

InterPARES 3 Project

International Research on Permanent Authentic Records in Electronic Systems

TEAM Canada

Implementing Digital Records Preservation in Small and Medium-sized Archives

Luciana Duranti

InterPARES Project Director

AABC Conference

24 April 2009



InterPARES Project

Luciana Duranti
Project Director

Why a Third Phase?

- A study of the effectiveness of workshop and seminar experiences for increasing archivists' skills in digital preservation and their ability to implement these skills in their repositories has shown that **very few participants were able to implement the skills** once they returned to their work environments
 - Wendy M. Duff, M., Amy Marshall, Carrie Limkilde and Marlene van Ballegooie (2006) "Digital Preservation Education: Educating or Networking?" *The American Archivist* 69(1): 188-212. In the context of ERPANET.
- Feedback on the outcomes of the two phases of InterPARES from archivists working in institutions smaller than national archives has consistently shown **concern about** their **downward-scalability and** their **relevance** to small and medium sized organizations



Goal of InterPARES 3

To **enable small and medium-sized** public and private **archival organizations and programs** (units within records creating organizations)—which are responsible for the digital records resulting from government, business, research, art and entertainment, social and/or community activities—**to preserve** over the long term **authentic records** that satisfy the requirements of their stakeholders and society's needs for an adequate record of its past.



3 Primary Components

1. **Research component**

(short-term and long-term projects, including general studies and case studies related to policy, records or systems)

2. **Education and training component**

(in the context of research projects, apprenticeships, activities credited as part of coursework, etc.)

3. **Knowledge-mobilization component**

(workshops, seminars, colloquia, policy manuals and other publications, public lectures, etc., that meet the needs of both academic and community partners)



InterPARES 3 Composition

International Alliance

14 regional, national & multinational TEAMS:

TEAM (Theoretical Elaboration into Archival Management) Canada (including US); Africa; Brazil; Catalonia; China; Colombia; Italy; Korea; Malaysia; Mexico; Netherlands & Belgium; Norway; Singapore; Turkey; and UK & Ireland

Director: Luciana Duranti

Headquarters: UBC - SLAIS (facilities provided by UBC)

Summits: Twice a year, each time hosted by a different country

Symposia: Once a year, each time hosted by a different country



TEAM Composition

- **Director**, principal investigator
- **Test-bed partners** (primary stakeholders)
- **Co-applicants** (individual academic researchers and professional practitioners)
- **Collaborators** (individual experts)
- **Resource partners** (e.g., ACA, NARA, LAC, CCI)
- **Graduate research assistants**



Expected Products

- 1. Policies, strategies and procedures** for small archival organizations or programs, and **guidelines** for the records creators whose records fall under their responsibility.
- 2. Action plans** for the specific case studies carried out in the course of the Project.
- 3. Criteria to determine “most-at-risk” materials** e.g., checklist of age (date created, date last accessed), physical carrier, operating system, software used, equipment required and its availability, etc.



Expected Products (cont.)

4. **Guidelines for addressing digital preservation requirements** that apply to specific types of records, but not to other materials.
5. **Evaluation models for assessing the degree of success**, if any, of the chosen preservation action.
6. **Cost-benefit models** for various types of archival organizations or programs and for various kinds of records and/or systems.
7. **Ethical models** that identify and make explicit the consequences for individuals and society of types of preservation measures or lack thereof.



Expected Products (cont.)

8. **Training and education modules** for preservers, professional associations and university programs; and **awareness and education modules for non-archivists**, such as IT professionals, vendors and service providers; human resources and financial managers; doctors, communities of practice, members of the general public, etc.; and **a strategy for delivering them.**
9. **Position papers** directed to key regulating, auditing and policy-making bodies, advocating the vital need of embedding planned digital preservation in the requirements they issue for the activities they regulate, audit or control.



General Studies

- Developed by InterPARES headquarters for all
- Developed by one TEAM for all
- Developed by one TEAM for its use
- Different methodologies

Examples are:

- Terminology Database
- Research Projects Database
- Bibliography Database
- Survey of e-mail clients recordkeeping capabilities
- Survey of web sites recordkeeping capabilities



Case Studies Methodology

Action Research

- Practical, collaborative, pragmatic research directed toward producing solutions that are **directly useful** to a group of people
- Research **subjects are co-participants** and stakeholders in the process
- **Jointly** define research objectives and goals, co-construct research questions, pool knowledge and **develop solutions** and performance tests that implement specific strategies



Case Studies Methodology (cont.)

Action Research

Two distinct methods of research:

- 1. Prototype development research**
- 2. Ethnographic research**



Case Studies Methodology (cont.)

Prototype development research

- **User-centered, collaborative** prototyping approach that explores the interplay between theory and practice
- **Proof-by-demonstration**
- Comprises three major **iterative** stages:
 1. concept building (which we have done)
 2. system building
 3. system evaluation



Case Studies Methodology (cont.)

