



InterPARES 3 Project

International Research on Permanent Authentic Records in Electronic Systems

TEAM Canada

Scaling the ivory towers? Management and preservation of e-mail in three different academic environments

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InterPARES 3 Project
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Outline

- InterPARES E-mail Objectives
- Academic culture
- The Universities
- Tri-University Case Studies
- Overview of the Case Studies
- Future Work



InterPARES E-mail Objectives

- TEAM Canada 2007: academic institutions case studies - email management and preservation
- Identify key weakness in e-mail management within different units
- Create resources that support and facilitate more effective e-mail management and facilitate long-term digital preservation
- Use units as test-beds for the development and implementation of e-mail management practices, guidelines, and policies



Academic culture

- Unstructured/uncontrolled/decentralized environment
- Academic freedom ethos can extend to administrative and operational units of the university (independent!)
- Successful implementation of records management depends on commitment & good will of staff and managers



Academic culture

- Unit managers can be academics (deans, department chairs), and management excluded/ professional/ unionized staff
- Importance of centralised records management programme supported by senior administration
- Sufficient resources for records management awareness activities and education to university staff



The Universities

- Simon Fraser University (SFU) 3 campuses
Est'd 1963; comprehensive university
Students 32,000; faculty & staff 6,102
- University of British Columbia (UBC) 2 campuses
Est'd 1908; medical/doctoral university
Students 44,982; faculty & staff 13,622
- University of Victoria (UVic) 1 campus
Est'd 1963 (predecessor Victoria College 1903);
comprehensive university
Students 19,432; faculty & staff 4,679



Tri-University Case Studies

- SFU
 - Human Rights Office
 - Operational Unit
- UBC
 - School of Music
 - Academic Department
- UVic
 - University Secretary's Office
 - Administrative Unit



Common Themes

- SFU and UBC lack e-mail policies and guidelines
- UVic's ad hoc guidelines, developed in response to FIPPA, required updating
- No EDRMS (2007)
- None of the archives have the capability to ingest and manage e-mails



Simon Fraser University

- Facilities Development case study did not proceed ... EDMS purchased, implementation delayed
- Human Rights Office
 - Operational Support Unit
 - Prevent discrimination; complaints mechanism; resolve and remedy matters covered by policies
 - One employee (director)
 - 2-bucket approach (inbox & sent folders)
 - Original classification system required revision



University of British Columbia

- School of Music
 - Academic Unit
 - Provides professional preparation & qualification for music performers, composers, and teachers
 - Focused on the Director's e-mail
 - 2-bucket approach (inbox and sent folders)
 - Used search feature to locate information
 - Only deleted junk mail
 - Would not assign secretaries email account access



University of British Columbia

- School of Music (Cont.)
 - Products
 - E-mail Guidelines
 - Outlines different types of e-mails (decision-making, routine admin, transitory)
 - Do not need to save everything
 - “What If” Scenario document
 - Scare tactic for improving records management
 - Canadian Case Law as it pertains to e-discovery and e-mail/records management



University of Victoria

- Office of University Secretary (USEC)
 - Administrative Unit
 - Corporate secretariat to the governance bodies of the University
 - Responsible for university-wide and convocation elections, senior advisory committees (e.g., planning and priorities committee, executive search committees, university records management committee) and matters relating to the *Freedom of Information and Protection of Privacy Act*.
 - ~7 employees



University of Victoria

- Office of University Secretary (USEC) (Cont.)
 - Products
 - E-mail Guidelines
 - Cross-walking the University's functional classification system (12 Sections) -- the Directory of Records (DOR) -- against inboxes (reduction of top-level folders)
 - E-mail attachment study
 - Best practices & guidelines



Future Work

- Simon Fraser University
 - Data collection complete
 - Implementation of revised classification underway
 - Export email to archives
- University of British Columbia
 - New academic case study *not* being sought
 - Proposed general study: business case for records management programme support



Future Work

- University of Victoria
 - Feedback revised guidelines (incl. attachments)
 - Continue to crosswalk inboxes and follow-up examination
 - Naming conventions - export email to archives
- Analyze relationship between organizational culture and records management
- Integrate findings with TEAM Italy's "Keeping and Preserving E-Mail" General Study



... The success in any case study depends on an organizational culture committed to making the necessary changes in archival and records management practices that IP3 research seeks to identify and recommend ...



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