necessary, documents of other organizations;
- pooled archive for storing documents of the same type of institutions of the system or related by a single subordination;
- pooled interagency archive for storing documents of institutions of two or more systems;
- an organization's archive storing only its own documents.

The formation of a full-fledged composition of documents in such an archive begins at the stage of recordkeeping. The scientific organization of records keeping provides for the compiling of a specific nomenclature of cases for each institution. Nomenclature refers to a systematic list of headings of cases initiated in the current recordkeeping of organizations. It is compiled according to the structural units provided for in the staff list, and is printed on the institution's letterhead with the following columns: case indexes, their headings, number, and storage period of documents with reference to the corresponding article of the departmental list. The nomenclature of cases is approved by the EC and approved by the management of the institution after approval by the EVC of the relevant state archive.

There are the following types of nomenclatures: specific, standard, and exemplary. A specific nomenclature of cases is a systematized list of cases provided for opening in a particular organization for a calendar year in accordance with the functions of this organization and the tasks of the recordkeeping year. A standard nomenclature of cases (a systematized list of specific case headings) is intended for homogeneous organizations (for example, small or joint ventures) and is mandatory for each of them. An exemplary nomenclature of cases is formed for certain groups of institutions and organizations (for example, the system of rural local self-government bodies) and is of a recommendatory nature. Each institution of this group selects from the available list only those headings of cases that will start and change (clarify) them in connection with their specific tasks.

Basic requirements for the nomenclature of cases are:

- a) cover all cases initiated in records keeping with a list;
- b) the headings of cases and their storage periods should fully reflect the composition and content of the documents contained in them.

The nomenclature of cases is closed annually, that is, the results of the recordkeeping year are summed up, indicating the number of cases started, their distribution by category depending on the storage period. So, the nomenclature of cases is the main accounting document at the stage of records keeping.

During the second year after the end of cases in the records keeping, the appraisal of their scientific and practical value is carried out and cases are prepared for transfer to the departmental archive. At the same time, they carry out full or partial registration of cases (filing or binding works, numbering sheets, laying certification sheets and internal descriptions of cases, making covers, setting deadlines for cases), compiling and executing descriptions of a structural division. Direct transfer completes this process.

The responsibilities of the archive department include step-by-step preparation and registration of annual sections, and then summary descriptions of cases of permanent, long-term storage and personnel. All these descriptions are subject to consideration and approval at the meeting of the EC of the organization and the EVC of the relevant state archive. At the same time, the archive division fulfills requests from institutions, organizations, individual citizens (including social and legal ones), carries out cultural and educational work, organizes the work of the reading room, and takes into account all forms of use of archival materials.

The state archive, within its functions and competences, carries out methodological guidance and control over the work of recordkeeping and archive divisions of institutions and organizations, namely provides them with methodological and practical assistance; offers consultations; performs scheduled and unscheduled inspections; conducts public reviews of the state of the organization of records keeping and the work of archives; provides assistance on a self-supporting basis in compiling nomenclature of cases, classifiers, instructions for records keeping, arranging arrays of documents of liquidated and reorganized organizations; studying, summarizing and spreading best practices; improving the professional skills of employees of the Registry office and departmental archives, etc.



**CREDIT 4**  
**WORK ORGANIZATION OF ARCHIVES. CLASSIFICATION OF**  
**ARCHIVAL DOCUMENTATION**

**LECTURE 12**  
**ACCOUNTING AND SEARCH TOOLS OF ARCHIVES. ENSURING THE**  
**SAFETY OF DOCUMENTS**

**Plan**

- 1. Archival description: concept, types, principles and methods**
- 2. Accounting and security work of archives**
- 3. Archival directories in the scientific and reference apparatus system:  
functions and structure**
- 4. Peculiarities of material basis of documents and methods of  
information recording**
- 5. Aging of documents**
- 6. Document storage technology**
- 7. Restoration**

**1. Archival description: concept, types, principles and methods**

Among the processes of archival activity, description has very important functions. The sequence of descriptive works can be traced to the following diagram, which outlines the place of archival description in the system of archival technologies.

Description is an important link in the technological cycle of organization of archival documents for their storage and using. Description completes the stage of systematization of documents, creates the basis for their scientific and technical

processing, accounting and storage, and it starts a new stage, i.e., organization of the scientific and reference apparatus of the archive.

Thus, description is the core of archival work, which focuses on the consolidation of organized systems of documents and their identification; conducting of accounting works and providing control and protection tasks (functions); creation of systems of physical and intellectual access to archival documents and information contained therein. Description of archival documents is not a technical job, as it may seem at first glance. This is an important scientific work, the quality of which influences both the reliability of document protection and the efficiency of using their information.

Description of documents is the subject of not just one science, but several. For example, bibliography develops rules of description for printed publications, archeography is for the publication of written documents, codicography is for manuscripts, and Archival Studies develops the theory and methodology of description of documentary materials delayed as a result of the activities of organizations, institutions or individuals and intended for archival storage. The result of description of different types of documents, respectively, is bibliographic, archeographic, codicographic, and archival descriptions.

Archival description is the process of selecting representative information characteristics of the object of description for its adequate reproduction in a descriptive article (model) in order to identify archival material, reveal the content of documents and document systems that created them.

In order to characterize archival description, the following main aspects determining the essence of this process can be distinguished:

- 1) the purpose of archival description is to create accurate, adequate reflections of archival documents that would help the user to understand their contents and determine their placement with minimal assistance;

- 2) for identifying the object of description, it is necessary to select its most important characteristics in order to reveal with their help the contents of documents;

3) the characteristics of the documents must be laid out in a descriptive article, which will represent (introduce) the documentary information.

The elements of the archiving description also include: a code (abbreviated name of the archive, fond number, description number and serial number of the file in the description); annotation of documents; determination of originality or copying of documents, degree of completeness (“scattered sheets”, “without a beginning”, etc.), method of reproduction (a manuscript, a typewritten item, a printed item, hectograph, etc.); external features of the archiving and documents (material basis of the documents: silk, parchment, birch bark, paper; cover material: leather, wood, etc.; presence of decorations; language of the documents); name of the fond (full and in brackets officially accepted abbreviation of the name of the provenance institution, its subordination, placement, chronological framework of the fonds; name of the institution structural part); archiving number; deadlines for the archiving documents; and number of sheets.

Thus, archival description lays foundationis for access to archival documents, allowing for their use, and helps to solve an important social task of society, i.e., realization of the human right to information.

## **2. Accounting and security work of archives**

Accounting is a set of measures/operations that should ensure the recording of archival documents, as well as receiving information on the volume and composition of archival collections and their placement. Accounting is one of the main functions of an archival institution along with the tasks of storage and use of archival documents. The essence of accounting is to determine units of accounting of archival documents and principles of systematization of accounting data in specific documentation (in the system of specially created accounting forms); to record in accounting documentation facts of condition and movement of documents/groups of documents; to state the number of documents/groups of

documents and changes which occur in certain units of accounting and reflection of these data in an accounting documentation; and to systematize data on volume, composition and movement of archival collection.

The following requirements are put to the accounting of archival documents.

Firstly, during accounting and protection processes it is not allowed to violate the structural organization of archival documents, made at the stage of systematization and funding on the origin principle of documents. The main units of accounting are groups of documents formed into archival fonds and storage units (archival work). In these units of measurement, such as archival fonds and storage units, accounting data are recorded in the accounting documentation. This is the requirement of unity of accounting with the structural organization of archival documents.

Secondly, accounting should correspond to the structural organization of the NAF (*the National Archival Fund*) documents, which begins in the process of record keeping and ends in state archives. The accounting data should consistently concentrate, as well as the documents themselves, on each complex, starting with the smallest, i.e., the archiving file, and then generalized by the fond, and then by the archive. The data from the archives are sent to the central archival service, where they are concentrated in the Central Fund Catalog. Such procedure ensures the availability of data on the volume and composition of archival collections at all structural levels of the NAF. Concentration of accounting data also contributes to consolidation of organization of archival documents by created complexes and ensures realization of the principle of unity of accounting with the system of documents storage. Until recently, this system of data concentration in a region or a state was called centralized accounting of archival documents.

Thirdly, all documents stored in the archive, including undescribed and non-core documents for a particular archive, copies of insurance fund documents and copies of the usage fund, as well as recording and accounting documents themselves, including descriptions, are subject to accounting.

Authenticity and accuracy of accounting are ensured by the reliability of the primary data, i.e., the quality of information transferred to accounting forms from originals, mainly from various acts, as well as clear and legible documentation upon entry or withdrawal of each accounting unit.

The efficiency of accounting is also important. An untimely recorded document is at risk of being lost, while efficiency speeds up the provision of information about the document to the user and its issuance.

Another requirement is the unification and stability of accounting units in the NAF, which facilitates the placement and storage of archival documents and the verification of their availability. Measurement of quantitative and qualitative composition of archival collections is based on the main classification unit, which is an archival fonds, which is equal to archival collection and united archival fonds. As we can see, these are rather large sets of archival documents. The archival fonds as a unit of accounting provides data on the quantitative composition of the NAF. At lower levels of accounting, for example, at the level of an archival fonds, the relevant information is displayed by means of a storage unit (archival work, photo album, map, film roll, etc.). At the level of a storage unit, the limit of accuracy is “sheet” and “document”, but they are not used in accounting forms at levels higher than a storage unit.

In foreign practice, accounting documents also provide primary accounting of large complexes of documentary materials united by origin and stored in state archives. In France, the units of accounting are serials, while in Great Britain they are archival groups, and in the USA, they are documentary groups. Although they have different names, but they are complexes of documents equivalent to our archival fonds and are classification and accounting units. Along with them, the units of accounting are also “metropolysia” (length of shelves), physical volume of documents, etc.

Thus, the unit of accounting for archival documents is a unit of measurement of the number of documents (sheet, document, archival file, archival fund, project, set of film or phono document, running meter, etc.)

Information on the state of archival collections is dynamic and constantly changing: documents are constantly received or removed from the archives, new archival directories are created, documents are transferred from one archives and funds to another, and intra-fund systematization is improved. Changes in archival documents are recorded in accounting forms.

Accounting forms are a system of special documents, which are necessary and sufficient for the correct reflection of quantitative parameters of archival collections in their dynamics, explained by means of qualitative characteristics. In the process of accounting, there are two stages: accumulation of base primary data and their further processing and reflection in accounting forms. At the first stage, facts expressed in quantitative or qualitative indicators, taken in static or dynamic indicators, are recorded and presented, as a rule, in “acts”. On the basis of the acts, accounting information is generated and processed at the second stage and reflected in the established forms of accounting.

The documents of the established form record: entry and withdrawal of documents, number, composition and movement of archival documents/groups of documents. This archive documentation is called accounting documents and is intended to control the safety of archival documents. In addition, accounting documents consolidate the organization of archival documents by certain classification groups (fonds, archival files), determine their placement in the archive, providing the possibility of targeted search of archival documents. Accounting documents help to establish the total volume of the archival fonds, archive, group of archives and even the entire NAF. Statistical data on the size and composition of archival collections are used as a management tool and help to organize planned, scientifically grounded stocking of archives and the entire NAF, as well as other types of work on storage and use of archival documents.

Thus, the accounting has to perform the following functions: control and protection, focused on the organization of effective protection of documents and control of their availability and condition, and regulatory, aimed at maintaining the level of orderliness of archival collection and its improvement.

### **3. Archival directories in the scientific and reference apparatus system: functions and structure**

In archival institutions, searching for documents and informing about their composition and contents is provided by archival directories, the creation of which is an important component of the archive activity as a guarantee of active use of archival information. “Only that archival repository deserves to be called a scientifically organized institution, where materials are properly adapted and constantly adjusted for their comprehensive use,” noted V. Veretennykov, referring to the development of archival directories.

The complex of interconnected archival directories, including electronic ones, created on the unified methodological and methodical principles, designed to reveal the composition and contents of archival documents at all levels of the system and to search for primary documentary information, constitutes the system of scientific and reference apparatus (SRA) to the NAF documents.

All directories, depending on their functions (control and accounting, accounting and search, information and search), are divided into the following groups: a) archival accounting documents (a book of entries, list of archival fonds, fond sheet); b) the CFC, archival description; c) catalogs, directories to funds, indexes, and document review.

The system of scientific and reference apparatus is adapted to the existing hierarchy of archival document complexes in the NAF and reproduces their composition and contents at different levels. Thus, the directory “State Archives of the Ukrainian SSR” (Kyiv, 1988) provides brief information on the composition and contents of archival funds of the whole state, while the guide to a particular archive provides information at the level of archive-fund, the review of the fonds is at the level of fund-archival file, the catalog is at the level of archival file-document. The existing types of directories are constantly improved in the system of scientific and

reference apparatus, and new ones are created in accordance with the principles of its construction:

- a) interconnection and complementarity among directories;
- b) clear and specific functions of each directory;
- c) unity of the methodology of creation of scientific and reference apparatus and ensuring unification of creation of each type of reference book;
- d) continuity of types of scientific and reference apparatus with records keeping, departmental archives, all levels of state archives and automatic information search is as a final stage.

Depending on the documentary complexes presented in the directories, all archival directories are divided into:

inter-archival, which provide accounting and information search in the whole country, as well as in a region, a group of archives, the CFC, directories to archives, subject guides, and thematic reviews;

inter-funds, which provide search of documents for a particular archive, a list of archival funds, directory to archival funds, catalogs, thematic reviews, archival funds indexes;

intra-funds, which provide accounting and search of documents for a particular archival fund, i.e., fond sheet, archival description, index of fond descriptions, fond review.

All accounting documents and archival directories, interacting and complementing the system, create the necessary conditions for access to archival documents: they provide accounting and control over the preservation of archival materials, as well as provide information on their availability, contents and placement.

All archival directories are divided into types, and then they are subdivided into types (subtypes). The type of a directory is determined by its intended purpose in the system of scientific and reference apparatus. There are the following types of archival directories: archival description, archival catalog, directory to the archival funds, indexes, and document review.



Depending on the object of description, its aspect, degree of detail, each archival directory has its own types, and within each type there are subtypes. Let's consider the main ones, first of all, the archival description. Its compilation precedes any further archivist's work in creating other types of information and search directories (reviews, guides, catalogs). It is to reveal the composition and contents of archival files, to consolidate their systematization within the fonds, and to account files. Descriptions are compiled in office management and archival units of institutions; in state archives, descriptions are compiled for undescribed documents received by the archives, as well as when processing poor quality descriptions.

The name index contains secondary documentary information of archives about people, who are authors of documents or are mentioned in documents, and is a list of surnames, names, pseudonyms, nicknames arranged in alphabetical order. Subheadings are the names of certain aspects of person's activities or categories of documents. For example: Hrushevskiy Mykhailo Serhiiovych (heading). Subheadings: Biographical materials. Scientific activity. Publications. Manuscripts. Public activity. Speeches. Government documents signed by M. Hrushevskiy.

The name catalog is essential in the daily scientific and reference work of every archive. It helps to familiarize with the personalities the archive contains materials about. If there is a large number of such documents, the catalog is compiled to facilitate the work on issuing archival certificates of social and legal nature. Its cards contain information on surnames, names, patronymics and references to archival files containing information about this person and are arranged in alphabetical order of surnames.

The geographical catalog contains secondary documentary information about geographical and topographical objects (seas, rivers, lakes, cities, etc.). It can be either independent or a part of a subject catalog, and collects information on archival documents of a particular archive by headings with geographical names. The headings are arranged in alphabetical order, and the subheadings are in logical order or alphabetical one. For example, Heading: Mykolaiv. Subheadings: History. Districts. Population: number and composition, migration. Educational institutions,

etc. Having such a catalog, an archive can quickly provide information on documents related to the history of cities, factories, educational institutions, although the catalog on the history of institutions can be created separately (by name, in alphabetical order).

Thus, in the NDA system, each type of archival reference book is created to perform certain functions (accounting or information retrieval), at certain levels of document complexes (the NAF, group of archives, archive, fond, file). The increase of the information capacity of archival collections depends on the how well archival directories represent the fonds information riches.

Thus, description of archival documents is an important component of the theoretical basis of archival technologies (scientific and technical processing, accounting, storage of archival documents and organization of the NDA), which create a system of access to archival documentary. Despite the fact that archival description has different tasks at different stages of the technological cycle of archival documents processing and is divided into identification, accounting, special types, they have a common methodology, which consists in determination of information characteristics of archival documents at the first stage of archival description; in selection of those that would serve for identification, accounting and security or scientific search functions at different stages of description works. In other words, at all stages – from file accounting to writing a catalog card – it is the process of selecting and reproducing in a description such characteristics of archival documents that would help an archivist or any user at further stages of archival, reference or research work to identify material among others and to determine its placement and use for any purpose.

#### **4. Peculiarities of material basis of documents and methods of information recording**

Paper has been the most widely used material for making documents for the last millennium. It primarily consists from plant fibers, appropriately processed and joined into a thin sheet in which the fibers are bound together by surface adhesive forces. In addition to vegetable fibers, synthetic organic fibers and mineral fibers (asbestos, glass, etc.) are increasingly used to produce special kinds of paper. In other words, paper is a complex multicomponent system consisting of cellulose fibers, fillers, adhesives and coloring materials.

It is believed that the word “leaf”, which has two meanings (a piece of paper and a tree leaf), indicates that our ancestors wrote on tree leaves. The Latin word *liber* also has two meanings: bark and book, which indirectly indicates the ancient use of bark for writing. Paper was first mentioned in 12 B.C., and it was used for writing books as early as in 76. Paper was invented in China. The raw materials for paper were fibers of animal origin: raw silk and silk waste. Later, plant materials and bast fibers of mulberry, bamboo, hemp, straw, hardwood, cotton, flax, harness, and reeds were used. In 105 AD, the basic technological principle of papermaking was invented here: the formation of sheet material by precipitation and interweaving on a mesh of ground thin fibers diluted with a large amount of water. In Europe, papermaking began in the 10<sup>th</sup> century. In the 11<sup>th</sup> century, the equipment used to break rags into fibers, consisting of a stone mortar and a wooden pestle, was set in motion by water using a mill water wheel. In Ukraine, the first paper mills were established in Galicia (near Yanov and in Briukhovychy, near Lviv) in 1522-1529. The first paper mill in the Kyiv region (in Radomyshl) manufactured paper for the Pechersk monastery. For state needs, paper was made from hemp and flax fibers with appropriate watermarks. In Russia, the first mentioning of a paper mill, located about 30 km from Moscow, was made in 1576. Those time paper factories were called paper mills. In 1799, a paper machine was invented in France, which began making paper in 1805. Thirteen years later, a paper machine was installed in Russia

at the Peterhof Paper Mill. Since its invention, the papermaking machine has been greatly improved, being transformed from a small sheet-molding machine into a complex, highly mechanized unit where water-diluted mass was fed from one end and dry paper was wound into rolls on the other.

