ANNOTATION

to the dissertation of Maxymkanova Aikhanym Khanaievna for the degree of Doctor of Philosophy (PhD) in the educational program «8D03205 – Archiving, document management and documentation support» on the topic «Funds of personal origin in the archives of the Republic of Kazakhstan: scientific basis of formation»

Description of the dissertation.

The dissertation research is devoted to the study of the scientific foundations for the formation of personal provenance collections in republican archives. Within the archival studies framework, the work examines issues related to the acquisition of archives with documents of personal provenance, the regulatory and legal framework governing methodological support, agreements between archives and records creators, as well as the specific features of collecting electronic documents of personal provenance.

Relevance of the research work. In connection with the numerous changes that have taken place since the proclamation of the republic's state independence, new views and concepts have had a clear influence on the formation of personal provenance funds, as well as on the reassessment of the activities and roles of figures of various status levels in the historical process. New approaches and concepts to the formation of personal provenance funds have emerged; however, to date, they have not been scientifically substantiated. The purpose of this study is to develop the scientific foundations for the formation of personal provenance funds. In order to reveal the content of this research, the study is based on an examination of the following issues: the scientific problems of forming personal provenance funds; the acquisition of electronic documents; as well as new requirements and proposals related to the formation of documents within personal provenance funds.

The scientific foundations of archival science represent a set of theories and methodological principles that, from a scholarly perspective, reveal the role, tasks, and functions of archives in society. These foundations are necessary for the systematic organization of the processes of acquisition, preservation, accounting, scholarly description, and use of archival documents. One of the most important areas of archival work is also the formation of funds containing documents of personal provenance.

Documents of personal provenance are diverse in their composition and content. The informational value concentrated within such funds is unique. They make it possible to clearly trace the life paths of outstanding individuals who have made significant contributions to the social and political life of society, as well as to the development of culture, art, and science. Moreover, personal documents reflect the historical period in which the creators of the funds lived and worked, their personal thoughts and actions, which is of great importance for the study of entire historical epochs.

During the Soviet period, the acquisition of archival holdings with documents of personal provenance was a complex yet highly significant process. The formation of funds of personal provenance documents preserved in archives

was carried out in accordance with established archival principles and criteria. The formation of a personal provenance funds represents a set of organizational and methodological activities performed consistently and systematically.

The system of state archives of the Republic of Kazakhstan was formed on the basis of archival practices of the Soviet period. Although these practices were maintained and applied for a long time, their scientific foundations have not yet been the subject of a specialized comprehensive study. In order to identify effective aspects of the formation of personal provenance funds and to further improve them in light of developments in scientific and technological progress, a focused scholarly analysis is required. In this context, the relevance, significance, and scholarly value of the topic under consideration are very high.

The object of the study is the problems of forming personal provenance funds in the archives of the Republic of Kazakhstan: the Central State Archive (TsGA), the Archive of the President (AP), and the Central State Archive of Scientific and Technical Documentation (TsGA STD).

The subject of the research comprises the scholarly and archival problems of forming personal provenance funds, their reference (metadata) components and informational content, the specifics of using these funds, as well as the organization of work with personal provenance documents in electronic format.

Chronological framework of the study. The study of the scientific foundations for the formation of personal provenance funds in the archives of the Republic of Kazakhstan mainly covers the period of the country's independence. At the same time, in the course of a comparative analysis of certain issues related to the establishment of the Department of Literature and Art in the Central State Archive of the Republic of Kazakhstan in 1963, chronological retrospective references are made.

The aim of the study is to examine and identify the scientific foundations for the formation of personal provenance funds in republican archives.

The objectives of the dissertation work.

– to analyze the process of formation and the methodological foundations of personal provenance funds in the Central State Archive of the Republic of Kazakhstan (TsGA RK);

– to characterize the development of personal provenance funds in the Archive of the President of the Republic of Kazakhstan (AP RK) and identify their specific features;

– to examine and analyze the particularities of the formation process of personal provenance funds in the Central State Archive of Scientific and Technical Documentation of the Republic of Kazakhstan (TsGA STD RK);

– to analyze the current state of the formation of personal provenance funds;

– to conduct a comparative analysis of the practice of forming personal provenance funds in foreign and domestic archives;

– to identify complex and debatable issues regarding the scientific foundations for the formation of personal provenance funds;

– to determine the main problems related to the acquisition and accounting of archives with documents of personal provenance in electronic format;

– to develop proposals and recommendations for improving the process of forming personal provenance funds in state archives.

Source analysis of the problem.

Due to the specificity and complexity of the topic, the study was based on a large body of sources. Factual sources related to the history of the accumulation of personal provenance documents and the process of forming personal funds in state archives were subjected to a comprehensive analysis within the framework of the research. In studying the problem of acquiring personal provenance funds, sources included normative legal acts published in accordance with the chronological framework of the study, as well as documents from personal provenance funds. Given the extensive and complex nature of the source base, the materials used can be classified according to their type and scholarly significance into the following groups.

