

# Case Study:

## Digital Records Preservation at British Columbia Institute of Technology

*Or*

How do you preserve digital records in a million-dollar organization when everyone has a million other things to worry about?

Corinne Rogers & Elizabeth Shaffer  
SAA Research Forum, Washington, D.C.  
12 August 2010



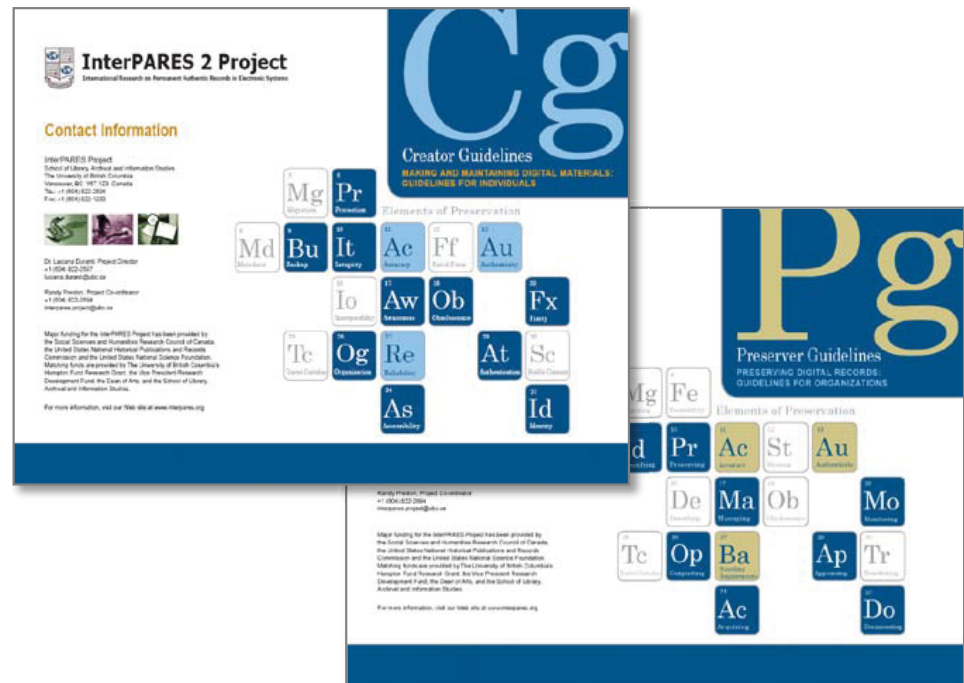
# Background: The InterPARES Project

- The International Research on Permanent Authentic Records in Electronic Systems (InterPARES)
- developing knowledge essential to the long-term preservation of authentic records created and/or maintained in digital form
- providing the basis for standards, policies, strategies and plans of action capable of ensuring the longevity of such material and the ability of its users to trust its authenticity




# Key Findings from IP1 & IP2

- Concept of original in digital environment
- Ability to preserve begins at creation
- Articulated in the Creator and Preserver Guidelines



# Development of Policies & Procedures

- A framework of principles guiding the development of policies for records creating and preserving organizations

