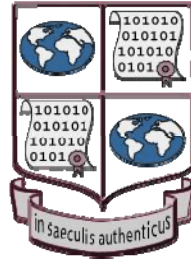


A Presentation Prepared for -----



Digital Preservation: Sustainable Programs and Best Practices

2007-10-11



A Foundation for Developing Digital Preservation Policy

The InterPARES Policy Framework

Sherry L. Xie

UBC (University of British Columbia)

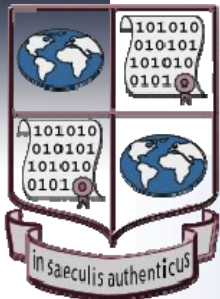
Vancouver, Canada

Email: sherryx@interchange.ubc.ca



Presentation Outline

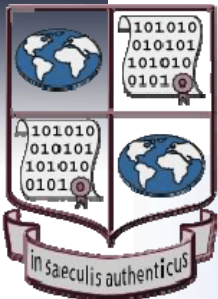
- **The Project**
 - Background Information
 - Research Outcomes
- **The Policy Framework**
 - Generation
 - Organization
 - Principles for Creators
 - Application to Digital Publications
 - Principles for Preservers
 - Application to Digital Publications
- **Conclusions**



The Project - Background Information

International Research on Permanent and Authentic Records in Electronic Systems

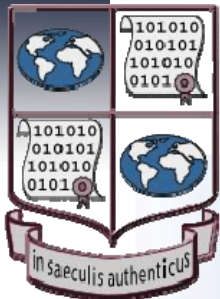
- Director: Dr. Luciana Duranti
- Studied born electronic/digital records & their long-term preservation
- Largest of its kind
 - 21 countries in 5 continents, 100 researchers from both academics and professionals
- Major funding from SSHRC, NHPRC, US-NSF, UBC, and UNESCO



The Project - Background Information

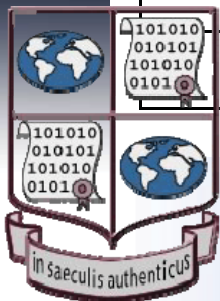
International Research on Permanent and Authentic Records in Electronic Systems

- Two phases
 - IP1: 1999-2001; IP2: 2002-2006
- Multidisciplinary approach
 - 22 case studies, 9 general studies
- Open inquiry
 - A variety of research methodologies
- Goal
 - Develop both theoretical and methodological knowledge essential to effective long-term preservation of reliable, accurate, and authentic electronic records



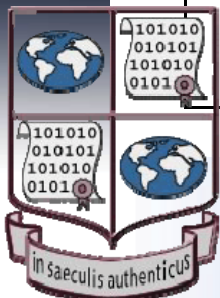
The Project - Background Information

Intellectual Organization	Domain 1 <i>Creation & Maintenance</i>	Domain 2 <i>Management Key Concepts</i>	Domain 3 <i>Appraisal & Preservation</i>
Focus 1 <i>Artistic activities</i>	Working Group 1.1	Working Group 2.1	Working Group 3.1
Focus 2 <i>Scientific activities</i>	Working Group 1.2	Working Group 2.2	Working Group 3.2
Focus 3 <i>Governmental activities</i>	Working Group 1.3	Working Group 2.3	Working Group 3.3
Terminology Cross Domain			
Policy Cross Domain			
Description Cross Domain			
Modeling Cross Domain			



The Project - Research Outcomes

Intellectual Organization & Research Outcomes	Domain 1 <i>Creation & Maintenance</i>	Domain 2 <i>Management Key Concepts</i>	Domain 3 <i>Appraisal & Preservation</i>		
Focus 1	<h2>Policy Cross Domain: Policy Framework</h2>				
<i>Activities</i>					
Terminology Cross Domain: Terminology Database					
Policy Cross Domain: Policy Framework					
Description Cross Domain: MADRAS					
Modeling Cross Domain: Business and Preservation models					

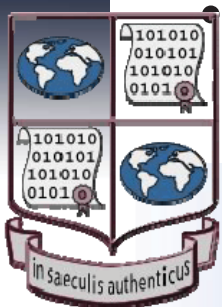


The Policy Framework - Generation

A Framework of Principles for the Development of Policies, Strategies and Standards for the Long-term Preservation of Digital Records

- Product of Policy Cross Domain
- Examined legislation and regulations with respect to long-term digital preservation
- Analyzed data collected by the three focus teams in relation to the interests of the three domains
- Concentrates and integrates
 - its own research findings
 - inputs from all other individual task forces

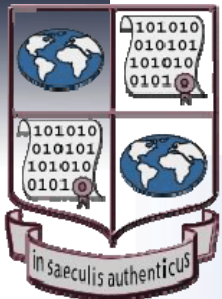
One of the project's most significant products



The Policy Framework - Organization

A Framework of Principles for the Development of Policies, Strategies and Standards for the Long-term Preservation of Digital Records