The first group of sources consists of laws and normative legal acts regulating relations in the field of state archival administration in the Republic of Kazakhstan, including issues related to the acquisition of personal provenance documents.

The second group of sources consists of personal provenance funds stored in state archives. During the research, the composition and content of personal provenance funds in the republican archives were identified, as well as their dispersion and transfer between archives, duplication, and the presence of documents from a single funds creator in multiple archives.

The third group of sources includes reports, orders, plans, letters, lists of sources for acquiring personal provenance documents, inventories of personal provenance funds registered with the state, and other administrative and managerial documents of the Main Archival Administration under the Council of Ministers of the Kazakh SSR.

The fourth group of sources consists of methodological manuals and guidelines. Methodological foundations played a special role in the formation of personal provenance funds. Overall, the methodological principles are similar in nature; however, due to the diversity of tasks and their step-by-step implementation, certain differences are preserved in the methodological recommendations. Identifying these differences made it possible to characterize the scientific foundations for the formation of personal provenance funds.

The fifth group of sources consists of online resources. Statistical data on the use of digital applications in the digital environment, as well as United Nations resolutions, were utilized. Based on these sources, the processes of acquiring personal provenance documents in electronic format during the era of digitalization were analyzed.

The scientific novelty of the research is as follows:

– for the first time in archival science, an attempt has been made to conduct a comprehensive study of the problem of forming documents of personal provenance;

– a recommendation has been made to unify the definitions of the terms “documents of personal provenance” and “funds of personal provenance” within the framework of the Law of the Republic of Kazakhstan “On the National Archival Fund and Archives”;

– based on a new approach, principles have been formulated for identifying individuals to be included in the list of sources for the acquisition of the Central State Archive of the Republic of Kazakhstan, the Central State Archive of Scientific and Technical Documentation of the Republic of Kazakhstan, and the Presidential Archive of the Republic of Kazakhstan, taking into account their sectoral affiliation, awards, and the composition of documents;

– for the first time, scholarly problems related to the formation of funds of personal provenance have been identified;

– in connection with the emergence of new professional categories, the need has been identified for an improved, unified general methodological guide that provides for the step-by-step implementation of work on the formation of funds, taking into account sector-specific features and the composition of documents of funds creators;

– for the first time, on the basis of scholarly analysis, problems of fragmentation, duplication, and relocation of funds of personal provenance in republican archives have been identified;

– for the first time, the acquisition of archives with documents of personal provenance in electronic format has been examined; existing problems have been identified and recommendations have been proposed;

– for the first time, issues of access to funds of personal provenance, as well as their use within the regulatory and legal framework, have been comprehensively studied.

Scientific conclusions to be defended:

1. The process of forming personal provenance funds in republican archives generally corresponded to overall trends in the development of archival practice. It has been established that the specificity of these funds was determined by the nature of the official and public activities of prominent individuals, as well as by the profile orientation of archival institutions. In particular, the Central State Archive of the Republic of Kazakhstan is complemented with documents of figures in culture, art, and literature; the Presidential Archive of the Republic of Kazakhstan — with documents of state, political, and public figures; and the Central State Archive of Scientific and Technical Documentation of the Republic of Kazakhstan — with personal provenance funds of representatives of the technical, medical, and scientific spheres.

2. In the course of studying the current state of the formation of personal provenance funds in the archives of Kazakhstan, it was revealed that fragmentation, relocation, and duplication of funds are observed among archival institutions. It was also noted that, in the process of archival acquisition, priority is often given to the initiative of funds creators rather than to the profile orientation of the archives themselves.

3. Methodological guidelines for the formation of personal provenance funds in republican archives are largely similar. There is a need for general, unified, and comprehensive methodological guidelines that would take into account the sectoral characteristics of representatives of various professions and provide for acquisition based on the composition of their documents.

4. A comparative analysis of the formation of personal provenance funds in foreign and Kazakhstani archives was conducted, revealing that their regulatory and legal framework requires revision. In particular, it is advisable to unify agreements between funds creators and archives, as well as to review and improve issues related to access to funds and their use.

5. The formation of personal provenance funds in archives on electronic and digital media constitutes a relevant scientific, theoretical, and methodological challenge of the present day. To address this task, archival professionals need to acquire skills in working with specialized software and be able to apply them effectively in practice.

The research work passed the approval process

The dissertation was discussed at an expanded meeting of the Department of World History, Historiography, and Source Studies of the Faculty of History at al-Farabi Kazakh National University (№4, December 24, 2025). The main results of the research are reflected in 8 publications, including one co-authored textbook entitled “The Source Value of Personal Funds Documents” (9.8 printed sheets), 3 articles published in scientific journals recommended by the Committee for Quality Assurance in Science and Higher Education of the Ministry of Science and Higher Education of the Republic of Kazakhstan, 1 article published in a journal indexed in Scopus (Q2), and 3 articles published in specialized scientific journals.

The structure of the dissertation corresponds to the objectives and logic of the research. The work consists of an introduction, 3 chapters, a conclusion, and a list of references.