The lifespan of a paper-based document is largely determined by the original (initial) properties of the materials it is made from, as well as the manufacturing technology. Paper and most dyes were complex in their chemical composition and material structure. Knowing some of the characteristics of paper and dyes, one can predict the storage period of a document made of them. The most important indicators for archival practice are machine direction, thickness, weight per 1 m<sup>2</sup>, and paper acidity.

Machine direction. During the paper manufacture paper mass was poured onto a continuously moving metal grid on a paper machine. The direction of metal grid was called machine. The cellulose fibers in a paper sheet are mostly directed along the machine (longitudinal) direction. The direction perpendicular to the longitudinal direction is called the transverse direction. One and the same paper sheet has different numerical values of some characteristics in the longitudinal and transverse directions, which is taken into account when performing bindery and restoration work.

Dyes of different classes are used to make inks: arylmethane (mostly acidic) azo dyes, dioxant dyes. Other ink components are glycerin, sugar (thickeners); phenol, formalin (antiseptics); ammonia and hydrochloric acid (as pH regulators).

Pencil. Archives contain documents with text and notes made in pencil. The preservation of such texts largely depends on the durability of the pigments in the pencil mass. Black graphite pencils began to be produced in the late 18<sup>th</sup> century. Their cores are composed of a mixture of graphite and clay. The light and chemically resistant texts are mostly those written in black graphite pencils. However, at the same time, such texts suffer from mechanical stress due to the weak connection between the graphite mass and the paper.

Typewriting. The first typewritten documents date back to the late 19<sup>th</sup> and early 20<sup>th</sup> centuries. Many valuable documents have been preserved only in typewritten form and their number continues to grow, so great attention must be paid to their preservation. The archives keep both the first copies and copies made using copy paper. The strength and lightfastness of the first copies of typewritten text depend on the quality of the constituent substances of the mass with which the tape is impregnated. There are many types of ribbons that differ in color and purpose. Black texts are the most resistant to light, temperature, moisture, and air oxygen, while purple and green texts are the least resistant. Copies made using copy paper are less resistant to preservation.

Stamp inks are used to apply variable details to documents (date of receipt, incoming and accounting numbers). Most stamp inks are made up of synthetic organic dyes, which make them short-lived.

New types of paper-based documents are those produced by means of copying and duplicating equipment. The durability of such documents depends not only on the chemical composition of the paper media and the means of applying the text, but also on the method of its production. The main reprographic processes include diazography, electrography, thermography, and photocopying. As a rule, documents made by electrographic printing, the most common universal method that provides high-quality copies, are stored for safekeeping. Other copying methods are designed to reproduce special types of documents or to make short-term copies. Copies of design and construction documents are mainly made using the diazo-graphic method, as the contrast of thermographic copies decreases during storage.

Rapid reproduction processes include offset, screen, and hectographic printing. Text on prints is obtained by transferring ink from the printing plate to the print material (paper, cardboard). The most light-resistant text is printed using inks containing carbon black.

### **Documents on film carriers**

Archival documents on film carriers include film documents, photo documents, audio documents on magnetic tape, microfilms, and video documents.

For their production black-and-white and color films, and photographic films, roll and format photographic films, magnetic tapes are used. By their structure, film and magnetic tapes consist of a base made of any polymer on which a photosensitive or working layer is applied. Crystals of photosensitive silver salts are dispersed in the photo layer, and magnetic powder is dispersed in the working layer. The safety of such documents largely depends on the initial physical and mechanical properties of the polymer films. The duration of their storage depends on the chemical resistance of the polymer films, in particular to sunlight, aggressive environments, fire, etc.

Documents on film media are subjected to repeated tensile and shock loads, bends and distortions in the tape mechanisms of equipment during use and control. Film and photographic documents are exposed to intense light and heat when projected onto a screen, and come into contact with acidic and alkaline environments during photographic and restoration processing. All this can lead to changes in the physical and mechanical properties of films during storage and use. In this regard, the characteristics that give the most complete picture of changes in the physical, strength, and surface properties of film materials are subject to measurement. These include: geometric characteristics (width and thickness of the tape, and thickness of the substrate); strength characteristics (strength under smooth loading, elongation at break, strength under impact loading, and adhesive strength).

### **Film documents**

A film document is an audiovisual or pictorial document, whose content is transmitted using cinematographic technology. As a rule, a set of film documents is accepted for storage. The set includes a negative image, a negative background, and an intermediate positive, a control positive copy included in the loan stock, and installation videos and passports for color film documents.

The basis of a film document is the film, which is a multilayer system. Black-and-white films consist of a polymer base and a gelatin layer in which crystals of photosensitive silver salts are dispersed. Color films consist of a base, a sublayer, emulsion color distributors and protective layers.

Photographic gelatin formed by boiling bones, leather, and other animal origin materials is used to make the photographic layers of all film materials. For color images, the photographic layer of domestic film includes dyes (yellow, magenta, and cyan), as well as wetting agents, tannins, metallic silver, and potassium ferrocyanide. Formalin, glyoxal, chromium acetate, and chromium alum are used as tannins.

The basis of the photosensitive layer of film documents is polymer films: cellulose nitrate, secondary acetyl cellulose, partially hydrolyzed cellulose triacetate. A nitrocellulose film consists of coloxylin, camphor, alcohol, water, and high-boiling solutions. These films are of high physical and mechanical qualities and were gradually replaced by cellulose acetic acid ester bases due to their flammability. Acetyl cellulose is an ester obtained from the reaction of cellulose hydroxyls with acetic acid. The basis of domestic films consists of film-forming substances (cellulose triacetate), plasticizers (dibutyl phthalate, triphenyl phosphate), and heavy volatile solvents (butyl alcohol).

### **Microfilms**

A microfilm is a set of microphotographic copies of documents on roll film, united on the basis of some common feature. The main types of microfilms are roll microfilms in a section, microfiche, aperture punch cards, and jacketed cards. Roll microfilms on perforated and non-perforated photographic film 16 and 35 mm wide are used to obtain backups.

The reserve fund of the NAF of Ukraine is created for the purpose of storing valuable information in case of loss or damage to the originals. For paper-based documents, negative microfilms are used as backups. The microfilm of the reserve fund is intended for making microfilms of current use and duplication of the document in case of its loss. The compactness of microfilms creates conditions for the development and use of mechanized and automated systems to ensure quick search and prompt duplication of any documents, regardless of language, format and content.

Microfilms are a part of a roll film at least 230 mm long, which contains several dozen frames. They are used to store small documents with high intensity of use.

Microfiche and microcards (several microfiche) are flat formatted microfilms. Microfiche is a 105x148 mm film sheet that contains from 60 to 3200 frames, depending on the reduction factor.

Recently, silver-free photographic materials, such as vesicle films, have been used to produce positive copies and negative microfilms. The photosensitive layer, which is applied to a transparent polyethylene terephthalate base, is a thermoplastic polymer in which dioxonium salts are dispersed. The use of new materials makes it possible to make a copy in a normal (non-darkened) room within a few seconds. This significantly reduces the consumption of silver, provides copies with a high reduction (up to 42) and high image stability, and simplifies the technological process of making copies.

### **Photographic documents**

A photographic document is a document containing image information recorded by photographic means. The archives store negatives of photographic documents, and in their absence, positives are as originals. They are based on glass, photographic film, paper, and metal.

In the first years of photography development, glass was the basis. It is still used today in cases where photographic documents require exceptionally high image stability over time, in particular in astronomy and spectrometry. There are photographic documents made on celluloid sheets.

Nowadays, negatives are made on triacetate film, the structure of which is similar to that of film. Ukraine produces a wide range of black-and-white and color photographic films, including double-negative film, color negative photographic and photo technical films. In recent years, the production of polyethylene terephthalate-based photographic films has been growing.

### **Phono documents**



The information of phono documents is recorded by any sound recording system. Each phono document is a separate, thematically complete recording of a certain event, performance, or work of art. Three groups of phono documents are distinguished by the materials of the storage medium: those with mechanical (electromechanical), optical and electromagnetic sound recording.

The group of mechanically recorded phonorecords includes phonographic rollers, gramophones, and shorinophone tapes. Phonographic rollers are the oldest type of direct playback sound carrier that has no duplicate. Phonographic rollers are hollow cylinders with a diameter of about 5 cm and a length of about 12 cm. The soundtrack is applied to the surface of the roller in the form of a spiral line with a depth of 1/6 mm to 1/4 mm. The phonographic roller is coated with a mixture of wax, paraffin, ceresin, and stearates. The main disadvantages of these sound carriers are weak sound intensity, limited frequency range (up to 2000 Hz), rapid trigger and the inability to duplicate phonograms. Gramophone platens are molds for reproducing metal matrices used for pressing gramophone records. A gramophone platen is a flat nickel disk 330-340 mm in diameter and 0.5-0.6 mm thick with a center hole 8-10 mm in diameter. The tape of a shorinophone is a celluloid film with several parallel sound grooves on its surface. Magnetic copies of these documents are kept in state archives, and the tapes themselves are subject to special storage.

### **Machine-readable documents**

Machine-readable documents include punched tapes, punch cards, magnetic tapes, cards, and disks. These media are intended for encoding information and controlling the operation of automated machines, and they are the means of entering information into computers. Punch tapes and punch cards are media for mechanically recording codes. Punched tapes are made of thick paper with a thickness of about 0.1 mm and a width of 17.5, 20.5, 22.5, and 25.4 mm. They are the main carrier of data entry information. Machine punch cards are rectangles (187.4 x 82.5) mm made of thin, thick cardboard. Special tape punch cards are used to record the program of operation of printing machines. Information on punch tapes

and tape punch cards is recorded in the form of holes with a perforation pitch of 2.5 mm and a diameter of 1.8 mm.

Magnetic tapes, cards, and disks are used to record programs and algorithms. The basis of the magnetic tape is cellulose acetate and polyethylene terephthalate, its thickness is (25-85) microns, and its width is (6.25-50.8) mm. Magnetic cards are made of acetyl cellulose with a magnetic coating. Magnetic disks are several aluminum plates with a double-sided magnetic coating that rotate around a central axis. They are used as blocks of computer storage devices.

### **Video documents**

Video documents are magnetic recordings of image and sound information on tape. The magnetic tape for video recording is similar in structure to the tape for audio recording, but it has higher operational requirements. Firstly, the frequency range transmitted during video recording is 500 times wider than during audio recording; secondly, the high relative speed of movement and significant pressure between the tape and the head create difficult operating conditions. That's why video recording tapes are made with a flexible and thin (25-37) microns base, and the working layer (10 microns thick) is made of magnetic powder with small particle sizes dispersed in a binder.

## **5. Aging of documents**

The components of documents (paper, printing dyes, glue, ink, etc.) undergo physical, chemical and mechanical changes over time, which are called natural aging of the material. The aging process is irreversible and is accompanied by changes in the chemical composition of paper and a decrease in its mechanical strength. Paper becomes brittle over time and can break into fragments. The text fades, wanes, and in some cases crumbles (dyes, ink, and pencil). Adhesives of plant, animal and synthetic origin also undergo similar changes.

Aging of documents is a very complex process, the nature of which is not yet sufficiently understood, since its course is influenced by many factors, and, above all, by the type and chemical composition of the fiber materials, adhesives, fillers and dyes used to make the document base, the acidity of the water extract, the presence of acids, metal salts and other components. The aging process is influenced by storage conditions: relative humidity and ambient temperature, the degree of air pollution and the content of various gases, the nature of changes in these factors; exposure to light (ultraviolet and infrared radiation); and factors that cause biological destruction of the document. Therefore, the resistance to aging of materials is understood as a system of measures that increase the ability of documents to withstand the destructive effects of external and internal factors.

### **Physical and chemical factors of document destruction**

Long-term storage of a document increases the harmful effects of light, heat, moisture, and dust on its material base. As a result, the materials that compose a document gradually deteriorate. Light is the main physical factor that causes the rapid destruction of a document. The rate of destruction depends on the spectral characteristics, intensity, and duration of the radiation, as well as the ability of the document to absorb light energy. Paper reflects most of the light rays. Infrared rays heat it up, while ultraviolet rays cause the destruction of cellulose molecules, which reduces its molecular weight and the content of  $\alpha$ -cellulose, the most stable and durable part of cellulose. Paper turns brown when exposed to light and loses its mechanical strength and elasticity.

Light protection is achieved in various ways: by installing special window panes that absorb ultraviolet rays; applying light-scattering coatings to ordinary window panes, such as titanium whitewash in an amount of 25-40 g/m<sup>2</sup>; fireproof curtains or blinds; and placing filing cabinets in places protected from direct sunlight.

The main factors that ensure the safety of archival documents are temperature and humidity. They are closely interrelated, so they should be considered together. Natural aging of paper is mainly caused by oxidation processes under the influence

of air oxygen. As a result of complex transformations in cellulose, heat, water, formaldehyde, carbon monoxide are released and water-soluble cellulose degradation products are formed. Increased temperature and humidity accelerate these transformations. In cases where documents are stored in piles and poorly ventilated, localized temperature increases and favorable conditions for mildew growth are possible.

### **Aging of film materials**

Aging of film materials is a process caused by irreversible changes in properties during long-term storage and operation of documents. It occurs as a result of physical, chemical and biological processes that occur under the influence of air temperature and humidity, light, radiation, aggressive environments, mechanical deformation, etc. Physical processes of film aging are an evaporation of volatile components (plasticizers), relaxation of chains or sites in anisotropic oriented systems, etc.

Chemical transformations during the aging of film materials are mainly caused by the processes of destruction and structuring (crosslinking) of macromolecules. Polymer degradation, which consists in the breakdown of the polymer chain, leads to a decrease in the molecular weight of the polymer and deterioration in the mechanical characteristics of the material. Structuring of the polymer consists in the formation of transverse chemical bonds between macromolecules and causes an increase in brittleness of the material. When a polymer ages, both degradation and structuring processes can occur simultaneously. Depending on the predominance of one of them, the material either softens or becomes brittle. Biological aging processes are understood as processes caused by the activity of living organisms that develop on polymeric materials.

### **Aging of film and photo documents**

During the storage of film and photographic documents, their natural aging occurs, and their sensitometric parameters, such as light sensitivity, contrast, veil density, etc. change significantly. Under conditions of elevated temperature and humidity, physical and chemical, and biological processes are accelerated in the

color image carrier, i.e., gelatin. The chemical process of gelatin hydrophobization, i.e., a decrease in water affinity and an increase in brittleness, is characteristic of this process, accompanied by the evaporation of the volatile component, water, which is a gelatin plasticizer, at elevated temperatures. The natural aging process of a colloidal system is coagulation, which leads to an increase in image contrast and the disappearance of halftones. These processes play a crucial role in the formation of shrinkage, flatness, and brittleness of film and photo documents.

The most difficult task is to ensure the physical and chemical preservation of particularly valuable color film documents. The main difference from black-and-white documents is that the image in them is created by organic dyes. Due to the instability of this image, the storage life of color film documents is several times shorter than that of black-and-white ones.

A special place in the aging mechanism of color documents is occupied by biological processes, which, under appropriate temperature and humidity conditions, are intensively carried out in a protein nutrient medium, i.e., gelatin. The fungal activity causes the gelatin layer to be destroyed and liquefied.

Aging of film documents can occur under the influence of radiant energy, i.e., electromagnetic vibrations with different wavelengths, ambient temperature and humidity, and aggressive environments. During the storage of color documents, dyes discolor and new colored products are formed. Studies have shown that dye fading is the result of chemical redox processes caused by the action of oxygen on a dye molecule activated by light or heat. Therefore, the main task of archival workers is to restrain these destructive processes by all means.

### **Biological damage to documents**

Damage to documents caused by bacteria, microscopic fungi, insects, and rodents is referred to as a biological one. It occurs when temperature and moisture and sanitary-hygienic storage conditions are not maintained, there is no constant physical condition monitoring of documents, and timely and effective measures to prevent and combat biological damage are not taken.

Currently, there are about 400 species of fungi and insects found on documents and books. Microscopic fungi cause the most damage. They can damage documents on paper, tracing paper, fabrics, wood, leather, parchment, and metal, as well as wax and wax seals, film and photographic documents. Fungal damage has many manifestations, namely the growth of colonies contaminating the surface with plaques and spores, the penetration of mycelial filaments and fruiting bodies into the fibers of the substrate, and the release of many metabolic products that act independently as chemical reagents or stain documents. Fungi break down cellulose with enzymes, turning it into a living substrate for their life.

When the air humidity exceeds 70%, capillary condensation occurs, which contributes to the emergence and spread of fungi. When fungal spores germinate, the paper capillaries are filled with mycelium, which causes hydrophobization of the paper and changes in its properties, including flexibility, elasticity, etc. Fungal spores also affect synthetic materials, destroying the plasticizers of the working layer and the acetyl cellulose base of film and photographic documents and adversely affecting them with chemical products formed during the destruction process, such as enzymes and acids. All this requires strict adherence to the technological rules of document storage.

## **6. Document storage technology**

### **Physical and chemical treatment of documents**

#### **Dust removal**

One of the important conditions for document storage is dust control. Dust penetrates the storage facility from the outside and is formed in it due to abrasion of walls, floors, packaging materials, and the documents themselves (internal cause). Dust spoils the appearance of documents, sometimes to the point where the text is unreadable.

Dust particles are electrically charged, so they settle and are firmly held by the paper, and mineral dust particles, penetrating the paper between the fibers, damage the cellulose fibers, causing a decrease in mechanical strength. The layer of dust that covers the document disrupts air exchange in the document, contributes to the moisture increase and biological damage. Dust is the main carrier of fungal spores and sometimes insect eggs.

Dust absorbs moisture from the air and some gaseous substances harmful to paper. This creates areas of high moisture on the paper. Aggressive substances absorbed from the air destroy paper. Therefore, you should regularly clean your documents from dust.

Dust particles that settle on film and photo documents are held on their surface by electrostatic forces. Under the influence of heat, friction, and pressure, they take root in the working layer of the tapes and cause contamination. Dust accumulation on a single coil of magnetic or film tape can appear as a protrusion on the roll and cause deformation of its outer layers.

To eliminate the internal cause of dust formation of walls, ceilings, partitions, and shelves must be treated with a durable, fire-resistant, and non-dispersive material. Beams, pipes, or other overhangs on which dust could settle should not be constructed. Particular attention should be paid to the flooring of the storage facilities, which should be flat and smooth.