 <b>InterPARES 2 Project</b> International Research on Permanent Authentic Records in Electronic Systems	<p>Policy Framework, v1.2 (March 2005) L. Duranti, J. Suderman and M. Todd</p> <p><b>Table of Contents</b></p> <p><b>INTRODUCTION</b> ..... 1</p> <p><b>STRUCTURE OF THE PRINCIPLES</b> ..... 3</p> <p><b>PRINCIPLES FOR RECORDS CREATORS</b> ..... 4</p> <p>(C1) Digital objects must have a clear content and a trace documentary form to be considered records and to be capable of being preserved over time. (P1)</p> <p>(C2) Record creation procedures should ensure that digital components of records can be separately maintained and reassembled over time. (P2)</p> <p>(C3) Record creation and maintenance requirements should be formulated in terms of the purposes the records are to fulfil, rather than in terms of the available or chosen record-keeping or recordkeeping technologies. (P3)</p> <p>(C4) Record creation and maintenance policies, strategies and standards should address the issue of record identity, accuracy and authenticity explicitly and separately. (P2)</p> <p>(C5) A trusted record-keeping system should be used to generate records that can be presumed reliable. (P2)</p> <p>(C6) A trusted recordkeeping system should be used to maintain records that can be presumed accurate and authentic. (P1, P2)</p> <p>(C7) Preservation considerations should be embedded in all activities involved in record creation and maintenance if a creator wishes to maintain and preserve accurate and authentic records beyond its operational business needs. (P1)</p> <p>(C8) A trusted custodian should be designated as the preserver of the creator's records. (P1)</p> <p>(C9) All business processes that contribute to the creation and/or use of the same records should be explicitly documented. (P1)</p> <p>(C10) Third-party intellectual property rights attached to the creator's records should be explicitly identified and managed in the record-keeping and recordkeeping systems. (P4)</p> <p>(C11) Privacy rights and obligations attached to the creator's records should be explicitly identified and protected in the record-keeping and recordkeeping systems. (P5)</p> <p>(C12) Procedures for sharing records across different jurisdictions should be established on the basis of the legal requirements under which the records are created. (P1)</p> <p>(C13) Reproductions of a record made by the creator in its usual and ordinary course of business and for its purposes and use, as part of its recordkeeping activities, have the same effect as the first maintenance, and each is to be considered as any given time the record of the creator. (P1)</p> <p><b>PRINCIPLES FOR RECORDS PRESERVERS</b> ..... 13</p> <p>(P1) A designated records preserver takes the role of trusted custodian. (C8)</p> <p>(P2) Records preservation policies, strategies and standards should address the issues of record accuracy and authenticity explicitly and separately. (C4)</p> <p>(P3) Reproductions of a creator's records made for purposes of preservation by their trusted custodian are to be considered authentic copies of the creator's records. (C10)</p> <p>(P4) Records preservation procedures should ensure that the digital components of records can be separately preserved and maintained over time. (C2)</p> <p>(P5) Authenticity copies should be made for preservation purposes only from the creator's records, that is, from digital objects that have a stable content and a fixed documentary form. (C1)</p> <p>(P6) Preservation requirements should be articulated in terms of the purpose or desired outcome of preservation, rather than in terms of the specific technologies available. (C3)</p> <p>(P7) Preservation considerations should be embedded in all activities involved in each phase of the record lifecycle: their content, accuracy, evidence over the long term, to be ensured. (C7)</p> <p>(P8) Third-party intellectual property rights attached to the creator's records should be explicitly identified and managed in the preservation system. (C10)</p> <p>(P9) Privacy rights and obligations attached to the creator's records should be explicitly identified and protected in the preservation system. (C11)</p> <p>(P10) Archival appraisal should identify and manage all the business processes that contribute to the creation and/or use of the same records. (C9)</p> <p>(P11) Archival appraisal should assess the authenticity of the records. (C1)</p> <p>(P12) Archival appraisal should be used as a collective authentication of the records in an archival context. (C1)</p> <p>(P13) Procedures for providing access to records created in one jurisdiction to users in other jurisdictions should be established on the basis of the legal environment in which the records were created. (C13)</p> <p>INTERPARES 2 PROJECT, Policy Cross-domain ..... 1</p>
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# Context: British Columbia Institute of Technology

- BC's largest post-secondary institution
- 16,000 FT & 32,000 PT students
- Certificate, diploma and applied bachelor's degrees
- Over 2,000 FT & PT faculty and staff
- Five campuses & six schools (faculties)
- One Associate Director,

Privacy & Records Management

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decompressor  
are needed to see this picture.

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# InterPARES 3 & British Columbia Institute of Technology

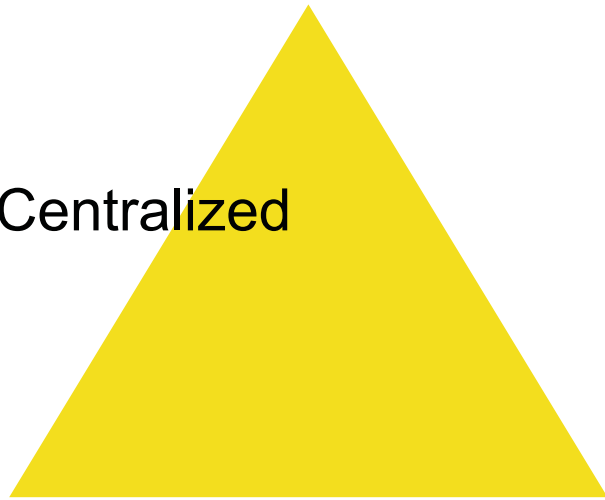
- British Columbia Institute of Technology was accepted as the first case study in InterPARES 3
- *Over 100,000,000 digital records*
- Purpose: to develop policy & procedures for preservation of digital records
- *Applying retention to paper but only to a fraction of digital records*



