Continuity and Transformation in the Role of the Archivist

InterPARES 3
(2007-2012)

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The Goal of InterPARES 1 & 2

To develop the body of **theory and methods** necessary to ensure that digital records will be created **accurate and reliable** and **maintained and preserved authentic**, both in the long and the short term, for the use of those who created them and of society at large, regardless of technology obsolescence and media fragility.
Key IP 1 & 2 Final Products

Policy Framework

A framework of principles guiding the development of policies for records creating and preserving organizations
IP 1 & 2 Final Products

Creator Guidelines

Recommendations for making and maintaining digital materials for individuals and small communities of practice
IP 1 & 2 Final Products

Preserver Guidelines

Recommendations for digital preservation for archival institutions
IP 1 & 2 Final Products

Benchmark and Baseline Requirements

Authenticity requirements for assessing and maintaining the authenticity of digital records

**Requirement Set A**

To support a presumption of authenticity, the preserver must provide evidence that:

**Requirement A1**: Expression of Record Attributes and Linkage to Record

The following attributes are explicitly expressed and interrelated to every record. These attributes can be distributed into categories, the first concerning the identity of records, and the second concerning the integrity of records.

- Identity of the record:
  - Name of the person concerned in the formation of the record
  - Name of author
  - Name of writer (if different from the author)
  - Name of originator (if different from name of author)
  - Name of addressee

- Name of action or matter

- Date(s) of creation and transmission, that is:
  - Chronological data
  - Received data
  - Original date
  - Transmission date(s)

**Requirement A2**: Access Privileges

The creator has defined and effectively implemented access privileges, modification, annotation, relocation, and destruction of records.

**Requirement Set A (cont.)**

- **Requirement A3**: Protective Procedures: Loss and Corruption of Records

The creator has established and effectively implemented procedures to prevent, detect, correct, or correct corruption of records.

- **Requirement A4**: Protective Procedures: Media and Technology

The creator has established and effectively implemented procedures to guarantee the integrity and integrity of records against media deterioration and access to technological characteristics.

- **Requirement A5**: Establishing the Authenticity of the Record

The creator has established the documentary forms of records associated with each record, either according to the requirements of the jurisdictional or those of the creator.

- **Requirement A6**: Identification of Authorization

If authentication is required by the jurisdictional or the means of the organization, it must be defined and effectively implemented, as well as the means of authentication.

- **Requirement A7**: Removal of Original Documentations

If there is a transition of records from an active status to semi-active and inactive status, implies the removal of records from the electronic system, the creator has established effectively implemented procedures determining what documentation has to be transferred to the preserver along with the records.

**Requirement B**

The preserver should be able to demonstrate that:

**Requirement B1**: Control over Records: Transfer, Maintenance, and Reproduction

The procedures and system(s) used to transfer records to the archival institutions or programs maintain them, and reproduce them adequately and effectively secure to guarantee the record's identity and integrity, and specifically that:

- J.1 User custody of the records is maintained;
- J.2 Security and control procedures are implemented and monitored; and
- J.3 The content of the record and any required annotations and elements of documentary form remain unchanged after reproduction.

**Requirement B2**: Documentation of Reproduction Process and Its Effects

The activity of reproduction has been documented, and this documentation includes:

- Documentation of the date of reproduction and the name of the responsible person;
- The relationship between the records acquired from the creator and the copies produced by the preserver;
- The impact of the reproduction process on their form, context, accessibility, and use;
- In those cases where a copy of a record is known not to fully and faithfully reproduce the elements expressing its identity and integrity, such information has been documented by the preserver, and this documentation is readily accessible to the user.

**Requirement B3**: Archival Description

The archival description of the records containing the electronic records includes in addition to information about the records’ jurisdictional, administrative, provenance, procedural, and documentary contexts—information about changes the electronic records of the creator have undergone since they were first created.
IP 1 & 2 Final Products

File Format Selection Guidelines

Principles and criteria for adoption of file formats, wrappers and encoding schemes
IP 1 & 2 Final Products

Terminology Database

Including a glossary, a dictionary and ontologies
IP 1 & 2 Final Products

Two Records Management Models

Chain of Preservation (COP) Model (lifecycle)
Business-driven Recordkeeping (BDR) Model (continuum)
IP 1 & 2 Final Products

**Two books:**


Most Important Findings

• The traditional **concept of preservation** must include the processes necessary to transmit the record through time, including conversion and migration

• The **unbroken chain of preservation** must begin at creation and continue from the record-making system to the recordkeeping system and the record preservation system

• The new emphasis on accountability allows the archives to fulfill these needs by **presenting itself as the trusted custodian**
Archivist as Trusted Custodian

The trusted custodian is a person who:

- acts as a **neutral third party**, i.e., demonstrates that he/she has no stake in the content of the records and no reason to alter records under his/her custody, and that he/she will not allow anybody to alter the records either accidentally or on purpose,

- is equipped with the **knowledge and skills** necessary to fulfil its responsibilities, which should be acquired through formal education, and

- establishes a **trusted preservation system** that is capable of ensuring that accurate and authentic copies of the creator’s records are acquired and preserved;

- But, mostly...
1. Positions him/herself at the beginning of the record life-cycle, taking the role of “designated” trusted custodian

2. Assesses the authenticity of the records and monitors it throughout their existence

3. Identifies the records to be preserved at the moment of their creation and monitors their transformation through time

4. Determines the feasibility of preservation on the basis of the archives technological capacity
The Archivist’s New Role (cont.)

5. Determines a **preservation strategy** independently of technological trends (tries to influence the industry through the adoption of standards, but not vice versa) and maintains a focus on interoperability.

6. Controls the **accuracy of the records** after each conversion or migration.

7. Develops **procedures** that address issues of **intellectual rights and privacy**.

8. Recognizes archival description a primary **authentication function**.
9. Is constantly involved in research and development projects similar to those carried out by the industry, addressing questions like the following:

- What entity constitutes the record in each dynamic or interactive system
- What instantiation of such entity can be regarded as the record (manifested or stored entity)
- How to keep such entities accurate and authentic through time
- How to enable users to verify such authenticity over time
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.


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 relevance to small and medium sized organizations.
Goal of InterPARES 3

To enable small and low-resources 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 authentic records that satisfy the requirements of their stakeholders and society’s needs for an adequate record of its past.
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.
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.
3 Primary Components

1. Research component
   (short-term and long-term projects, including case studies related to policy, records or systems, 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 Composition

International Alliance

15 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
InterPARES 3 Web Site

www.interpares.org
Our Ultimate Goal

• Each archives will become a locus of research by establishing a partnership with academics involved in international research, professionals involved in standards development, experts in law and information technology and, most importantly, with the creators of the records that fall under their jurisdiction.

• Each archival association will promote an environment supportive of the archives goal by demonstrating to regulatory and auditing bodies, and policy makers that they ought to embed digital records preservation requirements (not rules) in any activity that they regulate, audit or control.

• This will result in 1) the generation of new knowledge, 2) the achievement of practical outcomes relevant to local settings, 3) the education of all participants, 4) a sound research and development methodology, and 5) the empowerment of the archives as an instrument of accountability and a point of reference for society at large.
Please, give us feedback on our Preliminary Findings

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