An effective and radical way to combat outdoor dust is to seal the premises, filter the air with air conditioners by passing it through oil filters, and water dust. Pure water absorbs almost 50% of SO<sub>2</sub>, while alkaline water (pH 8.5-9.0) absorbs almost 100% of SO<sub>2</sub>. It is necessary to regularly monitor the amount of dust in the air and the storage facilities themselves. Air dust content in paper-based document archives should not exceed 4-6 mg/m<sup>3</sup>, and dust should not contain more than 10 % SiO<sub>2</sub>.

### **Fumigation**

An important means of protecting documents from biological pests is the treatment (fumigation) of storage facilities with special vapors, gases, and aerosols.

The process of treating documents to eliminate mold fungi is called disinfection, and the process of destroying insects is called disinsection. Biological pests are controlled mainly by chemical methods. Recently, high-frequency current has been used to process documents.

The most common method is disinfection of documents in special chambers (autoclaves) by using chemicals (fumigants) in a gaseous state. The open documents are treated with formaldehyde  $\text{CH}_2\text{O}$ . In some cases, documents are subjected to special medical treatment. For this purpose, the following fungicides are used: thymol  $\text{C}_{10}\text{H}_{14}\text{O}$ , ethylene oxide  $\text{C}_2\text{H}_4\text{O}$ . For prevention, fungicides are used that not only destroy microorganisms but also make paper resistant to re-infection, such as quaternary ammonium salt.

Disinfection of documents and books is carried out using wet processing and gas disinfection methods. For gas disinfection of documents from pests, dibromomethane  $\text{C}_2\text{H}_4\text{Br}_2$  is used in the chamber. For urgent processing of a valuable document, it is placed in a plastic bag or in a glass container (exciter or crystallizer) with a lid. A piece of cotton wool moistened with a solution of chloroform, ethyl ether or carbon tetrachloride is placed next to the document, then tightly closed with a lid and left for two hours; in the case of  $\text{CCl}_4$ , it is left for a day. After processing, the documents and the room should be ventilated.

### **Storage mode**

To ensure long-term preservation of paper-based documents, optimal temperature and humidity conditions are established in storage facilities: temperature – (17-19) °C, relative humidity – (45±5) %. Air conditioning systems are used to maintain it.

There are certain requirements to buildings and storage facilities. The buildings of archival repositories should be located away from industrial enterprises that pollute the air with dust and corrosive gases at a distance established by sanitary standards; from objects and structures that are dangerous in terms of fire; from places of possible flooding, and groundwater penetration. In the area of archival repositories, the average daily content of harmful impurities in the air should not



exceed the maximum permissible concentrations (mg/m<sup>3</sup>): sulfur dioxide - 0.5; nitrogen oxides - 0.085; chlorine - 0.03; silicate dust - 0.05. In Ukrainian archives, unlike many foreign archives, files are stored in cabinets, containers, on shelves, in boxes horizontally to protect them from sunlight, dust, etc. Archival repositories and rooms for working with documents should be equipped with fire and burglar alarms, automatic gas fire extinguishing systems, and be kept in an exemplary order and cleanliness that exclude the possibility of mold, insects, rodents and dust accumulation.

## **7. Restoration**

Document restoration is the restoration of operational properties and external signs of documents that have been damaged or destroyed. Modern approaches to document restoration include a set of methods used to restore the material basis of a document and to recover recorded information.

### **Restoration of mechanical integrity**

The main methods of restoration of the document base are restoration of mechanical integrity, cleaning and plasticization. As it has already been mentioned, in the process of storage and use, documents are subjected to repeated actions that lead to dilapidation, various mechanical damages such as tears, punctures, etc. To strengthen dilapidated paper, a gelatin-glycerin mixture is used to impregnate the base of the document. In cases of severe paper destruction or when it is necessary to mount a document sheet from separate fragments, transparent restoration paper RD-10 is glued to strengthen it. In some cases, to increase the strength of the paper, a method of restoring documents with a 6% polymethyl acrylate emulsion is used. It forms an elastic transparent cover-up preventing from molds growth and insects breeding. Polymethyl acrylate emulsion is used as an adhesive for restoration work: joining tears, applying butt patches, strengthening edges and bends of a sheet, applying overlapping patches and gluing folds.

The lamination method is used to mechanically protect dilapidated books and documents. This most productive method of restoration has long been known by various names: lamination, impregnation, dry restoration, dry duplication, and hot pressing. All of these methods are based on a common principle: the connection of dilapidated paper with a thermoplastic polymer film, which is used alone or in combination with a lavsan film or other materials.

Plasticization is the process of treating materials (magnetic tapes, films) with volatile organic solvents-plasticizers in order to increase the elasticity of the recording media. The plasticization operation can only be applied to documents with a backing that contains a plasticizer, such as acetyl cellulose. For plasticization, water, amyl acetate, benzene alcohol, etc. are used. In modern conditions, only a short-term restoration of fragile documents is achieved, including their elasticity for the period of rewriting to a new medium.

Mechanized restoration is the restoration of lost parts of document sheets with paper mass, including on a restoration and casting machine. It consists of a set of equipment united by a closed “conveyor” grid into a flow line, which can be divided into sections according to their functional purpose: preparation of paper mass, restoration material and sheet layout area, paper formation (adding restoration sheets), drying of preliminary and final processing of sheets. The restorative material placed in the sheeting area is moved to the forming area as the grid moves. The mold and leveler are lowered onto the grid. A paper mass of a certain composition diluted with water is fed into the mold. Under the influence of vacuum, its fibers settle in the areas of the mesh free of paper, thus restoring the lost sheets. Moving on, the mesh transfers the resulting restoration complex to the pre-drying zone, and then to the drying cylinders for final drying. The sheets are processed on a super calender to compact the paper and equalize its thickness, restore and recreate parts, and remove markings. This method requires a large amount of water (the text of the document to be restored must be waterproof).

The second method of restoring lost parts of a sheet is air molding, which makes it possible to restore documents with non-waterproof text and illustrations. In

this case, the minimum amount of moisture required to restore the sheet will not harm the document, and the sheet will be supplemented with strong and durable paper. Technologically, this method has several stages: preparation of compositions based on fiber material, forming the sheet or its missing parts, moistening the resulting complex, pressing and drying. A limited amount of water is used to moisten the restored sheet (maximum moisture content of 70%), which allows preserving the paper structure, text quality, and image of the restored document.

### **Restoring fading texts**

Restoring faded text is an integral part of document preservation. Image fading refers to a decrease in contrast, i.e., the difference in optical densities of image elements and document gaps. In this case, the image is not visually perceived (partially or completely).

Previously, faded texts were restored using chemical methods, in particular by applying a qualitative reaction to the trivalent iron ion in iron gall ink. The general disadvantages of all chemical methods of text restoration are as follows: changes in the appearance and chemical nature of writing materials; exposure of the text to reagents that reduce the durability of documents; lack of guarantees of text detection on documents with different nature of writing materials; possibility of complete loss of original image traces.

To restore low-contrast and invisible texts, physical and photographic methods based on the use of ultraviolet, visible and infrared radiation are used. Currently, methods of colorography, photography in reflected ultraviolet and infrared rays, in the spectrum of visible luminescence, and in polarized light have been developed. The essence of these methods is that when exposed to light of the appropriate spectral composition, a difference in contrast and brightness occurs between the base and the text of the document, which is recorded by photographic materials. For example, when documents are exposed using an ultraviolet light source, text elements partially absorb the rays (due to the ink in the strokes), and gaps reflect them.

The advantages of physical-photographic methods are as follows: high sensitivity of detection and registration of small concentrations of substances (especially in the luminescent method); unchanged appearance and chemical nature of the document; exclusion of the possibility of losing traces of the image or any other elements of the document; the ability to enhance, mask, and reproduce photographic images.

### **Methods of photo image restoration**

Photo images can be restored using mechanical, chemical, photographic and automated methods. A common and simple mechanical method of photo image restoration is retouching, which allows changing the optical density of the negative. Optical enhancement of the negative, reduction of graininess, and restoration of faded and stained images are carried out using photographic methods, i.e., by reproducing documents with the selection of exposure conditions, chemical and photographic processing, special light sources, light filters, and photographic materials. Mechanical defects in film and photo documents such as scratches can be eliminated by photographic methods using immersion printing.

### **Restoring the quality of recorded sound**

In state archives, the bottleneck for restoring phonograms when re-recording them to a new basis is the elimination of clicks and copy effects. The recording of useful signals of a phonorecord is known to be performed with high-quality magnetization, while the formation of copy signals during storage is performed without it. A recording made with high-quality magnetization is more stable and harder to erase by an alternating magnetic field than a recording without magnetization. This property of magnetic recording can be used to reduce the copy effect of audio documents. For example, under the influence of a demagnetizing field of a certain magnitude, the level of copy signals decreases by 5-8 dB, and the main signals - by 1-2 dB. This method can be used to restore original recordings of phonographic documents.

### **Restoration of color documents**

Methods of color film document restoration are developing in two directions: traditional methods of restoring the information carrier, such as color film, and restoration of the information itself, recorded in a color film document. During film restoration, the image information is restored to a certain extent, and the properties and the film physical form are restored.

Restoration processing of film documents is carried out manually and by machine. The following types of work are performed manually: dusting, removal of local wax and oil contamination, strengthening of glues and cuts, repair of perforations with replacement and gluing of the corresponding sections of perforation tracks, repair of damage to the base, and restoration of geometric dimensions. Restoration processing by machine includes: removal of general contamination of documents and surface damage to the photo layer (scratches, scuffs, etc.) in the process of swelling of the gelatin photo layer, polishing it in the swollen state and subsequent surface drying; removal of "hardness salts" and other water-soluble contaminants of the substrate; removal of grease contaminants present on large areas of documents; and removal of scratches and deformations of the substrate.

The restoration of image information of color film documents can be carried out by restoring the color image chemically in the film itself, by corrective copying or by converting the information into conditional code signals, followed by correcting these signals and recording the restored information on another medium. The technology of chemical restoration of color images that have changed their color during storage is reduced to selective weakening or strengthening of color images. Corrective copying is effective only when the fading of dyes has not led to an imbalance in contrast of the color image.

Modern computers can perform various image processing operations: correcting the amplitude or gradation characteristics, emphasizing contours in one specified direction, highlighting details of the same optical density, removing smudges, and color correcting images.

### **Preservation by applying a polymer coating**

Documents stored in different archival repositories, which are very diverse in origin, content, design, technique and method of reproduction, prompt different conservation methods.

Lamination, which increases the strength of paper and is suitable for the restoration of 20<sup>th</sup> century sheet documents, is undesirable for the 20<sup>th</sup> century books. Lamination significantly increases the thickness of the book block and it no longer fits into its original binding. For 20<sup>th</sup> century publications, the RNL (St. Petersburg) developed a method of protection by applying a polymer coating, which consists in applying a very thin (1-5 microns) polyparaxylene coating to documents in a special chamber. The technological scheme for applying paraxylene contains the following operations: evaporation of the dimer-diparaxylene at a temperature of 170-200 °C; decomposition of the dimer molecules at a temperature of 650-700 °C to the monomer-paraxylene; condensation of paraxylene on the surface of the paper (in the surface layer) and polymerization to form a new composite material paper + polyparaxylene.

It was found that the thickness of the treated book block nearly does not change, while the strength, bio- and moisture resistance of the paper increases significantly. This technology makes it possible to preserve several books simultaneously without unbinding and dismantling the book block.

Thus, document preservation is one of the most important problems in the theory and the methodology of archival studies. It includes a whole range of tasks related to the creation of optimal sanitary and hygienic, temperature and humidity conditions for preservation of documents on various media, prevention of their destruction, and restoration works. The latest achievements in mathematics, physics, chemistry, biology, and electronic computing are at the service of archival science. So, next generations of archivists are required to deeply know chemical and physical properties of all documentary information carriers, causes and factors of their aging and destruction, and the latest methods of prevention of negative impacts on the preservation of the NAF.

**CREDIT 5**  
**INFORMATIZATION OF ARCHIVAL AFFAIRS. RESEARCH WORK OF**  
**ARCHIVAL INSTITUTIONS**

**LECTURE 13**  
**INFORMATIZATION OF ARCHIVAL AFFAIRS**

**Plan**

- 1. Informatization of archival affairs: concept, purpose and objectives**
- 2. Main ways of archival affairs informatization: world experience**
- 3. State and tasks of archival affairs informatization in Ukraine**
- 4. Archival aspects of informatization**

**1. Informatization of archival affairs: concept, purpose and objectives**

Informatization of archival affairs is a complex system of organizational, scientific and methodological, and technological measures that are the basis for the creation of unified methodological and procedural frameworks of the archival branch using computer technologies. The process of informatization consists of:

- a) development of interconnected information technologies of documentation acquisition, expertise, description and accounting, as well as the use of documentary information;
- b) creation of different archival information resources, and local databases (DBs) in archival institutions and centralized DB of the industry;
- c) creation of local and centralized databases network and a unified interagency national archival information system (NAIS).

This provides the prospect for creating an interconnected network of archival industry databases and information systems.

The archival experience of civilized countries shows that the replacement of manual technologies with electronic ones allows to significantly accelerate document flow, as well as information management and use. Informatization involves a system of measures, creating conditions for the change of traditional archival technologies to new information and computer ones, formation of electronic archival records resources, increased access to archival information and its rational and efficient use.

The process of bringing documents into social circulation is called access and it comprises two aspects. The first one is intellectual access to information about documents and their contents, i.e. obtaining necessary reference information through secondary documents, such as scientific and reference apparatus (SRA) and publication of the texts of documents in specialized editions. The second one is physical access to funds, i.e. obtaining the primary document (original) in an archive or library reading room through the systematization of documents in funds and files (for more details see Ch.13). Informatization significantly expands intellectual access to archival information and optimizes its processing.

Archival funds are extremely diverse in terms of subject, genre, and type classification, media (parchment, paper, magnetic tapes, photographic films, computer disks, three-dimensional objects, etc.) and means of information transmission (verbal, musical, and cartographic materials, two-dimensional graphics and pictures, sound recordings, projectors, and electronic means, etc.) Text-retrieval archival systems, which are based on the SRA system, cover secondary documents. In terms of information transfer these are records, catalogs, card indexes, descriptive lists, registers, lists, guides, reviews, as well as subject funds, inter-funds, inter-archival, and other indexes.

Secondary information systems include paper (traditional documentary and reference publications, cards, descriptive lists) and electronic (computer databases) means of transferring secondary information. The experience of informationally developed countries has shown that it is advisable to store some paper forms of



record keeping and SRA, primarily for retrospective archival funds until modern times, and to use electronic technologies for modern document flow.

The transition from paper to electronic technologies requires archivists to adapt traditional archival techniques to new requirements: a clear structure of description of documents, files, fonds; interconnection of different technological processes into a unified cycle at the level of accounting and SRA; established technological apparatus of the archival industry, etc.

Informatization has a broader meaning than the traditional concept since it solves the problem of improving the archival industry functioning on new methodological principles of formation of archival resources and intellectual access to archival information. Computerization is a means of realization of informatization, but it provides only software, technological, material and technical support of technological processes functioning through electronic equipment, computer databases and information systems. Archivists create description structures (data models) of various documentary information, formulate tasks of the archival industry, and programmers provide the realization of these tasks by means of computerization. Therefore, informatization requires joint efforts of archivists and computer scientists.

Archives and archival affairs have all the prerequisites for a rapid transition to information technologies and take an important place in the information infrastructure and national automated resources. This is facilitated by the fact that they:

a) establish a system of records information at the stage of its creation in institutions according to unified methodological requirements and scientific and organizational principles (through the compilation of nomenclature, organization of processing and departmental temporary storage, appraisal when transferring documents for permanent storage, etc.);

b) organize the unified formation, storage, and processing of documents in the archive after the loss of operational relevance transformation into retrospective ones;

c) create SRA system to optimize the use of documents and records information.

The certain level of centralization of archival affairs (without compromising its democratization), the unified management system, and the methodological principles of storage, accounting, description, and creation of the SRA system within state archives are the prerequisites that can facilitate systematic computerization of archival affairs and records.

The general purpose of informatization in archival affairs is to update the information in archival documents, solve the problem of immediate and full access to information, optimize the storage, formation, protection, and use of the archival industry documentary resources, accelerate their involvement in social circulation, and introduce them to the international information space.

The main tasks of archival affairs informatization are based on its functions and are aimed at:

- optimization of traditional archiving technologies, which are still generally routine, in particular, expertise, acquisition, description and accounting of funds, cataloging, etc.;
- improvement of the archival management system, which implies the increase of efficiency of material and technical, financial and staffing support, as well as the functioning of the system and management of archiving information and documentary resources;
- providing great access to records information, creation of electronic system of intra- and inter-archival, branch and inter-branch archival directories, interconnected electronic catalogues, computer databases and information systems, which will allow forming integrated data of archival records information on structure and contents of archival funds both in electronic and print forms, and actively use it to solve relevant social tasks;
- solving at a new level the problem of funds preservation and information storage with the use of computer technologies, security copying of

valuable documents, formation of full-text databases, documents publishing activity, etc.

Informatization of archival affairs in methodological terms should combine and coordinate the whole social cycle of document creation, storage and use, and be based on a combination of archival studies, archaeography and document science techniques. It should be aimed at creating the basis for document flow and telecommunication links with government institutions and public authorities, and be included in the national information resources of Ukraine.

The process of archival affairs and records information informatization consists of three interrelated activity components, characterizing them in different aspects and requiring appropriate staffing for the realization of the tasks. These components are:

- scientific and archival – determining the objects and priorities of computerization of archival technological processes at the stages of documents acquisition, accounting, use, and storage: methodological principles of cataloguing and archival fonds and documents description techniques for computerized systems, creation of unified and standardized terminology, appropriate terminological and linguistic support, etc.;

- information and technological (computerization proper), which implies the selection of optimal software and its adaptation to the specificity of different objects of computerization, taking into account possibilities for its further development, construction of information systems and network in accordance with tasks of archival affairs as well as constant support of systems functioning, information protection, equipment upgrade and modification of software solutions, etc.;

- scientific and organizational, and managerial, which includes organization of work and implementation of informatization of archival affairs and documentary information in the archival system considering achievements of scientific and archival and information technology solution of problems, improvement of the archival management system, making optimal financial,

economic and organizational decisions in accordance with the Computerization Program and developed technical specifications to be adopted for different objects of computerization.

## **2. Main ways of archival affairs informatization: world experience**

The experience of foreign information systems shows that the process of informatization should take into account, firstly, the problem of the automation and computerization of the object (what exactly needs to be automated: archival processes or contents); secondly, the task solution capabilities of computer hard- and software. Informatization in Western countries began with the automation of the entire cycle of archival processes in order to combine them into a single cycle.