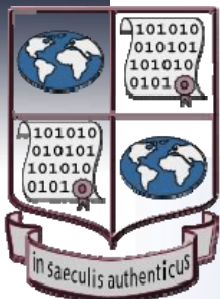
- Two sets of 13 principles intended for two different audiences
 - records creators
 - records preservers
- A lifecycle management approach
 - Importance to respective business needs
 - Complementary to each other
- Collaborative & dynamic relationship between creators and preservers



The Policy Framework Principles for Creators

C1-C13 addressing 6 areas:

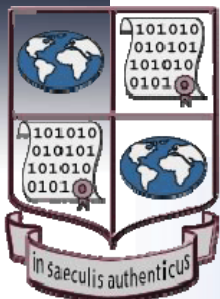
- Creation
 - C1, C2 & C5 with *C4*
- Maintenance
 - C6 with *C4*
- Long-term preservation
 - C7 & C8 with *C4*
- Quality of records
 - *C4*: reliability, accuracy & authenticity
- Relationship between records and technologies
 - C3, C9 & C13
- Rights management
 - C10, C11 & C12



The Policy Framework

Applicability to Digital Publications

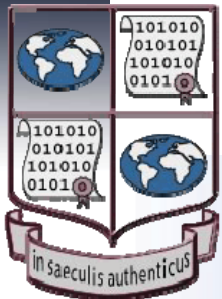
- Digital publications are different from digital Records
 - Paper: Both conceptually and physically
 - Digital: Still conceptually but may not be physically different
- Facing the same challenges of digital preservation



The Policy Framework

Applicability to Digital Publications

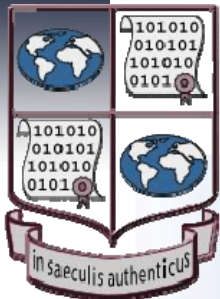
- C1-C7 applicable to born digital publication
 - C1: Stable content & fixed documentary form
 - C2: digital component
 - C3: relationship b/w [publications] & technology
 - C4: quality of [publications]
 - C5: [publications] creation system
 - C6: [publications] maintenance system
 - C7: lifecycle management
- Applicable to publishers' business records



The Policy Framework Principles for Preservers

P1-P13 addressing 6 areas:

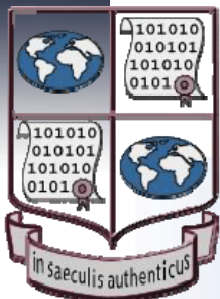
- Long-term preservation
 - P1 (C8), P4 (C2) & P7 (C7) with P2 (C4)
- Quality of records
 - P2 (C4)
- Relationship between records and technologies
 - P6 (C3)
- Rights management
 - P8 (C10), P9 (C11) & P13 (C12)
- Authentic copy
 - P3 (C13) & P5 (C1)
- Archival functions
 - P10 (C9), P11 (C6) & P12 (C6)



The Policy Framework

Applicability to Digital Publications

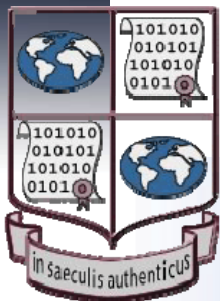
- Preservers can be creators and cultural institutions
 - Web contents publishers
 - Libraries
- Identification of digital records is IP's most significant research finding
- Identifying digital records = distinguishing digital materials generated in the same digital environment



The Policy Framework

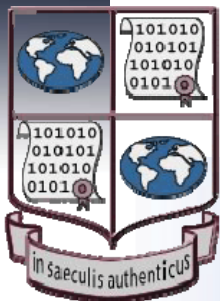
Applicability to Digital Publications

- P1-P7 applicable to born digital publication
 - P1: neutral third party preservers
 - P2: reliability, accuracy & authenticity
 - P3: authentic copy
 - P4: digital components
 - P5: stable content & fixed documentary form
 - P6: relationship b/w preservation & technology
 - P7: lifecycle management
- Applicable to publishers and libraries' own business records



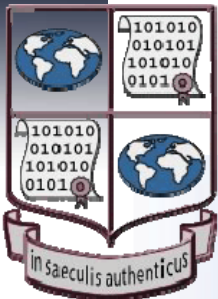
Conclusions

- Digital preservation entails a series of activities & developing a preservation policy is one and the first one
- *IP Policy Framework* provides a foundation on which preservation policies can be based
- It does not intend to be comprehensive
- It recommends its two sets of principles as tools for implementing the established policy.

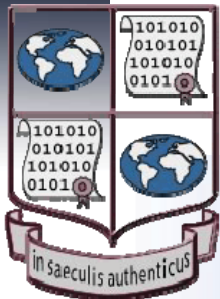


Conclusions

- Archives and libraries are facing the same challenge of digital preservation
- Some archival concepts prove to be relevant to publications in the digital environment
- Exchange of research findings and collaboration in digital preservation initiatives benefit both parties



Questions?



Thank You!