# Transformation of BCIT's Culture: from paper to digital

Directory of Records

Centralized



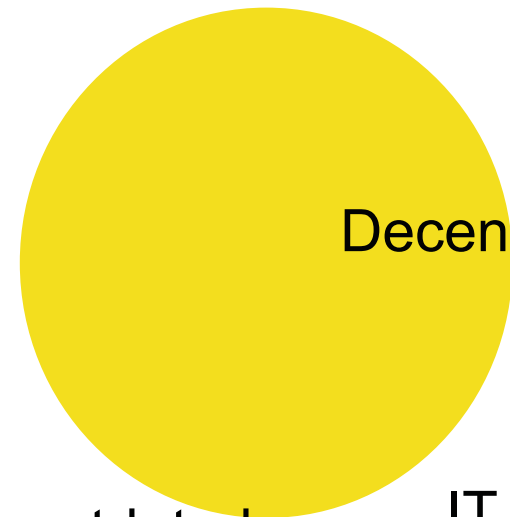
Policy, procedures,  
retention applied

Archives for  
Preservation

**The Paper-based Office**

**The Digital Office**

Director of Records



Decentralized

Policy, procedures outdated;  
retention not applied

IT for  
storage



# Specific issues

- Record-keeping culture
- Relationship between RM & IT
- Privacy & security
- FOI
- E-discovery
- Role of the archives and the archivist





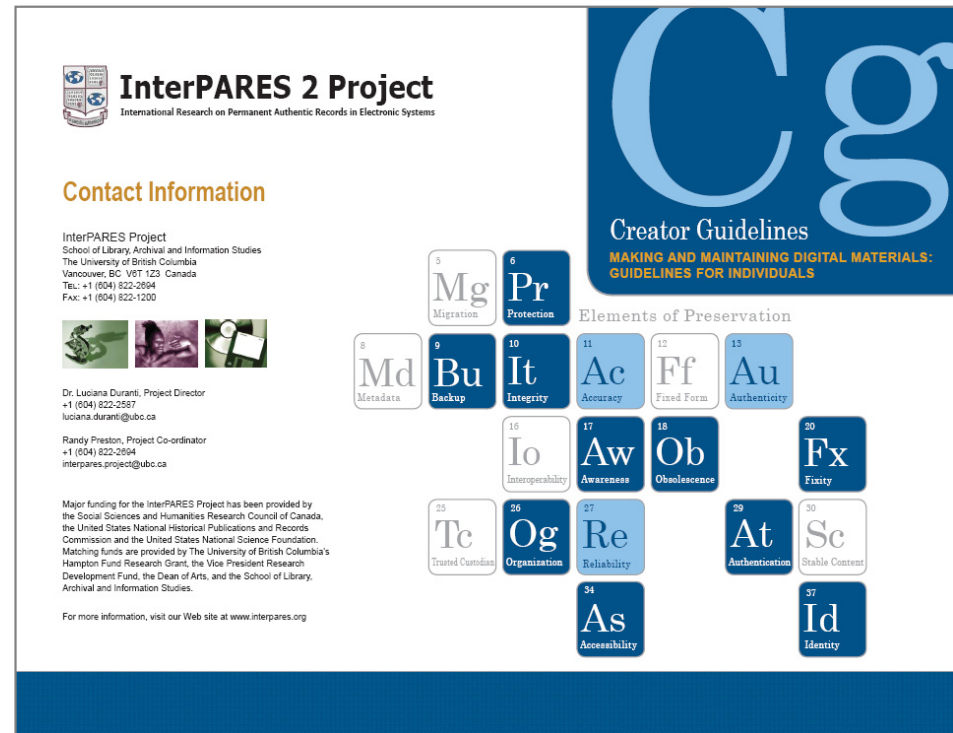
# Development of Policy & Procedures - Methodology

- Analysis of recordkeeping environment
- Analysis of existing policy and procedure
- Draft policy for long-term digital preservation
- Semi-structured interviews
- Crosswalk between IP2 guidelines for creation of authentic, reliable digital records
- Develop template for analysis of interview data
- Draft procedures to complement policy



# Creator Guidelines

- Accessibility
- Fixity
- Identity
- Integrity
- Organization
- Authentication
- Protection
- Backup
- Obsolescence
- Awareness



The image shows the cover page of the InterPARES 2 Project Creator Guidelines. It features a large blue header with the letters 'Cg' in white. Below the header, the text reads 'Creator Guidelines' and 'MAKING AND MAINTAINING DIGITAL MATERIALS: GUIDELINES FOR INDIVIDUALS'. The main content area is white and contains the following information:

**InterPARES 2 Project**  
International Research on Permanent Authentic Records in Electronic Systems

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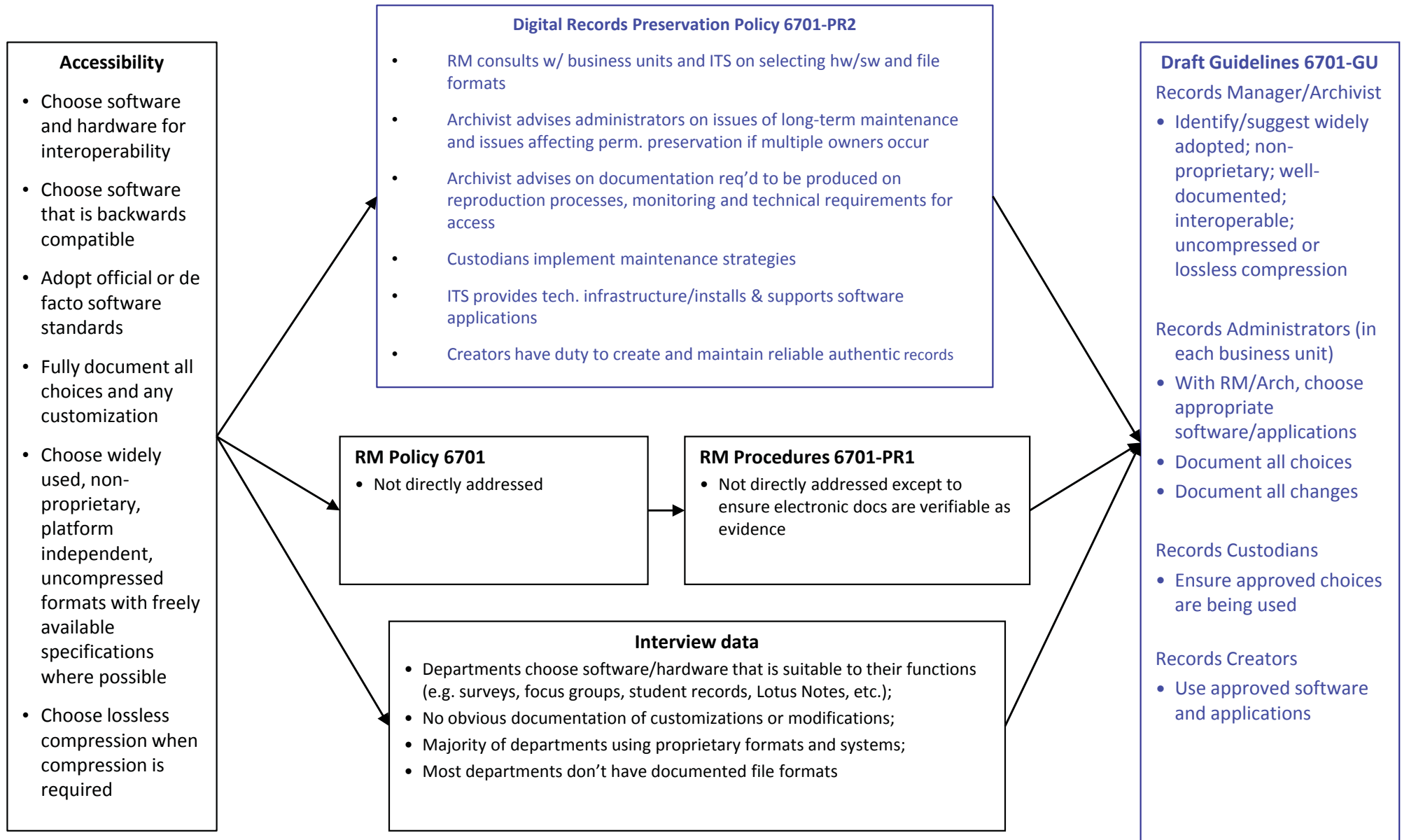
Major funding for the InterPARES Project has been provided by the Social Sciences and Humanities Research Council of Canada, the United States National Historical Publications and Records Commission and the United States National Science Foundation. Matching funds are provided by The University of British Columbia's Hampton Fund Research Grant, the Vice President Research Development Fund, the Dean of Arts, and the School of Library, Archival and Information Studies.