The advantage of automation is a one-time enter of information. While describing information, the archivist has to enter all possible information about the technological process according to the established form, and then use it in multiple ways (for accounting, preservation, and use). Automation requires revision of traditional types of document accounting and their use (from acquisition to SRA) to create a universal description: a descriptive standard of archival information. Automated workplaces are gradually being created for specialists in the acquisition, accounting, storage, SRA system, reading room service (keeping records of users), etc. All processes are standardized and technologically interconnected. Only in this case the benefits of automation become obvious.

The technological processes of current archival work, primarily acquisition, funds accounting, storage, and maintenance, are not complicated. However, from the very beginning, specialists recognized limited possibilities of computer hardware to provide the computerization of the SRA system, in particular, for retrospective funds. Because of the technology features of the 60s, and the first automated archival systems, the specialists of information-developed countries, as a rule, started from the principle of simplification and strict unification of description of documentary

information, regardless of the type and kind of documents that led to the loss of their peculiarities. In Western countries in the 60s and 80s, sub-documentary databases of the activities of institutions, various departments, and commercial databases were rapidly developing. At that time, the main archival processes were almost completely computerized on personal computers, resulting into development of numerous software products, dozens of which were created per year. These works were not coordinated at the state level, stimulating the development of computer technologies, being forced to create new programs for information exchange its conversion from one system to another, and expanding searchability.

In the early 80s, the information scope grew significantly, and database management became more complicated. The question of developing unified description systems and creating national archival information systems arose. The USA has the lead in this process. In many countries, the basis of universal archival description was a well-established bibliographic description adapted to archival tasks. This approach was most developed in the United States, where in the 1980s the Library of Congress and a special group of archivists led by Nancy Sahli of the U.S. National Archives, and Records Administration created a special archival format for documents and files called MARC (machine-readable cataloging). This was due to the need to integrate the documentary library and archival files into a unified national information system for the international information exchange. This approach was resultful and the format has been adopted by almost 20 countries (including Canada, the United Kingdom, Spain, Australia, Scandinavian and other countries). The RLIN (Research Libraries Information Network) system, including data on collections and files in the libraries and archives, has been created in the USA. Since the system was proposed by the Library of Congress, this institution has become the main methodological center to develop the information structuring framework based on the library description. Thanks to the domination of the Universal MARC data format and its derivatives, the information exchange in the English-speaking world has been greatly facilitated. Among them, the most complex is the archival MARC AMC (1985), designed for the universal description of

documents, files, and funds. For several years it has been implemented and actively discussed by archivists who are still not entirely satisfied with its adaptation to bibliographic description. This attempt to combine the bibliographic and archival descriptions cannot take into account the principles of fund management and leads to the loss of information peculiarities. In fact, the bibliographic description of book-work differs significantly from the archival one, and its adaptation is a compromise. The basis of this information technology was the so-called relational system based on a fixed format, dividing description sections into record fields, with a developed data indexing system.

The MARC AMC format is structured, as it is a kind of container for the information of different compositions, contents, and forms of reproduction, put in its places (levels) and labeled according to certain principles that allow storing, quick receiving, identifying, and linking of related information during a search. It is intended to create a system of unification and coordination of terms and description information, as well as a program and system of rules for recording and encrypting information of fields and subfields, indexing, designation, and special coding. The huge (more than 200 fields and subfields, which fit into more than 800 indexed bibliographic fields) universal description is designed for all kinds and types of archival sources, documents, and for the description of files, collections, and funds.

It includes 1) administrative information on entry, processing, storage, use, accounting, preservation, security copying, access restrictions, etc.; 2) physical description of all quantitative documents and files characteristics; 3) contents description of information based on a specialized heading system.

Specialized subject headings developed by the Library of Congress were used for the search. The concept of subject headings includes names of people, institutions, and associations, geographical, administrative and territorial indications, topics and subjects, titles of groups of files, genre, kinds and types of archival documents. It should be noted that the system created and currently operating in the United States and other countries has certainly fulfilled its purpose, although its information technologies are partially outdated. In addition, a specific

feature of the U.S. archival funds is the predominance of modern archival documents, which can be easily adapted to documentary formalized technologies. This format of data recording in automated systems implied description at the document, series, and collection (i.e., funds) level, but it practically began with the description of archival backgrounds (at the collection level), the simplest in terms of information identification. The archival specificity of documents was based on terminological classifications of material basis, types and kinds of sources, etc. The American archivist and bibliographer Steven Hensen developed specialized international rules for describing titles for archives, special funds, and manuscripts.

In the 80s, Canadian archivists took the path of archival description standardization at both collection and archival background levels to create a national system.

This was largely due to the capabilities of computer technology in the 70s when simplification of information was of great importance for its storage and efficient use. Thus, the process of “documentalization” i.e. formalized description of documents and adaptation of archival information for computer systems, has become dominant in Western countries. However, archivists have recently concluded that it is necessary to develop unified principles and terminology of archival description. The reason is that the principles and terms of European and American tradition differ. The main European classification units (funds, files, documents) do not coincide with the concept of American ones (archive, axial collection, series, group of files, document). The Special Commission on Standardization of the Council on Archives under UNESCO, on the initiative of Canadian archivists, developed principles of archival description at the level of funds, trying to generally unify the principles of archival description and its terminology, starting from the principle of origin, which is known to be the main classification criterion for the organization of archival fonds in Ukraine and CIS countries.

As for the informatization of archival affairs in the former USSR and CIS countries, the ideological information policy only touched upon this problem,

leaving the issue of documentalization only at the level of AIRS creation (Automated Information Retrieval Systems) and SASSTI (State Automated System of Scientific and Technical Information).

The penetration of information technologies into the USSR archival affairs began in the 70s when automation became a state task. In the 80s, some central Soviet archives began to organize automated arrays of up-to-date archival information. However, the limitation of access to archives and capabilities of Soviet hard- and software allowed solving only some tasks. Computer hardware was too cumbersome and software was unable to solve the problems of automating archival processes and information, extremely diverse in contents, kinds and types. Archivists had to do a lot of work on additional cataloguing of processes and funds to adapt different information to record formats that had a great limitation in its amount, and determined requirements for the unification of texts and formulation of titles. This led to the creation of a labour-intensive technology of “information folding” while cataloguing, subject thesauri formation, and hard linguistic support. Due to the complexity of the processing and use of special source and archaeographic methods, diverse archival retrospective documents were not to be automated.

In the 80s, automation of technologies for current records management of state institutions began, ensuring the improvement of the activity organization of offices, accounting and personnel departments, and the nomenclature of the institution’s temporary archives. These documents contained a limited amount of information, operated with quantitative indicators, and were easy to structure for electronic recording. However, the problem of automation of archival processes and computerization of archival system resources remained open.

The first attempts at automation showed that it was necessary to abandon extensive plans and excessive expectations for automation. Automation could only deal with a specific archival object or technological process, an automated workstation (AWS), e.g. one of a cataloger responsible for acquisition, accounting, etc. The team of authors-compilers from Russian Research Institute of Archival



Affairs and Records Keeping (RRIAARK) embodied the methodological developments on the creation of AIRS in the “Basic Provisions of the Development of the Research Apparatus System for the Documents of the USSR Archives” (published in Moscow, 1981). The “Basic Provisions” set forth the main approaches to the creation of automated systems and technologies in the context of the multidimensional search problem. The most important task was to select the object of automation, taking into account the importance of documents, long-term need for retrospective information, intensity of use of archival document sets, and information concentration allowing to start searching at the interrepository level. The objects of automation were individual documents, files and groups of them, funds, or cultural thematic information stored in various documents. This laid down the basic conceptual provisions for the development of archival automation. AIRS was to provide one-time and multi-purpose use, data output in different modes of operation, preparation of scientific and reference publications, accounting, compatibility with traditional types and systems, and connection with SASSTI.

The relationship between automatic search tools and traditional archival reference books and records is based on the correlation of information in AIRS. However, soon AIRS DB was recognized possible to be created only at the level of description of archival funds. Difficulties with unification and formalization of description at the level of case and document and large volumes of work forced AIRS developers to abandon document-by-document description of archival information. A separate archival fund was recognized as the object of AIRS, and the data format (structure) was based on the fond card, which had an accounting value and contained its main information attributes.

Compatibility of classification of information about SASSTI documents and archival directories was provided by means of a specially developed correspondence table of concepts of the SASSTI thematic rubricator and the Unified Classification Scheme (UCS) of documentary information in the catalogues system of state archives (Soviet period). The thematic rubricator was planned to be used as a basic

one while creating classification schemes for all automated and traditional document systems.

Even such a limited task as a brief description using a standard technology proved to be extremely labour-intensive. At the same time, the search was extremely limited in terms of its main parameters. In SASSTI, targeted searches for information about the funds were conducted by thematic (according to the heading) and factual requests, and the user received only the archive address and the fund number. The thematic rubricator and the UCS were not finalized.

The continuity of the institution's record-keeping and reference apparatus and SRA was seen as an automatic transformation of departmental directories into archival ones after their transfer to archives for permanent storage, so the key elements of SRA had to be created in the process of institutional records keeping. The main task of records keeping was the need to methodically coordinate the system of description and creation of automated cards in departments according to the with archival requirements. Document specialists have done a great deal of work to ensure unity of organizational and methodological guidance for the creation of reference books in institutions and archival establishments, scientific and technical documentation service, unification of rules and methods of description and indexing of documents, application of common rubricators and classification systems, unity and compatibility of the record attributes arrangement in blanks of case descriptions, film and photo catalogues, unity of formats and other IRS.

Further development of AIRS was to go two ways. The first one was to create SASSTI for documents of the State Archival Fund on the basis of the Central Fund Catalogue of the USSR; the second one was to develop AIRS for selective sets of documents on topical issues of "outstanding importance" (as a rule, for inter-archival sets).

Thus, in the early 80s, the USSR prepared basic provisions and methodological documents on the development of a unified description format for SASSTI and AIRS card giving details on a record group, as well as the development of the appropriate level of classification and linguistic apparatus of archival

terminology The AIRS data set of the USSR Central Fund Catalogue (CFC) began to form on the basis of ES EVM (Unified System of Electronic Computing Machines), and PC later.

The database of archival information created on the basis of the USSR CFC was limited to a rather simple search information, which started the search by the name of an archive, fund, geographical name, and subject matter of the field of knowledge. The searcher was provided with even less information.

At the same time, the possibility of creating local thematic databases on archival documents in some central archives was tested. They started with the “unusual” for the Soviet government information. Among such databases are “Architecture and Urban Planning of Moscow and St. Petersburg” (up to 150 thousand documents), “The Great October Socialist Revolution”, and the work on creating the AIRS for documentary sound recordings.

The scientific and theoretical development of the problem was implemented by RRIAARK. The experience was gained in developing methods for unifying and folding information, preparing information cards in a pre-machine format, and entering information into the database. The work was finalized with the approval of the information retrieval thesaurus for Soviet documents and the creation of a database array primarily for the fonds of union central state archives and central archives of former union republics, regional archives.

Currently, the database of the CFC system covers more than 70 thousand descriptive lists of archival funds. However, after the USSR breakup this database, planned to be created by all the republics, remained in Russia. A lot of files in the system directly relate to archival Ukrainika and contain information about documents, documentary sets, and archival funds of Ukrainian origin.

Thus, the information systems that existed in the Soviet archival affairs were based on the thematic document-by-documentary description, while the CFC information system is focused on the information contained in the archival record card in a strict description format. The linguistic support is based on a specially developed dictionary of descriptors — information retrieval thesaurus. But later it

became clear that more complex systems justifying the time and effort of archivists required creating. The rapid development of information technologies caused archival AIRS to become obsolete even before the information arrays were compiled.

### **3. State and tasks of archival affairs informatization in Ukraine**

Ukraine participated in the CFC's AIRS, but until the early 90s, Ukrainian archival affairs were hardly automated. After Ukraine gained independence, the archival system underwent significant changes, regularized by the Law *On the National Archival Fund and Archival Institutions*, the concept of archival development, and other documents. The course toward democratization of archival affairs gave a fresh impetus to its computerization.

In the early 90s Ukraine already had some experience in creating archival information resources and local databases of different levels:

- a) system-wide – the creation of the all-Ukrainian “Fund Catalogue” (FC) by AIRS;
- b) intra-archival – database of funds and document-by-document level on relevant issues;
- c) all-Ukrainian system called “National Archival Information System *Archival and Manuscript Ukrainika*” (NAIS)”.  
I. The system-wide centralized level is represented by the inter-archival information system “Fund Catalogue” created on IBM PC 486 using the application package CO3/I5I5. According to the experience of its predecessors, the system implied creation of a database for all funds stored in archival institutions of Ukraine on the basis of accounting information from the funds catalogue contained in the funds card. To develop it using traditional technologies took 50 years and it concentrated information on more than 200 thousand archival funds stored in the

system of the Main Archival Administration of Ukraine. The work with the database has just begun.

The FC database stores all the record attributes of a traditional funds card, and therefore performs management functions of state accounting, containing mainly information with restricted access. It allows searching for information on each archive, number, category, type of funds, subject and thematic feature, geographical name, and surname. Thus, the system also performs some scientific search functions.

II. The level of intra-archival information databases of funds and document-by-document level on relevant issues of social development is reflected in the creation of functional databases by individual central and regional archives, mainly using C05/I8I5 software and personal computers PC 486 and Pentium.

This experience outlined some relevant aspects arising from the database functions. They defined the types of data and information systems:

- accounting: caused by the information and accounting management function, based on the creation of a database on consolidated accounting documents of the funds level (passport, fund sheet, acquisition sources). Scientific search is an additional function.

This approach has been implemented in the Central State Archives Museum of Literature and Arts of Ukraine (CSAMLA of Ukraine) whose main peculiarity is that most of the documents belong to personal funds of writers and artists, as well as information on funds of creative unions, institutions, and organizations of the acquisition profile, which covers one subject area and type of funds. Currently, it has over 8.5 thousand records. Such a database is designed for a long-term use and is promising in terms of including its resources in consolidated state-level databases.

- subject: connected with the necessity of immediate use of up-to-date information of document-by-document level by subject and thematic feature. In this case, thematic information databases are formed on the basis of inter-funds or intra-funds document-by-document subject-topic retrieval. The subject is determined by the relevance of the topic and focus on certain user categories and takes into account

urgent social needs. As a rule, the problem arises under the influence of decrees of governmental structures, the implementation of which requires the use of archival information or for the solution of internal problems of SRA archives.

In Ukraine, such a process has started recently and is still limited to the field of social and legal requests (processing masses of information on which there is no perfect or any relevant description or catalogue). The databases on the repressed (Central State Archives of Public Organizations of Ukraine) and the deported to Germany during World War II (State Archives of Kyiv, Kharkiv, and Donetsk regions) are vivid examples. These databases were developed as the occasion required (to establish social and retirement benefits, compensation, etc.) and will lose their relevance over time, being used exclusively for research purposes. Creating a thematic information database is too labour-intensive and requires special methodological support.

- accounting and retrieval: associated with the combination of accounting and search functions at the document-by-document level and is characterized by consistent description and registration of specific types and kinds of documents based on the principle of archival accounting document – archival description. The Central State Film and Photographic Archives of Ukraine named after H. S. Pshenychny provides an interesting experience of combining document-by-documentary accounting and type description of photographic documents as a separate type of documents.

- retrieval and publishing: a database is created for long-term publishing projects of intra-archival reference books and guides. This allows publishing reference books based on a certain structure of any information from databases, and as it is accumulated and modified, publishing the next edition, supplemented and corrected, is possible. It may have electronic form and be published both in the traditional way and on CDs.

There are already projects of such databases in Ukraine. The first of them was created for a scientific or scientific-publication project, for example, “Sources on the

History of the Ukrainian Insurgent Army” (M. S. Hrushevsky Institute of Ukrainian Archeography and Source Studies of the National Academy of Sciences of Ukraine). To create the database the following actions were carried out: a general identification of documents in various archival funds, their description according to a certain structure, revelation of the contents of document-by-document level information, and filling in the data format. Another example of a thematic database is the international joint inter-institutional project “ArchaeoBiblioBase of Ukraine”, which combines accounting and scientific research data at the level of each archival institution. This database was developed by the institutions of the Main Archival Administration, the Ministry of Culture and Art, and the National Academy of Sciences of Ukraine. The database includes the following information: one at the administrative level of the institution (with record attributes of the archival institution, names of the executives, phone numbers, and history); generalized description of the archival fund of the institution at the search level (basic accounting data on the funds, their composition and contents, history, access, etc.); bibliographic one (complete bibliography of publications about the institution fund). Such a database has open prospects, as it allows information updating and obtaining it in the form of a published reference book with the smallest expenditure.

A separate area of informatization is the all-Ukrainian integrated system “National Archival Information System *Archival and Manuscript Ukrainika*,” which implies the creation of a unified information system that would combine accounting and research functions at the funds level for all Ukrainian archival funds existing in the world. The object of computerization is the group-level description – fund-based and by a systematized group of documents within the funds that is worth to be distinguished as an entity. The system is focused on the cumulation of information about archival funds and separate groups of documents, which are united by the concept of “Ukrainika” not only within the state system of Ukraine, but also abroad. A characteristic feature of the system is that it reveals the content, composition, and origin of the funds in more detail than the FC. The system aims to collect all possible data on funds of Ukrainian origin (or describing Ukraine) in all world archival

repositories. The system is based on the principles of flexible software and the development of hypertext systems. Modern PC hardware of any level is used. In accordance with these developments, the scientists prepared terms of reference, developed data models, resolved basic linguistic issues, and proposed appropriate software.

Thus, various computerization objects have been tested in Ukraine, inter-funds, fund-based, document-by-document, subject and thematic cataloguing of groups of documents has been carried out, as well as the creation of national, central, and local databases. However, these processes developed largely spontaneously. The experience has shown that further effective development of the system is impossible without a coordinated information policy.

The late 80s and early 90s proved to be revolutionary not only in the socio-political sphere and marked the transition to new state relations of the former Soviet republics, but also opened the door to the Western electronic equipment market and technologies that were much more advanced. Software products expanded the possibilities of increasing the information scope and its classification; the methods of intellectualization of systems appeared, and, consequently, the possibility of taking into account the specifics of archival information accordingly.

Nowadays, the transition from AIRS to complex information systems with intellectualized capabilities has become a reality in the world practice. The domestic market of Ukraine is full of powerful computer hardware and various newest software, the problems of incompatibility of programs and computers have been solved, and complex software products such as servers that solve extremely complicated tasks have appeared.

There was a need look at the functions, tasks and principles of building information arrays and systems from new perspectives; to provide the development of a unified state, scientific, and scientific-organizational strategy for the creation of unified systems of archival information description and classification. This strategy is aimed at the creation of correlated technical, technological, linguistic and organizational principles of information integration, in the computer systems of



different levels; it should become a part of the modern information infrastructure of Ukraine and international computer networks.

