

International Research on Permanent Authentic Records in Electronic Systems

Implementing Digital Records Preservation in Small and Medium-sized Archives

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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.



Expected Products

- Policies, strategies and procedures for small archival organizations or programs, and guidelines for the records creators whose records fall under their responsibility.
- Action plans for the specific case studies carried out in the course of the Project.
- 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.)

- Evaluation models for assessing the degree of success, if any, of the chosen preservation action.
- **Cost-benefit models** for various types of archival organizations or programs and for various kinds of records and/or systems.
- Ethical models that identify and make explicit the consequences for individuals and society of types of preservation measures or lack thereof.



Expected Products (cont.)

- Training and education modules for preservers, professional associations and university programs; and awareness and education modules for non-archivists, and a strategy for delivering them.
- 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.



Methodology (general)

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
- We jointly define research objectives and goals, co-construct research questions, pool knowledge and develop solutions and performance tests that implement specific strategies



Methodology (general - cont.) Action Research

Two distinct methods of research:

1. Prototype development research

2. Ethnographic research



Methodology (general - 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



Methodology (general - 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 and General Studies

• **Case studies** (3 types):

- 1. Dealing with specific groups or types of **records**.
- 2. Dealing with record/information **systems**.
- 3. Dealing with **policies**.

• **General studies** (3 types):

- Studies carried out by one TEAM or a group of TEAMs for the benefit of all TEAMs (e.g., Annotated Bibliography of International Standards, E-mail Preservation)
- 2. Studies in which **all TEAMs** take part (e.g., Terminology Database).
- 3. Studies conducted by a TEAM that will prove **useful for that TEAM only** (e.g., Annotated Canadian Standards)
- 4. Studies conducted by a group of TEAMS for its own benefit (e.g. Protocol Register)



3 Primary Components

1. Research component

(short-term and long-term projects, including case studies and general studies)

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 International Alliance

- Teams: TEAM (Theoretical Elaboration into Archival Management) Canada (including US); Africa; Brazil; Catalonia; China; Colombia; Italy; Korea; Netherlands /Belgium; Malaysia; Mexico; Norway; Singapore; Turkey; and UK/Ireland.
- **Director:** Luciana Duranti
- **Headquarters:** UBC SLAIS (facilities provided by UBC)
- **Staff:** Project Director, Project Coordinator, Technological Coordinator, Administrative Assistant.
- **TEAM's Plenaries:** Twice a year each team meets.
- **Summits and Symposia:** Twice a year, each time hosted by a different country.
- **Networking:** One common Web site+individual TEAMs' sites



Composition of Each TEAM

- **Director**, principal investigator
- **Co-investigators** (individual academic and professional researchers)
- Test-bed partners (organizations that are the locus and subject of the research—the primary stakeholders)
- Resource partners (organizations that have an expertise in some part of the research content and share it providing regular input and feedback—they can be from the TEAM's country or foreign)
- **Collaborators** (individuals who have a special expertise in some parts of the research and will be called upon to contribute to the Project as needed)
- Graduate Research Assistants (students)



TEAM Canada Resource Partners

- Archives Association of BC (AABC)
- Association of Canadian Archivists (ACA)
- Canadian Conservation Institute (CCI)
- Canadian Council of Archives (CCA)
- DOCAM Research Alliance (Langlois Foundation)
- Electronic Records Archives (ERA), NARA
- Irving K. Barber Learning Centre, UBC
- Library and Archives Canada (LAC)
- Royal British Columbia Museum (including the BC Archives)
- School of Information at Chapel Hill (University of North Carolina



TEAM Canada Test-Bed Partners and Case Studies

- BC Institute of Technology
- Belkin Art Gallery Archives
- Canadian Tourism Commission
- City of Surrey
- City of Vancouver Archives
- City of Victoria Archives
- North Vancouver Museum and Archives
- Simon Fraser University Archives (Human Rights Office)
- UBC Alma Mater Society Archives
- UBC Archives (School of Music)
- UBC cIRcle Institutional Repository
- UBC Graduate School of Journalism
- University of Victoria Archives (Office of the University Secretary)
- Vancouver Police Department (Forensic Services Section)
- Vancouver School of Theology



General Studies (TEAM Canada)

- Canadian Standards Relevant to IP3
- Organizational Culture
- Open Source Records Management Software
- Metadata Applications Profiles
- Community Archives e-Records Assessment
- University IR/IRK Survey
- Records Management Policies and Procedures Template
- Cost-benefit Models
- Education Modules



General Studies (collaborations)

- E-mail Preservation (Italy)
- Web Site Preservation (Singapore)
- ECM (Turkey)
- XML (Korea)
- Web 2.0/Social Media (Canada and Turkey)
- Protocol Registry (Catalonia, Italy, Brazil)
- Terminology (International Alliance)
- Digital Preservation Projects (International Alliance)
- International Standards Relevant to IP3 (International Alliance)
- Bibliographic Database



InterPARES 3 Web Site

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2. colaborar com arquivos de pequeno e médio porte no desenvolvimento de políticas, estratégias, procedimentos e/ou planos de ação escaláveis, que possam ser implementados com o objetivo de preservar o material digital sob sua guarda, ou que serão recebidos, por eles, utilizando recomendações



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