For more information, visit our Web site at [www.interpares.org](http://www.interpares.org)

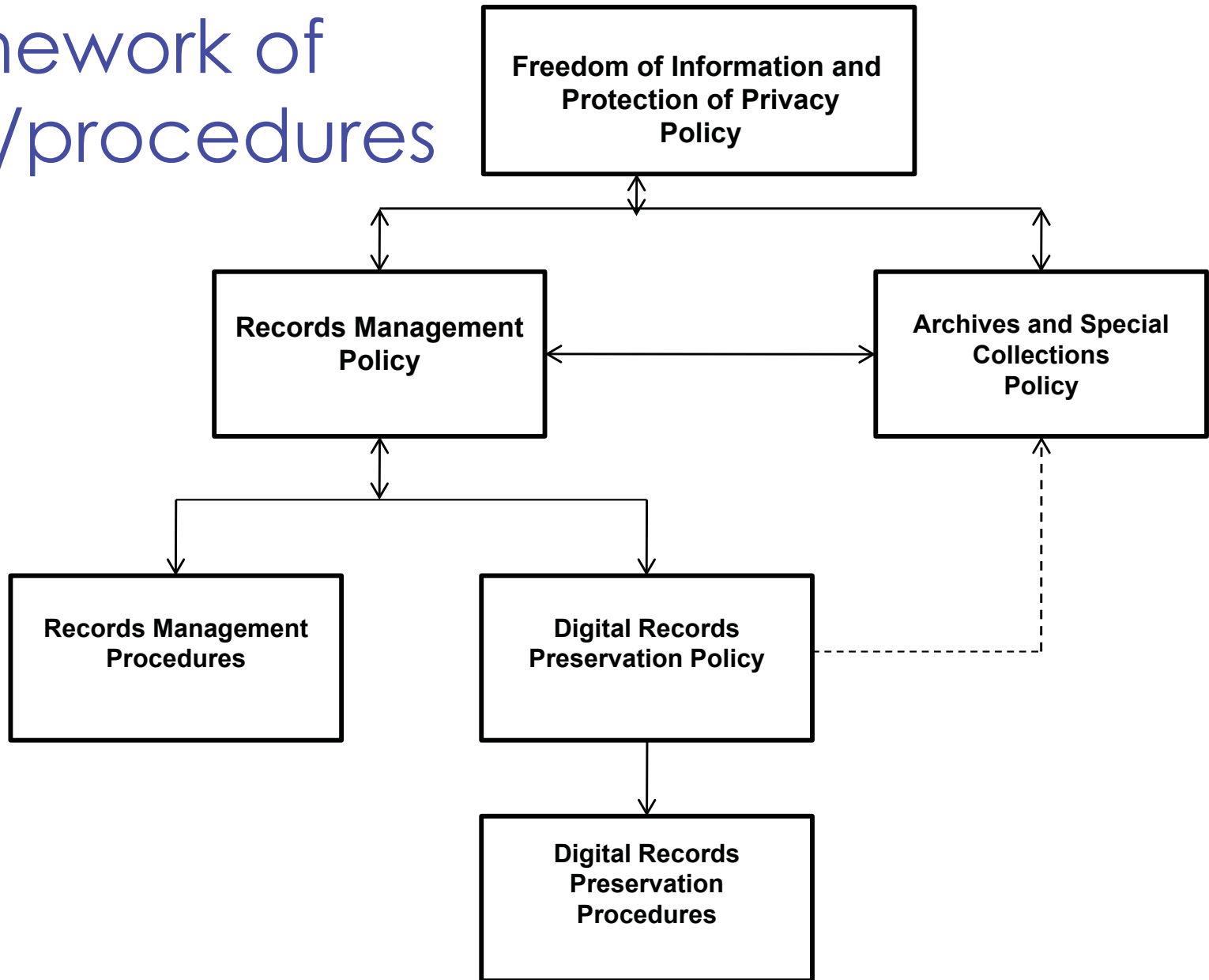
The cover also features a grid of 37 numbered boxes, each representing an element of preservation. The elements are: 5 Mg Migration, 6 Pr Protection, 8 Md Metadata, 9 Bu Backup, 10 It Integrity, 11 Ac Accuracy, 12 Ff Fixed Form, 13 Au Authenticity, 16 Io Interoperability, 17 Aw Awareness, 18 Ob Obsolescence, 20 Fx Fixity, 25 Tc Trusted Custodian, 26 Og Organization, 27 Re Reliability, 29 At Authentication, 30 Sc Stable Content, 34 As Accessibility, and 37 Id Identity.



# Accessibility



# Framework of policies/procedures





# Questions?