It is necessary to create a methodologically unified system and establish principles for describing different levels of information from archive to document. This issue has recently begun to be coordinated in international practice. The International Council on Archives has agreed on general principles of archival description. The problem of integration of documentary resources in the national-level systems is solved with the help of a computer network and unified methodological principles.

#### **4. Archival aspects of informatization**

The main tasks, preceding directly the formation of information arrays of archival information, are:

a) defining the objects and priorities in the computerization of technological processes of archival affairs in the field of management, acquisition, accounting, use, and storage of documents;

b) creation of methodological principles of unified principles of cataloguing and methods of archival funds and documents description for computerization of systems, standardization of archival descriptions of corresponding objects of computerization for transfer conversion to an electronic format;

c) creation of unified and standardized terminology and unified terminological and linguistic support for the coexistence of different information arrays and coordinated systems of documentary information classification.

These processes are closely linked by methodological principles.

Computerization of technological processes of archival affairs in the field of management, acquisition, accounting, use, and storage of documents should be based on the preparation of standard scientific and methodological, in particular

regulatory, documents, which are underpinned with the existing normative and instructional documents, developed by the archival industry throughout its existence. The transfer of this archival technological cycle to machine-readable media can be carried out both from above (the Main Archival Administration of Ukraine), and below, in each state archives of the corresponding level.

Computerization of organizational and management functions of the Main Archival Administration is carried out in the following areas:

1. Centralized management of archival affairs (according to material, financial, and personnel conditions as well as system structure) and creation of local databases not related to information resources of the archival industry. This task can be performed quickly and efficiently, as it is documentary unified and does not require complex software.

2. Centralized management of information resources of the archival industry through computerization of the main functions of the Main Archival Administration in the field of centralized stocktaking of state archives resources and their use, as well as the State Register of National Cultural Heritage, implying not only state stocktaking but also of the NAF of Ukraine. This management is based on generalized information at the level of archives passport, central stock catalogue, databases of institutions which are the sources of acquisition of state archives of the NAF, consolidated databases on the composition of documents to be stored in state archives, and other consolidated information necessary for permanent management decisions. In this field the Main Archival Administration has begun work on the creation of the FC database.

Computerization of central, regional, and district organizational and management functions is carried out at the level of a particular archive and also in two more areas - computerization of technological processes of file and information management on the acquisition, accounting of documents, and storage of archive information array (creation of security fond and full-text databases).

Computerization of the SRA system of an archival institution is the second most complex organizational and accounting task. It includes:

- a) the processes of creating the SRA system according to the composition and contents of funds, taking into account the capabilities of traditional and computer technologies, systems, and databases of different documentary information at the levels of documents, files, groups of files, funds, and groups of funds, depending on the expediency and operational needs of the archives;
- b) organization of scientific-publication and scientific-information activities of the archives, based on other methodological and technological principles.

The most affordable solution is to consistently enter archival catalogue descriptions into the database on computer carriers and automatic creation of a new acquisitions catalog based on these data, as well as the transfer of existing in DB retrospective information catalogs without returning to card-level funds.

Thus, the object of automation is individual technological processes and the SRA in archival and information management. The selection of an object is accompanied by its description to create a data model. Technological processes, in particular, acquisition, accounting, and different technologically interconnected types of SRA (descriptions, catalogues, indexes) should become such objects.

The unity of informatization policy consists of the need to unify the archival description of different levels and to standardize technological processes both at the archival science level and at the level of software solutions classification, as well as to create common software and technological complexes for typical tasks and new solutions that would be compatible but solve different tasks according to information objects.

Data models (description form) contain a standardized structure of archival information description, which is used in all vertical and horizontal structures of the archival industry and should become a mandatory regulatory document, ensuring the interconnection of different technological processes and systems in the archival industry of Ukraine.

The most important thing is to strategically define the main and secondary objects of informatization and state priorities during the actual creation of systems,

as this requires different organization of scientific, methodological and information technology work. The program of archival affairs informatization can be conventionally divided into the following areas:

1. Automation of the current technology in its full cycle – from acquisition and accounting to the creation of electronic catalogues, databases, and information systems on composition and contents of NAF documents, providing a continuous circle of the industry technology from a certain period, e.g. from January 1, 1998. Consistent unity of the technological cycle will enable full automation of the expertise, acquisition, accounting, SRA, and creation of security fond of copies based on an interconnected system in each archive.

2. Automation of retrospective information of the intra-fund level, registered in archival institutions and reflected in the NDA system, existing in the traditional mode. Extremely complex type and chronological composition of documents as objects requires creation of separate standard archaeographic description structures for local databases. This work has not been carried out systematically so far. Ukraine has no experience in creating databases for archival retrospective documents, being limited to subject and thematic information used for social-lawful requests.

The world practice is based on the strategy of the computerization, in particular, the process of current technology and centralized accounting of the upper level of retrospective information – the level of archives and funds.

The most appropriate at the first stage is computerization of acquisition processes and centralized accounting both at the level of the Main Archival Administration and individual archives: accounting information at the institutions-sources acquisition level and at the level of archival funds, elaboration of which has been started in the archival system. This trend can be implemented by further work on the creation of the FC system and the formation of the “Acquisition Sources” database.

Deployment of computerization requires the development of appropriate standardized archival terminology and its use in computer systems. An important

task is to develop subject headings of classification schemes containing classification by knowledge system, administrative, political and territorial division, geographical names, personalities, and authoritative databases of institutions and names. These headings will be used for general document retrieval. Linguistic support is based on the centralized entry of industry-wide classification schemes and archival dictionaries.

An important task is to computerize the accounting and the use of non-traditional information media. This separate area of activity, which has not yet been implemented in archives, requires scientific, the methodological, technological, and organizational solution for the archival industry as a whole.

NAIS covers the national level of information resource formation with realization of consolidated registration and scientific search information, implying access beyond the networks of the state archival system to the level of NAF.

Information-technological aspects of automated technology implementation envisage the selection and adaptation of appropriate software to archival tasks (with orientation to its further development and support), typification of design decisions during software implementation, and construction of information systems and network methods according to tasks, which archival affairs faces, as well as constant support of systems functioning, information protection, equipment upgrading, and modification of software solutions.

Within the modern systematic approach to informatization of the archival industry, typification of software and basic technological solutions is of fundamental importance, allowing to use effectively material and human resources of archival institutions, to ensure compatibility of national, regional and local databases of the archival system at the level of horizontal and vertical links.

The choice of software and technological solutions should be based on the study of the general and specific features of computerization objects and a unified program of branch informatization, as well as on the creation of standard technological modules, and provide for access to global databases, primarily to the Internet.

The program of branch informatization should be based on the material and technical capabilities of the industry for the gradual development of computerization. The development of the unified software and technological solutions for national and branch levels of stock information description will allow creating a system that will perform not only accounting and search functions (i.e. fulfillment of intra-branch needs), but also research ones (i.e. fulfillment of social needs).

An important issue is the problem of compatibility of existing and prospective databases, access to those of Poland, the Czech Republic, Slovakia, Hungary, Romania, Russia, the Baltic States, Belarus, Moldova, and other countries in order to unite “Ukrainika” resources stored in foreign archives, create material databases, establish access to existing ones, and copy materials stored in archives (primarily in Russia on CDs).

Thus, in the context of the information explosion that became global at the turn of the century, a kind of revolution in computer technology, the problems of archival informatization are becoming one of the most important issues in archival science. Informatization is an important factor in the entry of the archival system of Ukraine into the global information space.

**CREDIT 5**  
**INFORMATIZATION OF ARCHIVAL AFFAIRS. RESEARCH WORK OF**  
**ARCHIVAL INSTITUTIONS**

**LECTURE 14**  
**RESEARCH AND METHODOLOGICAL WORK OF ARCHIVAL**  
**INSTITUTIONS**

**Plan**

- 1. The concept of research work of archival institutions**
- 2. The system of archival scientific and technical information**
- 3. Tasks, content and forms of methodological work in archival institutions**
- 4. Seminars and conferences as forms of scientific and methodological work**

**1. The concept of research work of archival institutions**

The research work of archival institutions is viewed as scientific research to obtain theoretical, methodological and practical results aimed at further improvement of archival affairs and records keeping.

Archival institutions conduct scientific research in the field of archival studies, archaeography, source studies, diplomacy, documentary studies, history of state institutions and public associations, historical geography, codicology, paleography, sphragistic and other special historical disciplines; as well as certain aspects of natural, economic, legal, technical sciences related to archival construction, namely: the improvement of methods of restoration and storage of documents, the development of means and methods of protecting documents from biological deterioration, the determination of the employees' number standards in

the different types of archival institutions, the economic analysis in the field of scientific and technical processing of documents, the preparation of a comprehensive program for the informatization of archival affairs on the basis of systematic computerization.

Scientific and information activity is an important part in the scientific work of archival institutions. It includes publishing documents, preparing and publishing scientific and reference literature (archival guides, reference books, collection overviews, etc.), and using documents to meet the society needs for full and unbiased retrospective documentary information.

In one of the first Ukrainian textbooks on archival science it was stressed that archives should promote the use of documents “for research purposes, establish relations with national and foreign scientific institutions, assist with research work in fulfilling various state tasks, and publish various documentary publications”. The tasks of archival institutions in the “archival and scientific field” put forward at the turn of the 20s and 30s, determined the directions of the scientific work of archive, and have not lost their relevance today.

The current practice of state archives and similar research institutions shows that three independent but interrelated areas have been developed in the scientific work of archival institutions: research, methodological, and scientific-information. According to the general scientific classification, research work covers the development of theoretical and practical problems, making research findings, the prerequisite and basis of which is a deep analysis of Ukrainian and foreign archival history, theory, and practice, the study of the other scientific disciplines achievements, and the comprehensive application of methods of various branches of knowledge.

Theoretical studies break new ground and are aimed at developing a general theory of archival studies. They are conducted to study the regularities and create a theoretical basis for specific problems of archival studies, archaeography, documentary studies, and other special historical disciplines on the basis of modern scientific methods, taking into account the interests of the development of archives



and documentary studies. Theoretical studies include methodological and historical works establishing trends, and deriving theoretical provisions that contain new scientific information. In the process of such research, the end result of which is scientific-theoretical information, theoretical knowledge is accumulated, scientific experiments are conducted, obtained data is summarized and conclusions are drawn.

Theoretical research in the field of archival studies in Ukraine is conducted and coordinated by such scientific centers as Ukrainian Research Institute of Archival Affairs and Records Keeping, M. S. Hrushevsky Institute of Ukrainian Archaeography and Source Studies of the National Academy of Sciences of Ukraine, Institute of Manuscripts of V. I. Vernadsky National Library of Ukraine, and the Department of Archival Studies and Special Fields of Historical Science of Taras Shevchenko National University of Kyiv. The studios of scientists representing higher educational institutions, central and regional state archives, and other archival institutions play an important role in the development of archival science theory. They make it possible to trace regularities and leading trends in the development of archival science, learn lessons from the past, and avoid repeating mistakes.

Currently, Ukrainian archivists are finalizing to prepare essays on the history of archives from the princely times to the present day, working on the history of state institutions as provenances, several dictionaries and reference books, including a biographical reference book called “Arkhivisty Ukrainy”, a terminology dictionary, etc.

Applied research is necessary to support primarily practical activities of archival institutions. It involves the use of theoretical provisions and accumulated experience to solve topical issues of archival construction. The results of applied research (new methods of work or technological processes, justification of the use of new equipment and technologies, etc.) are presented in the form of:

a) normative documents (standards, work rules, instructions, methodological guidelines, etc.)

b) general methodical manuals (basic provisions, methodical recommendations, typical and exemplary instructions on records keeping, typical

and exemplary nomenclatures of files, lists of documents subject to state storage, schemes of classification of documents in archival catalogs, analytical reviews on economic issues, production standards, etc.)

c) scientific and informational publications (collections of documents, archival reference books).

The International Institute for Archival Science (Maribor, Slovenia) and All-Russian Scientific Research Institute of Records Management and Archival Affairs (Moscow, Russia) are recognized centres of archival research in the world. Archival research in different countries is conducted under the auspices of the Directorate of the National Archives of France (Paris), and public associations (unions) of archivists in Australia, Canada, and Poland. Higher education institutions training archivists contribute to the development of research in the field of archival affairs and documentary studies: Archival School of the Hessian Ministry of Science and Art (Marburg, Germany), School of Library and Archival Studies at the University of London (Great Britain), University of Documentarians, Archivists and Librarians in Madrid (Spain), School of Library and Archival Studies (Colombia), Schools of Archival Studies, Paleography and Diplomacy at 17 state archives in Italy, Historical and Archival Institute of the Russian Humanities University (Moscow), Taras Shevchenko National University of Kyiv, etc.

In early 1990s, special research institutions in the field of archival affairs were established: The Belarusian Research Center for Documentation and Archival Affairs (Minsk), which became an institute in 1997, and the Ukrainian Research Institute for Archival Affairs and Records Keeping (Kyiv). The opening of the branch research institute in accordance with the Resolution of the Cabinet of Ministers of Ukraine No. 311 of May 16, 1994, was an important stage of archival construction in independent Ukraine. Since then, URIAARK has been the main research institution in the system of archival institutions subordinated to the Main Archive Administration of the Cabinet of Ministers of Ukraine. Its main tasks are research of theoretical and methodological problems of archival studies, documentary studies, archaeography, creation of documentary information retrieval

systems, experimental works to solve problems of physical, chemical and biological conditions of documents storage and development of corresponding standards, provision of scientific and methodological assistance on archival affairs, organization of wide operational information on the mentioned problems of archival institutions.

The organization of scientific research implies clear definition of directions and types of research, their forecasting, planning, and systematic control over the implementation of plans, coordination of all scientific activities, state registration of the most important planned works, step-by-step accounting of the work done, registration of results and approbation of scientific research works, implementation of results of scientific research into practical activities of archival institutions and evaluation of the efficiency of scientific research.

The archival institutions can conduct research independently (as a lead organization) and jointly (when a topic is developed by several institutions). Collective research ensures unity of application of research results in all state document repositories (state archives, manuscript departments of libraries and museums). The lead organization develops organizational and methodological documents, carries out the key stages of research, coordinates the work of co-executors, supervises the preparation of materials, provides methodological assistance, summarizes the materials submitted by co-executors, prepares final materials on the topic and draws up a scientific report.

The co-executing institution participates in the development of organizational and methodological documents, studies a part of the topic with independent scientific significance in accordance with the program, or prepares analytical materials (experimental data) for the lead organization, and is involved in the discussion, review, and experimental implementation of the research results.

The process of working on a particular research topic is divided into certain stages: familiarisation with the state of the problem under study; development of organisational and methodological documents; collection, analysis and synthesis of materials; discussion, experimental implementation of the results and preparation of

final documents. After getting acquainted with the state of the research object, the executors study the literature, the degree of development of the topic, and compile a bibliographic list. The conclusions drawn at this stage are used to prepare organisational and methodological documents: a research program, a prospectus, and a coordination plan.

The research program (terms of reference) is to reflect as fully as possible the range of issues related to the organization of the research: the basis for developing the topic, goals, objectives, research scope, requirements for development (subject, object, working hypothesis), the main parameters of the final document (composition, content, expected effect), stages of work (including types of contacts with co-performers), and deadlines.

The prospectus is to represent the main concept and structure of the future work as a whole, briefly describe the main content of each section or stage of the work.

A coordination plan is drawn up when a topic is developed by several institutions and the types of each co-executor work, indicating the deadlines and those responsible for the implementation of the research certain stages, are stated.

A topic is considered completed when it has been implemented and the final documents have been reviewed and approved in accordance with the established procedure. The focus of scientific research on improving the quality level of the archival institutions work implies the practical application of the research results, i.e. the publication and enactment of SSU (State Standards of Ukraine), technical specifications, rules; approval of methodological manuals and their application in work by the management of archival institutions, etc. The works developing the theory, generalizing scientific knowledge in certain areas of activity, contributing to the identification of new methods, as well as those studies the conclusions which can be directly applied in the work of archival institutions are considered to be scientifically effective.

The typical research topics of archival institutions, determined by their specificity as centers of storage of “documentary memory of the people”, cover

historical, source, local history, bibliography and other topics. The state archives of regions are actively involved in preparation of documentary publications such as chrestomathy “Nash Krai” (State Archives of Donetsk, Ternopil, Kharkiv, Khmelnytsky and Cherkasy regions), work on creation of reference and information publications: guidebooks (Central State Historical Archive of Ukraine in Lviv, Central State Archive and Museum of Literature and Art of Ukraine, State Archives of Vinnytsia, Zaporizhzhia, Sumy, Ternopil, Chernivtsi regions), reference books (State Archives of the Republic of Crimea, Rivne and Kharkiv regions), catalogues of documents (“Mykhailo Hrushevsky’s Documents in the Collections of the Central State Historical Archives of Ukraine in Lviv”, “Muzykalii (Music Editions) in the Collections of the Central State Historical Archives of Ukraine in Lviv”, “Catalog of Personal Funds of Ukrainian Historians, stored in the Central State Historical Archives of Ukraine in Kyiv”, etc.); record eyewitness accounts of historical events for publication as “oral history” (State Archives of Mykolaiv region); research the history of state institutions (Central State Historical Archives of Ukraine in Kyiv, the Central State Archives of Supreme Bodies of Power and Government of Ukraine), etc.

The discussion of problems of research and development of archival institutions is held at different levels. State archival institutions create appropriate scientific advisory bodies in order to consider the main directions and results of scientific work in the field of archival studies, documentary studies, archaeography, scientific and methodological issues of archival practice. For instance, the State Archival Service of Ukraine has a scientific council, sectoral research institutions have scientific councils, central state archives have scientific and methodological councils, and regional state archives have scientific and methodological expert councils. These advisory bodies provide assistance to the management of institutions in organizing scientific research on archival affairs and solving topical issues of archival construction. In particular, the competence of the scientific council of the State Archival Service of Ukraine includes consideration of issues of Ukrainian legislation improvement in the field of archival affairs; analysis of activity of state

archives as scientific and methodological centers on archival affairs; interagency research coordination on problems of archival studies, documentary studies, archeology; economic aspects of activity of state archival institutions; preparation for publication of reference books, guides and other reference and information literature; organization of use of documents of state archival institutions; organization of scientific cooperation with other (including foreign) archival institutions; nomination of outstanding research papers for national (and other) awards, etc.

The scientific and methodological councils of the Central State Archives of Ukraine consider the plans of research work of the archives, systematically discuss information on their implementation, make decisions on the results of the performed research; recommend scientific-methodical developments and collections of documents for printing; approve the display plans of documentary exhibitions; nominate the best works for competition; determine the sources of acquisition of state archival institutions and the composition of documents to be kept in these institutions; provide methodological guidance to expert commissions of institutions, organizations and enterprises.