Ethnographic research

- Creators of records, their users and archivists form a community of practice—**the archival environment**—for which social interaction creates meaning and defines values
- Researchers place themselves within an archival environment to **gain the cultural perspective** of those responsible for records
- **Observation** of the environment with detailed description, extensive **interviewing and analysis** of the documents

Case Study Research Phases

- **Identifying the Problem** – Initially, each test-bed partner will identify a **body of digital material** for which a preservation plan has to be developed, be it already in the custody of the partner or not. Alternatively, the partner identifies a **policy need**, or a **system to be designed and implemented**. Most test-beds have already done this.
- **Context Data Collection** – Using archival methods, data will be collected about the context and limitations of each test-bed. The instrument intended to support consistency in data collection across all case studies is the “Template for Case Study Contextual Analysis”. These data can be collected from analysis of web sites and of documentation identified or provided by the test-bed, and from interviews.



Case Study Research Phases (cont.)

- **Case Data Collection** – Subsequently, using documentation, interviews, diplomatics, modelling, and text analyses, data will be collected either about the specific body of material, its documentary forms, technological constraints, functional or cultural meaning, etc., or about a system requirements or policy needs and constraints.

For diplomatic analysis there is a template. For modelling, we use IDEFØ (Integrated Definition Function Modeling) modeling software. IDEFØ is a U.S. Information Processing Standard, as described in Publication 183 of the National Institute of Standards and Technology. A function model is a structured representation of the functions, activities and processes within the modeled system or subject area. For an introduction to IDEFØ modeling, see “[Integrated Definition Function Modeling \(IDEFØ\): A Primer.](#)” For more detailed information, <http://www.idef.com>.



Case Study Research Phases (cont.)

- **Answering the case studies questions** – On the basis of the case data collected, the members of the case study team answer the relevant set of “questions for researchers.”

Three sets of questions have been prepared:

- one for policy case studies,
- one for records case studies, and
- one for recordkeeping systems case studies.



Case Study Research Phases (cont.)

- **First Iterations: Testing Different Solutions in Different Contexts** – All TEAM members (co-investigators, collaborators, test-bed and resource partners, students), at the TEAM Plenary Workshop, reflect on the data collected and the information generated by the team of researchers for each case study and collectively articulate several possible solutions from which individual plans of action will emerge and be tested.

These plans of action will include strategy, protocols, functional requirements, procedures, and expected outcome, as needed. The plans are then tested, and test results will include performance assessment of the plans against benchmarks and baselines established in extant research.



Case Study Research Phases (cont.)

- **Comparison of First Iterations** – The results of the tests will be shared among all TEAM researchers, and discussed during the following Plenary Workshop. An assessment of these results will then allow us to reflect on each action, and refine our respective plans of action, also in light of what has been done by the other TEAMS and following directives provided by the International TEAM at its annual Summit in October.
- **Second Iteration: Refining Solutions for Particular Contexts** – After this assessment, the process will begin another cycle. This second iteration will account for anomalies in the test results, and benefit from the insight gained from a comparison across contexts. In so doing, it will refine our plans and performance measures.



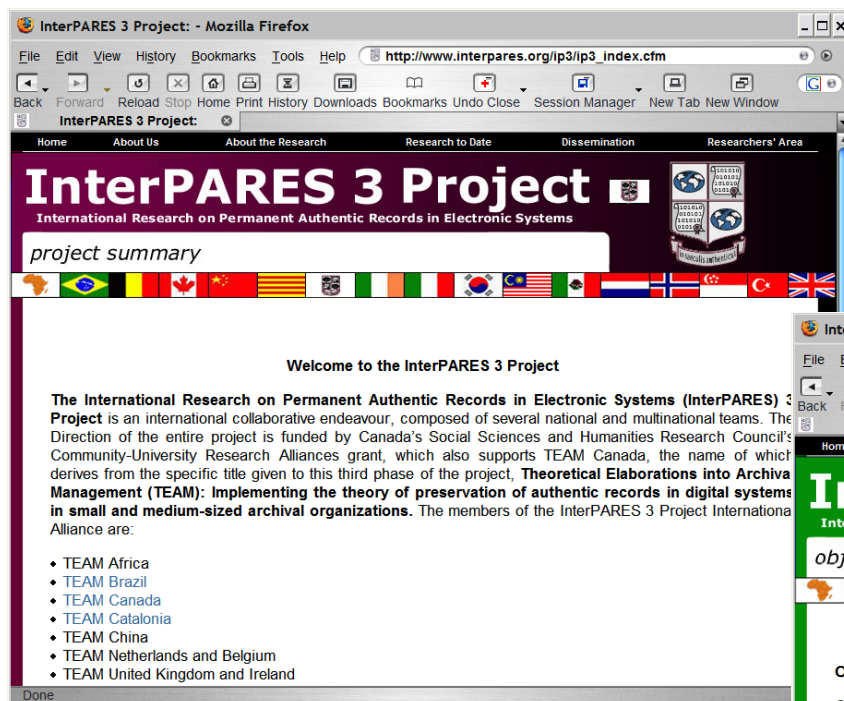
Case Study Research Phases (cont.)

- **Comparison and Reconciliation of Results** – At its Summits, the International TEAM reviews the work done comparing the findings across cultures and juridical systems and reconciling them
- **Reflection, Analysis, and Synthesis** – Throughout the research, the co-investigators and collaborators will reflect on issues and processes and make explicit their assumptions and biases, thereby giving rise to theoretical considerations. The findings, recommendations and products of the case study will be summarized in a Case Study Report for which a Template has been prepared

Today you will hear 4 case studies that have finished the first iteration.



InterPARES 3 Web Site



www.interpares.org



InterPARES Project

Luciana Duranti
Project Director