The methodological commissions, expert commissions, groups of consultants and reviewers may be created at the scientific council. Thus, in 1986, the Bureau of the Scientific Council of the Main Archive Administration was established to further intensify the work on publishing and reprinting guides, reference books, and other reference and information literature, which reveals the composition and content of the funds of state archives. And since 1993, the scientific council of the Main Archive Administration has been operating a methodological commission, which is responsible for reviewing normative documents on archival affairs of general or inter-branch nature, which are subject to development or revision in connection with the adoption of new legislative acts. In particular, from 1993 to 1996, the following drafts of the following documents were discussed at the meetings of the Methodical Council: “Regulations on the Main Archive Administration of the Cabinet of Ministers of Ukraine”, “Regulations on the Sectoral State Archive of the Security

Service of Ukraine”, “Standard Regulations on archival units of state bodies, local self-government bodies, enterprises, institutions, organizations”, “Regulations on the procedure for transferring and receiving film and video documents”, etc.

## **2. The system of archival scientific and technical information**

An important condition for the successful development of scientific research in the field of archival affairs and document studies is scientific and technical information, designed to ensure timely researchers’ access to new information about the best practices of archival institutions, new scientific developments and methodological manuals. The Branch Scientific and Technical Information Service (BSTIS) was created for the purpose of information support of research and methodological work, promotion and implementation of the best practices in the field of archival affairs through organization of exhibitions, holding of thematic seminars, and lectures. It consists of STI services of different levels (the central branch STI body and STI services of state archives) and reference and information funds (RIFs) at them.

The main tasks of STI services of state archives are:

- studying archivists’ information needs;
- acquisition, storage, accounting, processing and systematization of RIFs materials;
- maintenance of reference and search apparatus of RIFs, which provides organization of information on structure and content of the fund materials;
- regular informing of the archive staff about the structure and content of RIFs materials by providing documents for use, holding information days, organizing exhibitions of new acquisitions, compiling reference lists of literature on the subject of scientific research and main directions of practical work of the archive; list of current normative documents, etc.;

- studying of STI materials and generalization of data on the most important Ukrainian and foreign achievements of science, technology and the best practices; preparation of recommendations for their implementation in the archival practice;
- regular and timely submission of completed developments of general industry significance to the central branch body;
- assisting archive specialists in organizing the storage of highly specialized manuscripts.

RIFs are the set of organized documents and their reference and search apparatus intended for prompt information service of archival institutions. Since the main functions of RIFs are reference and information, it is the basis for information support of organizational, practical and scientific activities of archives.

The RIFs of the state archives consists of the collection of primary materials (printed, unpublished and unpublishable) and reference and search apparatus. The collection of primary materials concentrates information of multidimensional data array on problems of archival affairs and related fields and includes:

- literature on the history of Ukraine and local lore, documentary studies, archival studies, archaeography and special historical disciplines;
- literature on management, scientific organization of labor, planning, regulation, organization of scientific and information activities, library and publishing;
- official and departmental publications, normative and scientific-publishing documents, reference literature, supplementing archival documents and necessary for its research and information and reference work;
- normative and scientific-methodical developments in documentary studies, archival studies, archaeography and special historical disciplines;
- periodicals;
- unpublished developments of the archive and documents that are not published, such as information cards, translations, deposited manuscripts.

RIFs materials depending on the level of STIS can be used



- to meet the informational needs of employees of archival institutions in solving management tasks, in practical and research work;
- to satisfy requests of archival institutions of the industry;
- to satisfy requests of departmental archives (institutions-sources of acquisition);
- to satisfy requests for materials on documentary studies and archival affairs of various institutions and organizations regardless of their departmental affiliation.

The use of RIFs materials involves the organization of various types of reference and information services (lending materials on a subscription basis and through the reading room; fulfillment of various individual information requests, selective dissemination of information, differentiated provision of STI management, organization of exhibitions of new acquisitions) depending on the tasks of the most complete provision of requests on specialized and related issues.

The RIFs reference and search apparatus is a system of catalogs, indexes (including factual indexes, which allow receiving a direct response to a specific request) and bibliographic guides, which ensures accumulation and issuance of information on the composition and content of RIFs materials, as well as information on materials of a specialized nature for the archive, regardless of their storage.

Improvement of information service in all institutions of the branch, application of the newest technology for information search will contribute to increase of scientific level of activity of archival institutions. In this regard, the employees of the URIAARK are developing a system of databases for the sectoral RIFs, which will unite information resources of the regions and the center into a single whole.

### **3. Tasks, content and forms of methodological work in archival institutions**

Based on the results of scientific researches, study and generalization of practical experience, archives carry out methodological work aimed at creation and implementation of the most appropriate techniques and methods of specific works. Methodological work of archives consists in development and improvement of methods of archival work and its implementation into practice.

The main forms of methodological work are development of relevant issues of archival work methodology, preparation of instructions, recommendations and other methodical manuals on this basis; implementation of developed documents into practical activity of archival institutions; discussion and solution of methodical issues, which arose during work, at meetings of methodical councils, commissions, methodical meetings; study and generalization of best practices in the field of archival work and document studies, its dissemination by preparing reviews and articles for publication in archival periodicals, reports and presentations at conferences, meetings, and seminars; providing methodological assistance to employees of archival institutions, clerical services of other organizations, and departmental archives. Methodological work includes preparation of nomenclatures of files and schemes of systematization, historical information about funds and reviews of works, preparation of reports on methodological issues, composition of documents for employees of archival institutions. Methodological management of work in archives is carried out by archival directors, their deputies, heads of departments, methodologists, and information officers.

The central state archives play an important role in the development of actual scientific and methodological problems and in the practical improvement of archival work methods, where not only the most valuable complexes of documents of national importance are concentrated, but also highly qualified experienced scientific personnel are employed. Thanks to this, CSAs are scientific and methodological centers in the field of archival affairs. In this context, the experience

of the Scientific and Methodological Cabinet of Archival Studies and Special Historical Disciplines of the Central State Historical Archive of Ukraine in Lviv, which was established on the basis of a permanent archival seminar and still remains the only one in Europe, is worth attention. Academician I.P. Krypiakevych formulated a scientific concept of the cabinet in the early 70s and it was mainly implemented in the late 1985. Nowadays, scientific and practical conferences, methodical seminars, classes for students and schoolchildren, etc. are held on the basis of the Cabinet.

The state archives of the Autonomous Republic of Crimea and regions are, in turn, regional scientific and methodological centres. They provide methodological and advisory assistance to city and district archives, institutions, organizations, and educational institutions on archival matters. On the basis of state archives of regions, they conduct, in particular, courses for heads of archival departments of district state administrations, state city archives (the State Archive of Kirovohrad region), compile methodological manuals for employees of state and departmental archives of the region (the State Archive of Chernivtsi region), develop instructions on filling archival departments of district executive committees, city archives with documents of personal origin and scientific description of these documents (the State Archive of Khmelnytskyi region), cooperate with secondary and higher educational institutions (the State Archive of Transcarpathia, Ternopil, Khmelnytskyi regions, the Autonomous Republic of Crimea, etc.).

The most widespread form of methodological work is preparation of different types of narrow-branch applied methodological manuals written by state archives on the basis of normative and methodological documents of the Chief State Archive of Ukraine, scientific developments of URIAARK and other archival institutions in certain directions and types of work. These publications specify general methodological provisions and define peculiarities of work in accordance with specificity of documents specialized for archives, taking into account available experience.

The various types of methodological manuals include the guidelines, memos, work instructions, methodological letters, nomenclatures of files for institutions and establishments, schemes of systematization of funds documents, historical references to funds, reviews of certain areas of work for the purpose of experience exchange, etc. A common feature of all types of methodological manuals is their practical orientation.

The “methodological recommendations” are compiled for both branch (internal) and non-branch (external) use. The methodical guidelines of the first type represent effective forms of work organization and new technologies based on the results of scientific research and study of experience of archival and other institutions. The methodical recommendations for employees of record keeping and archival services of ministries and departments of Ukraine are prepared by archival institutions on the basis of relevant normative and methodological documents, analysis and generalization of practical activities, substantiate new approaches to organization and methodology of certain types of work and implementation of technological processes.

As a methodological guide, the “guidelines” has a narrower applied meaning. It is intended to describe in detail certain operations and work methods and can be either an independent document or an appendix to another regulatory and methodological document.

The “instruction” regulates the procedure for performing work, presents the content of individual processes and the sequence of actions. The work instructions determine the organization and methodology of work on a specific task: preparing a collection for publication, preparing an exhibition, and processing a collection. As a rule, the instruction includes the following sections: the purpose and objectives of the work, the composition of the materials used for the work, the organization of the work (including the sequence of work), and methodological instructions for performing each type of work. The appendices to the instruction may include a calculation part, references, diagrams, and tables. A necessary requirement for

methodological manuals of all types is clarity of wording, the use of common terminology, the absence of repetition and general statements.

The mandatory requisites and structural components of any methodological manual are the title, annotation, general provisions (introduction), main chapters, list of bibliography and references; if necessary, appendices. The title is to be informative and fully reflect the content of the manual, while the subtitle should indicate the type of manual. The annotation briefly conveys the content, formulate the purpose, indicate the value of the manual, and provide recommendations for its use. The introduction briefly summarizes the experience on this issue, the analysis of regulatory and methodological documents and literature on the issue, the justification of the proposed methodology, and the purpose and objectives of the manual. It is also important to clearly define the goals, main tasks, scope and methods of work that give the maximum effect with minimum costs, the sequence of their implementation, the number of executors, performance standards taking into account executors, the content and features of the documentary materials required to support the work.

Methodological manuals preparation includes the following stages: the development of a plan, the preparation of a draft, the review and discussion by the methodological commission (EVC, EC), finalization of the draft with consideration of comments and suggestions, finalization of the draft and approval of the manual by the archival institution management. The drafts of prepared methodical manuals are discussed at meetings of methodical (expert-methodical) commissions, formed in archival institutions for consideration and solution of issues of methodical support of works, or at methodical meetings. This form of methodological work is widespread in state archival institutions. At methodological meetings, practical training sessions, the main provisions of the implemented methods are explained, the spheres of their application, possibilities of use, and organizational measures are determined. The similar seminars, meetings and consultations are also held for employees of the departments. The intensification of methodological work of archival institutions is also evidenced by the number of publications of this type:

compared to 1991, when seven methodological manuals were prepared, their number increased to twenty-one in 1997. These are, in particular, “Ways to protect paper-based documents from biological damage” (URIAARK), “Actual problems of compiling scientific and reference apparatus to the collection of the Prague Ukrainian Archives” (Central State Archives of Public Organizations of Ukraine), “Completing of the RIFs of the State Archives of Ivano-Frankivsk region” (the SA of Ivano-Frankivsk oblast), “Conducting appraisal of documents of primary organizations of the Communist Party of Ukraine” (the SA of Kharkiv region), etc.

The normative documents and methodological developments are implemented in the work practices of the archives according to the implementation plans. The implementation of new methodological developments by consulting employees and providing them with assistance directly at their workplaces is another form of methodological work. It is divided into experimental and practical.

The experimental (trial) implementation is an initial stage that provides confirmation of the main provisions of the topic under development before it is completed. The experimental implementation is envisaged in the work plans as one of the topic development stages.

The practical implementation is the approval of publication (replication) and putting into effect of normative documents and methodological developments or the use of the provisions and conclusions of theoretical and applied researches in the research, methodological and practical activities of archives.

The normative documents and methodological manuals are considered to be implemented if practical work is carried out in accordance with them.

According to archival statistics, 105 works were published during the years 1959-1965, 64 of which were the documentary collections. Most of all archival institutions created methodological manuals in 1976-1980, when 522 methodological manuals were prepared, reflecting peculiarities of composition, content of funds, arrangement and description of documents, conditions and organization of archival institutions work. Of these, 79 were devoted to ensuring the preservation of documents, 82 dealt with the selection of documents for state storage,

appraisal and funding, 163 were about the creation and improvement of scientific and reference apparatus, 67 were devoted to the use of documents, 22 were concerned with the organization of work, planning, controlling over fulfillment of planned tasks, reporting, etc. During 1991-1997, the State Archival Institutions of Ukraine prepared 82 methodical manuals, 27 instructions, 28 memos, 8 analytical reviews, 13 nomenclatures of files and other scientific and methodical publications on relevant problems of archival studies.

The periodicals play a significant role in solving the issues of organization and methodology of archival institutions work, generalization and dissemination of best practices. The scientific and practical journal “Arkhivy Ukrainy” and the URIAARK scientific annual “Studies on Archival Affairs and Document Management” publish the articles and reports on methodological aspects of archival institutions activities. The methodology issues are also covered in regional publications of archives of the Autonomous Republic of Crimea, Donetsk, Kherson and Transcarpathian regions, contributing to solving a number of scientific and methodological problems, replication of normative and methodological documents to provide all district and city archives with them.

#### **4. Seminars and conferences as forms of scientific and methodological work**

One of the important areas of research and methodological work is the preparation and holding of scientific and theoretical conferences, seminars, readings, “round tables”, which have become traditional in most archival institutions of Ukraine. Such forms of work contribute to raising the archivists’ professional level, enable them to master research methods, obtain valuable information on specific issues, and establish useful scientific contacts. Conferences can be international, all-Ukrainian, interdisciplinary, city, and within one archive. The key to the success of a scientific conference is a well-detailed programme and topics of presentations,

timely informing of interested organizations, institutions and individual scientists about its being held. As a rule, the texts of papers, reports, and speeches (as well as information about the author) are sent to the conference organizing committee in advance, and they are listened to and discussed at the plenary or sections.

In Ukraine the first scientific conference of historians and archivists was held in June 1961. Tasks of archival institutions in developing theoretical issues of archival studies and other special historical disciplines were discussed there. Later on, such scientific events were held in 1965, 1967, 1972, and 1978. Not only archivists but also scholars from academic institutions, teachers of higher education institutions, museum and library staff from Ukraine and abroad participated in conferences.

A certain contribution to the development of archival affairs was made by the Republican Scientific and Practical Conference “On Actual Problems of Theory and Practice of Archival Affairs” (1978), dedicated to the 60th anniversary of Soviet archival affairs. Archivists and scientists discussed a range of archival construction topical issues, made important theoretical generalizations and conclusions, and developed practical recommendations. The thematic scientific conferences, attended by more than 3.5 thousand people, were simultaneously held by all central and 24 regional archives.

The tradition of holding scientific and scientific-practical archival conferences in Ukraine was revived in the early 1990s.

The scientific aspects of archival reform implementation in order to bring archival affairs to the level of modern requirements, as well as the issues of research and methodological work of archival institutions were discussed at the scientific and practical conference “Contemporary problems of archival affairs development in Ukraine” on March 15-16, 1995 in Kyiv, organized and held by the Main Archival Administration of Ukraine, the Association of Ukrainian Archivists, URIAARK, M. S. Hrushevsky Institute of Ukrainian Archaeography and Source Studies of the National Academy of Sciences of Ukraine, Vernadsky Central Scientific Library of the National Academy of Sciences of Ukraine (nowadays Vernadsky National



Library of Ukraine), Taras Shevchenko National University of Kyiv, and Kyiv National Institute of Culture (nowadays Kyiv National University of Culture and Arts). At two plenary sessions, 37 reports and presentations were listened to, devoted to the search for ways to further improve archival management in Ukraine, the problems of branch affiliation of archives and status of their employees, ensuring preservation of archival documents, the prospects of scientific and publishing activities of archival institutions, etc. On November 19-20, 1996, the archival conference “Ukrainian Archival Studies: History, Current State and Prospects” was held, organized by the Main Archival Administration of Ukraine, the URIAARK, the Association of Ukrainian Archivists, and Taras Shevchenko National University of Kyiv. The plenary and sectional sessions of the conference discussed the topical issues of archival construction, the ways of development of archival studies as a science in independent Ukraine, the problems of training archivists and teaching archival disciplines in universities, etc. More than 200 scholars representing research institutions, archives, libraries, museums, and higher education institutions attended the conference. The stability of the renewed tradition was evidenced by two scientific conferences held in Kyiv in the autumn of 1997. The scientific conference “Archival and Library Affairs in Ukraine in the Era of Liberation Struggle of 1917-1920” (October 28-29, 1997), initiated by the URIAARK, was dedicated to the 80th anniversary of the establishment of General Secretariat for Educational Affairs of the Ukrainian Central Council of the Library and Archive Department. 57 reports were heard from employees of archival and library institutions of Ukraine, academic institutes, and higher education institutions from Donetsk, Zaporizhzhia, Ivano-Frankivsk, Kamianets-Podilskyi, Kirovohrad, Kyiv, Lviv, Mykolaiv, Poltava, Simferopol, Kherson, and Khmelnytskyi at the three plenary and three sectional sessions. The conference featured genetic kinship, common historical past, identity of many professional problems of archival and library affairs and showed the need to consolidate archival and library professional resource potential for joint solution of common branch problems. Almost simultaneously with this event, on October 23, 1997, the Central State Archives of Public Organizations of Ukraine hosted a

scientific and practical conference “Archival and Investigative Files of the Repressed: Scientific and Methodological Aspects of Use”, which for the first time was devoted to the topic of source analysis of previously classified archival and investigative files. The employees of archival institutions, academic institutes, the Security Service of Ukraine, prosecutor’s offices, commissions for the restoration of the former repressed people’s rights, members of the “Memorial” society, and others discussed the problems of studying and multi-purpose using this specific historical source.

At the same time, the activation of regional state archives in holding conferences (jointly with higher education institutions, local history societies, etc.) convincingly testifies in favor of the effectiveness and popularity of this form of scientific and methodological work of archival institutions in the context of the postgraduate education system formation.

The Ukrainian archivists actively participate in international conferences, congresses, meetings, and symposia. For instance, Ukraine was represented at meetings of editors-in-chief of archival journals (Moscow, 1986; Potsdam, 1989). The Potsdam meeting “Contribution of a Special Journal to the Development of the Theory and Practice of Socialist Archival Affairs” was attended by the editors-in-chief of the journals “Sovetskiie Arkhivy” (Russia), “Arkhivy Ukrainy” (Ukraine), “Archive Pregled” (Bulgaria), “Archeion” (Poland), “Archivni casopys” (Czech Republic), “Slovenska Archivistika” (Slovakia), “Archivmitteilungen” (Germany). During the meeting the need for cooperation was confirmed and the possibility of publishing an international archival journal was discussed. A significant event for Ukrainian archivists was their participation in the XIII International Congress on Archives (Beijing, 1996). The Deputy Head of the Main Archival Administration of Ukraine V. Lozytskyi was elected a member of the Executive Committee of the International Council on Archives (ICA) and the ICA European Commission, which showed Ukraine’s growing authority in the international arena.

Another direction of scientific and methodological work is holding “round tables” on the basis of the Main Archival Administration of Ukraine, URIAARK,

central state archives with the participation of representatives of ministries, departments, academic institutions of the similar area of expertise, universities of Ukraine to solve important issues of modern archival construction. In particular, at the “round table” meeting on the archivists’ training and retraining on November 29, 1995, it was noted that the development of archival institutions in the conditions of building an independent state and democratization of personnel work in the field require qualitatively new approaches to the organization and content of archivists’ educational and professional training. At the same time, it was pointed out that it is expedient to organize advanced training courses for archivists, to hold scientific and practical conferences, and to cooperate closely with universities training historians and archivists. At the “round table” meeting on informatization of archival affairs, held in June 1997 on the basis of URIAARK, the concept of informatization on the basis of systemic computerization of archival affairs in Ukraine was discussed and generally accepted. To improve the formulation of research work, its organization and methodological support, the instructional meetings, scientific and practical seminars, meetings of co-executing institutions of a particular scientific topic are of great importance. Such meetings determine the relevance of each of the topics under development, outline the tasks and methods of research. The development of scientific and publishing work of archival institutions was facilitated by the scientific and practical seminar of archaeography of archival institutions of Ukraine held by the Main Archival Administration of Ukraine on November 23, 1995, whose participants stated the need to accelerate work on the “Rules for the publication of historical documents”, preparation of a practical manual on Ukrainian paleography of the 11th-19th centuries”, creation of a program for publication of sources on the history of Ukraine, resumption of the practice of all-Ukrainian archaeography meetings holding.

The permanent scientific and methodological seminars are an effective form of archivists’ involvement in research and methodological work, active exchange of opinions and new information. As a rule, all archival specialists are involved in the work of the seminar. Each participant develops a topic or issue related to his/her

work expertise and submits a report. At the seminar meetings, where employees of other institutions or higher education institutions may be invited, the reports on new research and methodological developments are presented, and the current problems of the archival industry are discussed.

The scientific and practical seminars on problems of special historical disciplines, held in central archives, were positively evaluated by the scientific community. Many years of experience of such seminars on special historical disciplines (Central State Historical Archive of Ukraine in Lviv), theoretical seminar on the organization of scientific and technical documentation (Central State Scientific and Technical Archive of Ukraine in Kharkiv) and methodological seminar of Central State Archives of Public Organizations of Ukraine demonstrate the importance of this form of work. The separate seminars also addressed the place and role of special historical disciplines in the study of the historical process (Central State Historical Archives of Ukraine in Kyiv), the experience and problems of scientific and publishing work of archival institutions (Chief State Archive of Ukraine), the problems of improving scientific and reference apparatus for National Archive Fund documents (Central State Archives of Public Organizations of Ukraine), importance of publication work in the system of information on the composition and content of archival funds (State Archives of Lviv region), etc.

National archival periodicals of different times played an important role in disseminating scientific ideas in the field of archival affairs, addressing issues of organization and methodology of archival institutions, generalizing and disseminating best practices. The central periodical of the archival system of Ukraine was founded in the mid-20s, when the scientific and publishing activities of Central State Historical Archives of Ukraine began. The scientific (later – popular science) journal “Arkhivna Sprava” (1925-1930) was founded, covering issues of theory and practice of archival construction in Ukraine. Articles on archiving, information on the history of archival institutions in Ukraine and abroad, reviews of documents central and regional archives and of archival literature were published there. At the same time, the first attempts were made to publish the reference and

information bulletins on current archival construction on the ground, namely “Chervonyi Arkhivist” (Kyiv Provincial Archival Administration, 1924), and “Arkhivnyi Robitnyk” (Luhansk District Archival Administration, 1926-1927). In the early 1930s, the periodicals of the Central State Historical Archives of Ukraine (the journal “Radianskyi Arkhiv” superseded “Arkhivna Sprava” in 1931-1932) were reorganized and merged into a journal “Arkhiv Radianskoi Ukrainy” (1932-1933). With the publication in 1947 of the first issue of the “Scientific and Information Bulletin of the Archival Administration of the Ukrainian SSR (since 1965 - Scientific and Information Bulletin “Arkhivy Ukrainy”, since 1991 - Scientific and Practical Journal) the archival periodicals were restored. In addition, in the early 70s, Donetsk Regional Executive Committee organized the publication of a thematic archival bulletin (1971-1973) devoted to scientific and methodological issues in the field of archival affairs. In the 1980s, a similar informational and methodological bulletin was launched by the archival department of the Crimean Regional Executive Committee, which contributed to solving a number of scientific and methodological problems and the problem of replication of normative and methodological documents to provide all district and city archives with them. Nowadays, along with the only branch scientific and practical journal “Arkhivy Ukrainy”, the URIAARK scientific annual “Studies on Archival Affairs and Documentation” was founded in 1996. Its main task is to revive the best traditions of national archival studies, archaeography and source studies and at the same time to highlight the achievements of modern Ukrainian archival science and practice.

From the above we can conclude that research and methodological work is becoming increasingly important in the activities of all archival institutions. The scientific-theoretical and methodological developments lay a solid foundation for reforming the archival system, the introduction of new technologies and methods in archival affairs, the generalization and use of advanced national and foreign experience. The main centers of research and methodological work in the archival sphere are the Ukrainian Research Institute of Archival Affairs and Records Keeping, central state archives, which fruitfully cooperate with scientific institutions

of the National Academy of Sciences of Ukraine and archival departments of universities. The mastery of modern research methods is a prerequisite for training highly qualified archivists. Writing term papers, bachelor's and master's theses, research abstracts, and reports are considered to be important factors of students' involvement in scientific research.

**CREDIT 5**  
**INFORMATIZATION OF ARCHIVAL AFFAIRS. RESEARCH WORK OF**  
**ARCHIVAL INSTITUTIONS**

**LECTURE 15**  
**USE OF ARCHIVAL DOCUMENTS AND ARCHIVAL HEURISTICS**

**Plan**

- 1. Classification of archival information needs and consumers**
- 2. Main areas and forms of archival information use**
- 3. The role of archival heuristics in documentary information use**
- 4. Forms of organising archival information use**
- 5. Peculiarities of organising archival information use on various media**
- 6. Effectiveness of scientific and information activity. Archival marketing**
- 7. Connection of the organisation of archival information use with other areas of archival institutions activity**

**1. Classification of archival information needs and consumers**

Studying modern society's needs for archival information is an important task of archival institutions. Therefore, the question of such needs classification arises, which can help in understanding the ways and means of timely delivering necessary information contained in National Archival Fund (NAF) documents to the consumers.

Modern archival science, in addition to the usual and most common classification of needs by subject feature, also uses the following:

- chronological or historical principle – the need for information related to a specific historical period and contained in the documents of the corresponding historical epoch;

- geographic principle – the need for information on a specific region and from documents of particular administrative territorial units;
- hierarchical principle – the need for information from various levels of local, regional and central authorities, structures and organisations;
- industry principle – the need for information related to specific industries of state, economic, cultural, and social activities;
- address principle – the need for information related to the activities of a certain office of origin or several offices of origin, for example, in the case of joint or family fund;
- material principle – the need for the information contained in documents depending on the method of information recording;

The above-mentioned criteria for classifying archival information needs can help archivists determine which state archives, funds, collections, individual documents are most in demand among consumers and which are either unknown or not yet relevant. And this, in turn, helps archivists not only take into account existing requests but also intervene in regulating archival information needs, better organise the use of certain NAF documents, improve their reference apparatus accounting, accept documents for state storage, etc.

An interesting attempt is made to introduce the classification of the needs for retrospective documentary information by effect awaited by the consumers from its use. The Russian archivist V. Avtokratov researched this question in his time and singled out scientific and historical effect of archival document use, technical and economic, managerial, social and legal effects, the effect of creating an individual's subjective world, and also strategic and aesthetic effects.

Since the need for archival information can be manifested only through its consumers, not only the needs but also information consumers are subject to a certain classification. Its common scheme does not exist yet since its fundamental feature is not identified at the first level of classification definition. In practice, when analysing



user composition archives put forward their own qualification schemes, and this complicates data generalisation and comparison within the entire system. An attitude to analysis depends on whom to consider the consumer: a specialist having come to the archive or the institution he/she represents. The majority of researchers tend to abandon the professional feature as fundamental and accept the user's field of activity as the first level of classification. The following fields of activity varying in the nature of work are offered: management, scientific research and design engineering, production, instruction, personnel training and retraining, creative activity. At the second level of classification, users are proposed to be grouped by profession, specialisation, position, education, academic degrees, etc. Such characteristics as users' professional and regional affiliation, qualification, including academic degree, academic rank, time spent working on the topic, publications, and a number of others.

## **2. Main areas and forms of archival information use**

In the practice of state archives scientific and informational activity the following main areas of archival information use are singled out:

a) the field of management. As a rule, in this area retrospective documentary information is used for the preparation of managerial decisions, when information on the state of management objects and their past work is needed. In this case, archival information is used to solve various problems of political and economic life of the state or its region: forecasting development trends; analysing the dynamics of industry, regions and cities development; reorganisation of authorities and governing bodies, their structure and functions. Consumers, as a rule, use the information received from archives in the most characteristic form in the field of management: plans, reports, references, various calculations;

b) the field of economy. In this area, the use of archival information has mainly applied significance — in the reconstruction of old and design of new industrial facilities, the study of water energy sources, mineral deposits, laying communication lines in construction, architecture, including restoration projects preparation, and in many other fields. Based on the information found in archives users create new documents: projects, statistical tables, collections, reference books, memos, various scientific and technical documentation, mainly at the stage of design engineering (drawings with explanatory notes and specifications, patent applications, and their descriptions, etc.);

c) political life. Documents used in this area characterise the relations between different states, nations, classes, social strata, and political associations. Such documents are actively used in international relations, state domestic policy. In this case, archival information becomes the basis of other users' works: books, booklets, articles, document collections, posters, radio and TV programs, documentaries, diplomatic and foreign trade documents (memorandums, notes, aide-memoires, statements, etc.);

d) scientific activity. In this area, retrospective documentary information is used mainly to provide a source base for the development of humanities, natural, technical and other sciences. Consumers use document collections, scientific monographs, dissertations, popular science booklets, articles in periodicals;

e) cultural and spiritual life. One of the main tasks in this area is the popularisation of knowledge in various fields of education, culture and art. Retrospective documentary information is widely used in various fields of culture and art, local history, spiritual life, especially in connection with the study of historical events, biographies of national, state, and cultural figures, the history of educational, scientific, and cultural institutions, etc. The forms of consumers' use are books, articles, museum exhibits, documentaries,

television and radio programs, works of literature and art, restoration projects in the field of architecture and applied arts, etc.;

f) social and legal field. In this area, archival information directly serves a specific person, protects citizens' rights and interests. It is used to confirm legal and property rights of citizens, establish various benefits, pay pensions, confirm the facts of persecution by the totalitarian regime and other important facts of state and social activity. The consumer receives a standard archive certificate from the archival institution, based on which he/she submits various letters, applications, complaints and requests to state institutions and legal authorities.

### **3. The Role of Archival Heuristics in Documentary Information Use**

The most important thing for effective archival document identification and their use organisation is the culture of information retrieval organically combining the complex of such knowledge as the patterns of documents creation by the office of origin, its history; the history of forming the country's state archives system; the principles of state archives acquisition and criteria of document appraisal; reference apparatus system, reference literature complex, document publications and much more.

The main task of archival heuristics, which is a special historical discipline about the ways and means of archival information retrieval, is searching and identifying the documents of certain subject, focus and authorship, etc. Identification of previously not used or little-used documents and involving them in scientific and practical circulation is the most important means of increasing the efficiency of archival information use. Archival search should be accompanied by source analysis of identified documents. But it should be recognized that its scale does not quite meet the modern needs of both historical and archival science. In this regard, it is necessary to enhance the role of state archives and archivists in working with

historical sources. Archivists are associated with bearers of unique knowledge on NAF documents, and this potential should be used to the full. In-depth source study development of archival funds simultaneously with the study of society's information needs makes it possible to better satisfy the spiritual and scientific needs of both documentary information consumers and archivists themselves.

A number of information retrieval process features are identified in the research dedicated to archival heuristics issues. The first feature is an understudied creative process having individual, specific character and depending on user's (researcher's, scientist's, archivist's) intellectual abilities. An essential feature of the process is the establishment and explanation of links between phenomena (information, documents, facts, etc.). The second feature is a technical process of information retrieval. In a broad sense, it consists in methodical preparation, studying bibliography, collecting various data, including the work with archival documents. In this case, archival document search takes centre stage. V. M. Avtokratov first formulated the idea of the so-called cross-search. It allows one to make fuller use of funding theory and the peculiarities of building reference apparatus system and also take into account the specifics of researchers' work — one of the main categories of archival information users. Researchers are archivists themselves searching for documents.

Cross-search includes simultaneous search both by genetic vertical and logical horizontal. Search by genetic vertical is based on fund description, that is, on the system of finding aids of a specific archival fund including descriptions, reviews, and various indexes. Search by logical horizontal is based on a system of interfund finding aids including various catalogues, subject reviews, computer-assisted retrieval systems and other directories. This search allows one to directly find documents related to the research problem. By using both methods of document search, the user finds the necessary information. However, most often he/she uses long information search by genetic vertical. This is caused by the fact that finding aids, created according to document classification, hold a leading position in the system of state archives reference apparatus.

Western archivists distinguish two other interrelated ways of archival search. The first way, called by English scientist Little “the process of guessing”, is connected with the fact that the user (archivist or researcher) makes generalised conclusions based on the received information proceeding from the fact which administrative or public institutions created the documents related to the research object. The second way of search is focused on the target document – the user starts working with a card catalogue or index describing the content of each document in detail. This way is pretty similar to libraries work. Therefore, all library innovations – indexing technique, thesauri compilation, information retrieval languages, MARC format – greatly influence the search process in state archives.

Wider use of computers increases the gap between these two search ways. Multilateral search of individual documents, in contrast to linear search based on the origin principle, becomes multidivisional. However, we cannot abandon the traditional search. Firstly, its low efficiency in comparison to the first way of search has not been proven yet. Secondly, it is hard to imagine the moment when each individual document will be fully described in a machine-readable format.

The development of archival heuristics is directly related to overcoming all kinds of difficulties including ignorance barriers, in particular material and linguistic barriers.

Ignorance barrier arises not only due to the user’s lack of information on archival documents at the moment, which may be the consequence of finding aids relative unavailability (limited circulation, lack of advertisement) or user’s insufficient information culture but also due to the lack of information on archival documents because of technical limitations or as a result of artificial ideological limitations of the past. They, in fact, were aimed at creating the environment of scientific ignorance. Therefore, prompt informing the general public about the lifting of unreasonable restrictions of certain document categories use is needed.

Material barrier, especially in modern conditions, is a significant obstacle to archival research. Lack of computer communication between individual state

archives and all-Ukrainian database does not allow user to promptly receive information on his/her search subject leading to unnecessary trips, significant loss of time, or vice versa, the inability to undertake necessary scientific business trips for search purposes.

Linguistic barrier especially characteristic of Ukrainian western and southern region archives storing documents in Latin, Polish, German, Hungarian, Romanian and Hebrew should also be highlighted. It creates additional difficulties for user required to master these languages. A certain barrier is the presence of industry archival institutions carrying out long-term storage of specific archival documents. In fact, the researcher does not have any finding aids on the content of these documents or any data on what archival information may be contained there.

Unresolved problems of archival heuristics significantly influence the effectiveness of NAF use. In modern conditions, only a few per cent of information contained in NAF documents is in scientific and public circulation every year.

#### **4. Forms of organising archival information use**

Consider the most common forms of organising documentary information use.

Proactive informing is one of the most effective means of unlocking the information potential of NAF of Ukraine, as well as proving social significance of archives. It is with its help that social and state needs for archival information are formed and constant access to archives is stimulated. Another feature of proactive information is the anticipatory meeting the demand of large social groups, power structures, institutions, organisations, individual citizens. To this end, special information documents are prepared in archives: information messages, orientation references, topical information lists, reference lists.

Information message, as well as identical, although somewhat outdated in form orientation reference, is an official appeal of the archive to any addressee

(authority, scientific or project institution, bank, insurance company) containing a brief account of archival documents which may be of interest to it. Information message aims at drawing attention to archival information and establishing business contacts with the addressee, which is why information is given generally.

Topical list, unlike information message, contains specific lists of headings of files, individual documents on certain topic indicating dates and search data. It is made mainly upon request of interested consumers having already received archival information message. Much less frequently it is primary information. Its established form includes a title, a short introduction setting out the chosen topic relevance and indicating the funds used and those containing additional information and documents characteristics. At the same time, document date, type, author, correspondent, content (in more detail than in the description) and search data are indicated.

A specific form of proactive informing is a reference list containing information only about minerals (their discovery and exploitation) and being sent to geological organisations in order to help them solve practical issues of deposit development. Since this type of archival information use has advertising and reference value and offers information on NAF to a potential user, the forms of proactive informing also include advertisements, brochures, posters, documentaries, photo albums, etc.

One of the most important social functions of archive is meeting the social and legal, genealogical, thematic requests of citizens. It is about providing archival copies and certificates of work experience, salary, education, military service, combat action, awards, persecution by the totalitarian regime, civil status, property rights, state and public activities. To receive such information an extensive archival search is carried out by many funds of state, administrative, educational and other institutions. As a rule, special reference departments (information desk, reference group) execute social and legal requests in archives. Information desk accepts applications from citizens, registers them, provides necessary advice to visitors, and issues certificates. Reference department should have information reference

literature, both general and archival, special card indexes (renaming of institutions, organisations, awards, personnel).

The main work of such department employees consists in accurately determining the archival funds which may contain the necessary information, reviewing descriptions, reference card indexes and reviewing files page by page. Search results are presented in the form of one of the response forms established for archival institutions: archive certificate, archive copy, extract from the archives.

Archive certificate is a type of information document having legal force and containing notice of information available in the archive funds relevant to the request content, with a reference to the document search data.

Archive copy is a written reproduction of the document full text, officially certified by the archive.

Extract from the archives is a verbatim reproduction of the document text part related to a specific question, fact, or person, officially certified by the archive.

This type of archival institutions work has extremely important social significance since it is directly connected to pension and compensation payment, provision of benefits and other forms of citizens' social protection. At the same time, it is also a traditional form of archives work, which they have been doing since ancient times.

A relatively new form of work for Ukrainian archivists is executing genealogical requests. Archival institutions of the former USSR received permission to deal with it only in 1989. For the archives of almost all countries in the world, this is an old and familiar work.

For example, in the US National Archives, a special method of research that can be carried out directly by visitors has been developed, although this type of activity does not rely on archivists. All data on general censuses having been conducted in the US regularly every ten years starting from 1790 is available for visitors in a convenient form (mostly microfilms). In a separate place, there are reports on Indians (1830–1940) from the funds of the Bureau of Indian Affairs, as well as land ownership documents, data on the naturalization of immigrants (1790–



1950) indicating name, age, nationality and country the immigrant came from. The passenger lists from the Atlantic and Pacific Oceans ports first created in 1820 are interesting genealogical documents. Since in Ukraine such documents have been preserved in a limited number and are inaccessible to an average researcher due to the lack of microfilming, lack of preparation, and poor physical preservation, archivists conduct such research.

Genealogical request involves searching for archival information establishing family relationships in the chain of generations. This data is needed for building a family tree having become more and more important to our citizens recently. The response forms are practically the same as for a social and legal request. But the consumer may wish to find his/her ancestors three or seven generations back to build a family tree, which is an extremely complex scientific work that archives hardly perform.

When accepting such requests, it is important to collect all the information necessary to make inquiries: accurate biographical data, institutions and organisations names. Its clarity will ensure the correct search for the necessary information and significantly reduce the time of request execution. A significant part of negative responses is caused by the irreparable losses of NAF in the period of recent world and civil wars, as well as the unresolved issue of acquiring documents containing personal information. There is still no clear idea of which civil, industrial, and biographical information should be the subject of long-term archival storage. The situation is complicated by incomplete information on the personnel of the institutions, organisations and enterprises in archival funds, previously accepted to the state storage, as well as the dispersion of archival documents on civil status between state archives and the archives of Civil Registration Offices keeping them for 75 years.

Thematic requests come mostly from public authorities, scientific institutions, newspapers and magazines editorial boards, museums, etc. They require finding archival information on a specific topic, for which, as a rule, systematic, subject, name, and chronological archival catalogues are reviewed. The results of finding

archival documents are recorded on cards, which are then chronologically systematised and become the basis for drawing up a certificate. The response form to a thematic request may be archive certificate, archive copy, as well as information message, topical list, etc.

All forms of reference work aimed at the general consumer are a very important factor in enhancing archives social significance and creating their positive image.

An important form of archival document promotion is archive expositional work, organisation of documentary exhibitions providing an opportunity for a significant number of visitors to get acquainted with unique documents of NAF of Ukraine having historical and social and cultural significance. The most valuable and interesting documents (written, printed, illustrative, photographs, maps), which are then presented in a form convenient for an ordinary viewer's perception, are selected for exhibiting.

As a rule, exhibition themes are related to the pressing issues of the country's social and political life, timed to historical dates, anniversaries of prominent state, public and cultural figures, and other events of interest to the public. Depending on the exhibition time, they are subdivided into permanent exhibitions (for example, exhibitions about the history of the statehood, archival institution), exhibitions where exhibits are changed regularly, and temporary exhibitions lasting for a short time (from several days to several months). According to the exhibition location, they can be stationary or travelling. Stationary exhibitions are located in special rooms fitted with stands, showcases, and other equipment. Travelling exhibitions consist only of document copies on mobile stands and panels and can be exhibited in convenient places (culture centres, cinemas, institutions halls, parks, etc.). Exhibition success depends, as a rule, on the use of all possible exhibits, not only archival documents, successful artistic design, and the use of specific means (montage, collage, backlight).

Copying of exhibitions (production of photo sets, photocopies sets), exhibiting them abroad in Ukrainian diplomatic and cultural institutions is gaining

importance. This requires a careful attitude to document selection, especially to the quality of their copies, spectacularity and translation into other languages. Exhibitions significantly increase the number of archival information consumers, especially when they host scientific and cultural events.

A form of exhibiting archival documents, such as commercial exhibitions, has also appeared. They can be made to the order of commercial and business structures, charge entrance fee, provide various paid services, in particular the sale of documents photo and xerox copies. Accumulated experience shows that with a clear organization of exhibitions, quality services provision, and extensive advertising, such expositions allow archives to promote archival documents more actively and diversely.

Archival institutions exhibition activity is of great importance in promoting NAF documents, raising public awareness about the social significance of archives, and historical and cultural education. An example of this is the permanent exhibition at the US National Archives, where the original Declaration of Independence and other documents are on display.

NAF documents are used more and more widely through mass media, in particular the press, radio, television, informing a wide range of retrospective documentary information consumers about the composition and content of NAF of Ukraine as a whole, archive groups of an individual institution, the work of the state archival service and the services it provides.

Document selections, feature stories, articles, newspaper pages, short reports can be prepared for the press. Document selections, included in newspapers and magazines, show several documents on the same subject under one heading in subject or chronological order fully or in fragments. Document selections publication is accompanied by an explanatory text containing their characteristics, a description of the historical context, when they were created, etc. Feature story is a description of certain historical events or the activities of historical figures based on archival documents. Thematic page is a newspaper page dedicated to certain topic coverage (historical event, person, region, individual enterprise) with extensive use

of archival documents. Publications are most effective when using different types of documents: text and graphic documents, photos, maps, tables, etc. The frequency of archival publications and their thematic connection also have a positive effect.

Archival institutions also organize the use of documentary information via radio and television in the form of thematic discussions, interviews, reports, press conferences. Programs can be grouped into series, regular segments. Creative contacts with radio and television studios are of great importance. This type of work requires the preparation of the program thematic scenario. Because of the mass audience this form of archival information use is extremely important.

The traditional form is the use of documents in the reading room bringing together the work of the archive and the library. There are reading rooms in all state archives: central, regional, city, central industry, and many departmental. According to the Law of Ukraine “On the National Archival Fund and Archival Institutions,” citizens of Ukraine and foreign citizens have the right to use documents on the basis of personal application, identity document, or education document. Researchers working in the reading room are provided with all the necessary printed publications: guides, finding aids, indexes, reviews, catalogues, as well as document collections on the topics specified for the research. Advice from experienced archivists is at the visitors’ service.

Foreign practice in this area is somewhat different from domestic practice. For example, at the National Archives of Canada, contact between a researcher and a reading room worker is minimised. The visitor receives advertising and informational brochures providing detailed information on the archive funds, the procedure of working in the reading room; computers with educational programs are at his/her disposal. There is a publicly available archive fund index – an index of all funds and collections and their descriptions. After studying all reference publications and documents, the researcher orders the necessary archival materials.

In Ukrainian archives, orders are accepted by reading room supervisor exercising general control over researchers’ work. To ensure document preservation in the archives, all unique, valuable and most frequently used collections are

microfilmed, and such documents are handed over to the reading room only in the form of microfilm.

Supplying reading rooms with modern equipment is of great importance. If in the National Archives of Canada accepting, accounting of orders and control over document registration is carried out using a computer, then in Ukraine, not even all archives are equipped with photocopiers. In addition, in order to better preserve the oldest documentary artefacts in Ukraine, it is forbidden to make photocopies of documents created before the beginning of the 20th century.

One of the most effective means of distributing archival information is document publication. It is carried out through the scientific cooperation of historians', archeographers', and archivists' work. Document publications stimulate historical research. Only after documentary sources become available in the form of publications, researchers get the opportunity to approach writing papers with historical accuracy. This became especially noticeable after the publication of several large collections of medieval documents published by archivists.

These are primarily 28 volumes of *Rerum Italicarum Scriptores* (*Writers on Italian Affairs*) by Modena archivist L. Muratori (1723–1751). A large collection of German medieval sources *Monumenta Germaniae Historica* (*Historical Monuments of the Germans*) started in 1826 by the secretary of Hanover archives G. H. Pertz is still being published (approximately 120 volumes have been published). In Great Britain, 251 volumes of *Rerum Britannicarum Medii Aevi Scriptores* (*Chronicles and Memorials of Great Britain and Ireland during the Middle Ages*) were published by the chief archivists of the State Archives during 1858–1911. In Ukraine, the documents and literary artefacts of Right Bank and Western Ukraine of the 14th–18th centuries began to be first published by the Provisional Commission for the analysis of ancient acts, created in 1843 under the governor-general of Kyiv, Podillia and Volhynia. Since 1845, it published *Monuments*; in 1859–1914, 35 volumes of *Archive of South-Western Russia* were published in Kyiv. Since the end of the 19th century the Archeographic Commission of Shevchenko Scientific Society in Lviv published *Zherela do istorii Ukraïny-Rusy* (*Sources on the History of Ukraine-Rus*).

The first purely archival collections of documents were *The Decembrist revolt* and *Nelehalni vidozvy z nahody Shevchenkovskykh rokovyn (Illegal appeals on the occasion of the Shevchenko anniversary)* published in 1925. They initiated the archeographic work of archival institutions.

Archival document publications can be of various forms. Corpus publication is the publication of all documents of a certain fund or collection or all documents on a certain subject from various archival repositories. Serial publication is the presentation of the fullest possible set of documents on one topic based on the same approaches and requirements. As a rule, printed sources (postcards, newspapers, booklets) are used for this purpose. Regest, that is, a formalised presentation of archival document content while preserving language features and, if possible, the structure, is a common form of archival document publication. As a rule, it is used when it is necessary to print a large number of documents of the same type.

In English-speaking countries, in particular in Great Britain and the USA, there is a special form of publishing state documents in series. In 1831–1861, historians J. Gales and W. Seaton published *American state papers* in 38 volumes. The series covers information from all fields of activity of the Federal Government from 1789 to 1832. Unfortunately, for modern government documents, this publication form is absolutely impossible, since the number of functions and the amount of correspondence of the government have increased significantly. In the practice of the Public Record Office (the national archives of the United Kingdom), a shortened form of government document reproduction has been developed — *Calendars of State Papers*. After the Public Record Office establishment, the first British archivist F. Palgrave issued an order to systematically prepare the calendars, based on the development, classification and registration of each document. Since 1841, these calendars were published as an appendix to the archive reports, and since 1855 — in separate series. With the development of this activity, information about documents became fuller, sometimes the text was reproduced fully or in the form of the most detailed retelling. Calendars are also one of the forms of reference publications. This method of publication was widely used at the end of the last

century in the USA, where the calendars series was published in 1893–1903. The most valuable of them are papers calendars of the third, fourth and fifth presidents of the USA Thomas Jefferson, James Madison and James Monroe.

A special form of sources publication is the publication of a separate artefact, that is, a document or a group of documents similar in content: *Ruskaia Pravda (Rus' Truth)*, *Lithuanian Statute*, *Hrabianka Chronicle*, *Descriptions of the Kyiv Viceroyalty in the 70s and 80s of the 18th century*.

Apart from the usual text form of document reproduction, sources publications in the form of microfilm and microfiche are also used.

In the USA, a plan for document publishing on microfilm was drawn up back in 1940 in the National Archives with the participation of Dr. S. Buck. It envisioned the microfilming of selected document series having great scientific value. At the beginning of the 1960s, more than 4 million document pages were reproduced in this way. The work is still ongoing. One of the advantages of microfilm publication is its relatively low cost, obtaining exact copies of the original documents, and the absence of the need for archeographic processing. Sometimes these two forms are combined. For example, the publication of *The Journals of the Continental Congress* (for 1774–1789) was printed in 1904–1937 and supplemented with microfilms in 1952.

Preparation of archival documents for printing should be carried out in accordance with current rules. In Ukraine, such rules are developed by M. S. Hrushevsky Institute of Ukrainian Archeography and Source Studies of the National Academy of Sciences of Ukraine and Ukrainian Research Institute of Archival Affairs and Record Keeping (URIAARK).

## **5. Peculiarities of organising archival information use on various media**

One of the characteristic features of NAF is the presence of documents on various media (paper, film, magnetic, etc.). Thanks to the widespread introduction

of new technical means into documentation practice, including computer technology, a newly created document can be recorded on any of these storage media. The world archival community is concerned about the problem of their obtaining, storage, and especially use. The Eleventh Congress of the International Council on Archives (1988, Paris) was specially dedicated to “new archives”; they were also discussed at the Thirteenth Congress of the International Council on Archives (1996, Beijing), where the question of virtual archives was even raised.

The use of documents on film, magnetic, and in some cases paper media requires the use of special technical means: film, photo, video and sound reproduction devices, projectors, film editing machines, microfilm readers, computers of various brands and types. Since not all archives have such equipment, there are such possible options: using archive own technical means, technical means of NAF users, or both on loan. All this is taken into account when drawing up a use agreement.

The introduction of computer technology is revolutionary. Computers, according to Western archivists, in addition to their ability to process unlimited amounts of information, have given birth to a new research methodology. A new type of user is also being formed. In Canada, for example, scientists conducting sanitary research are more interested in machine-readable archives than historians. When researchers accumulate enough experience to use automated databases, they will change the methodology of their work and their attitude towards traditional archives. Archives today are facing the fact that a researcher who receives information via videotext at home and opens it in the office by pressing a key is simply unable to search for information in archive using reference tools satisfying the user in the last century. Archivists should master the latest techniques so that there is no threat of widening gaps between new and old archives, and between the use of new and traditional documents.

New technologies create opportunities for archival information use in places where it is not stored. Users of various data banks existing in the world do not necessarily have to personally visit archives and libraries. They are primarily



interested not in the repositories where the information is stored but in the ways they can obtain this information. Dutch archivist E. Ketelaar noted that an archivist could become, instead of a document keeper, an information broker maintaining information contacts with his/her clients at a distance. The paperless reading room is left without visitors. But if all this is a matter of the future for traditional sources, then the distance use of new archival documents is quite real.

## **6. Effectiveness of Scientific and Information Activity. Archival Marketing**

The problem of NAF use effectiveness is not only of intraarchival importance but also crucial in the conditions of growing informatisation of the whole society. It reflects the level of retrospective documentary information perception by consumers, the effectiveness of the received information use by users in those branches of the national economy, culture, science, politics, etc., in which they work. The effectiveness of use organisation reflects the effectiveness of the archival institution's activity in providing archival information to society. Therefore, one can recognise that the high effectiveness of use organisation is the maximum satisfaction by archivists of all society's requirements in retrospective documentary information with optimal use of information resources. The term "society's requirements" refers not only to the needs embodied in actual demand but also to potential information needs identified by the archival institution for the future, which may become actual demand, including under the influence of archivists' initiatives. Among the effectiveness indicators, one should mention, firstly, the ratio of the number of files issued for use to the total number of files stored in the archive, or what part of the archive information resources is in archival use; secondly, the ratio of the number of files having been actively used (from which users made extracts and copies) to the total number of issued files; thirdly, the effectiveness of the archive information measures: to what extent they are in demand determined by comparing the subject

matter of the archive initiative information to the subject matter of the archive requests.

The effectiveness of archival document use can also be measured materially and monetary. The range of paid services in this field has increased significantly, and the cost of information has increased incomparably. Therefore, there is a need for a special service — “archival marketing”. It should be a special sociology consulting service which will deal with ensuring the connection between archival institutions and archival information consumers, creating an archival services market and determining archival work cost. The sociological part of archival marketing can be defined as the study of the range of actual and potential consumers of retrospective documentary information, the study of the consumer requests motivations and the increase in their number; demand stimulation and accumulation of information about the customers, their goals and the nature of their needs satisfied by providing archival information, advertising archives information services and studying the consequences of their provision; development of perspective recommendations on subject matter and forms of organising archival information use. The consulting and financial side of this work consists in determining specific information services prices, monitoring the effectiveness of particular forms of archival information provision, the correspondence of established prices for archival institutions services with actual demand for them.

In Ukraine, there is no such a marketing service, however, it exists in European and American archives. For example, the National Archives of Canada has a special directorate general dealing with public, media and government relations, advertising and studying the effectiveness of the National Archives documents information use. It would be advisable to have such a service at the Main Archival Department whose responsibilities should include the development of recommendations, the introduction of measures to improve the information culture of retrospective documentary information potential consumers and archivists, and the development of criteria for evaluating archival services cost. Archival institutions should focus on the production of secondary information, direct

provision of information services based on the developments and recommendations of the archival marketing service.

But when determining archival information cost, a principle of free archives use should be taken into account. Free access to archives has been the cornerstone of archival legislation since the first French decree on archives was issued by the National Convention. From that day on, 23 June 1794, this principle was legislatively proclaimed for the first time in the history of Europe and in the archival legislation of Ukraine.

Requests of Ukrainian and foreign citizens about work experience, awards, life, education, participation in wars and military conflicts, repression and deportation – in short, everything that is necessary for social protection of citizens in accordance with the legislation of Ukraine – are executed free of charge. Requests of authorities, judicial and investigative bodies, and state institutions are also carried out free of charge. Traditionally, the services provided to researcher in reading room are free. Payment is needed only for additional services: document copying using technical means, translation, text decryption, complex consulting. Private genealogists work on archive documents on a paid basis. Further development of market relations in modern society will expand the list of paid services.

## **7. Connection of the Organisation of Archival Information Use with other Areas of Archival Institutions Activity**

Effective NAF use is achieved by integrating all the main areas of archive work: NAF documents appraisal, archival institutions acquisition, ensuring document preservation, their accounting and creating a perfect reference apparatus. It is connected with the functioning of NAF as an integrated information system – an integral part of society's unified information resources. In this context, all archival institutions work is aimed at the comprehensive unlocking and optimisation of NAF information potential, providing legal, economic, financial, organisational,

technical, and scientific conditions for organising the use of archival documents and archival information.

The existence of NAF as an information system requires a comprehensive solution to many problems, in particular comprehensive legal regulation of public relations arising in connection with archival documents and archival information. As mentioned earlier, during 1993–1997, the Verkhovna Rada of Ukraine (parliament of Ukraine) approved a whole set of laws in this public sphere, however, the rights of archival institutions to independently resolve issues related to the organization of archival information use, the legal status of archival documents as objects of not only information but also historical and material value, require legislative regulation. Information created during the operation of archival automated systems, procedures for consumers' information provision and their rights require legal protection.

An important complex task is the preparation of NAF archival document array and the document information contained in them for active use by society. This is due to the elimination of unjustified restrictions on the document use, the intensification of work on the creation of security fund and use fund, ensuring necessary restoration works, improvement of document storage modes and modern technical support for the work of both archives and users.

Thus, the organization of archival information use is an integrative factor of all other areas of archival institutions activity. It brings archives of all types and levels together, enhances their role in all spheres of public life. In modern conditions, the social need for documentary information is growing immeasurably, the number of its consumers is growing steadily, the forms and means of archival information distribution are becoming more diverse, and its technical capabilities are improving. Archival heuristics is an important factor in searching for and using documentary information.

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*Навчальне видання*

НЕФЬОДОВ ДМИТРО

**ДЖЕРЕЛА З ІСТОРІЇ УКРАЇНИ ТА  
АРХІВНА СПРАВА**

*Конспект лекцій*

*Англійською мовою*

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