



InterPARES 3 Project

International Research on Permanent Authentic Records in Electronic Systems

TEAM Canada

Implementing Digital Records Preservation: An Overview of the InterPARES 3 Project

UBC ACA Student Chapter Meeting

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Randy Preston

InterPARES Project Coordinator



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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, Amy Marshall, Carrie Limkilde and Marlene van Ballegooie (2006), "Digital Preservation Education: Educating or Networking?" *The American Archivist* 69(1): 188-212.
- Feedback on the findings of the first two phases of InterPARES from archivists working in institutions smaller than national archives has consistently shown concern about the **downward-scalability** of those findings 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 need for an adequate record of its past.



InterPARES 3 Components

1. **research component** (development of new knowledge through 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, students apprenticeships, activities credited as part of coursework, etc.; and, with regard to the new knowledge developed, the production of curricula, syllabi, course modules and teaching materials); and
3. **knowledge-mobilization component** (conference presentations, workshops, seminars, colloquia, policy manuals and other publications, public lectures, etc.) that meets the needs of both academic and community partners.



Objectives

1. #3—To **promote an environment supportive** of IP3 goal by demonstrating to regulatory and auditing bodies, and policy makers that they ought to embed digital records preservation requirements in any activity that they regulate, audit or control.
2. #1—To collaborate with small and medium-sized archival organizations and programs in **development of policies, strategies, procedures and/or plans of actions** for the preservation of the digital materials that they expect to acquire or have already acquired, using the recommendations and products of leading edge research projects.



Objectives (cont.)

3. #1—To **assess the applicability of** the recommendations of such projects about **trusted record-making and recordkeeping** to the situations of the small and medium-sized archival organizations or programs selected as test-beds and, in particular, the validity of InterPARES statements about the relationship between preservers and the records creators.
4. #1—To assess the **applicability of these projects' preservation solutions** to the concrete cases identified by the test-bed partners as needing immediate attention, both when the records in question are already in their custody and when they still reside with their creator.



Objectives (cont.)

5. #1—To refine and further **elaborate the theory and methods**, concepts and principles developed by these research projects on the basis of the results of the above activities.
6. #1—To establish when such theory and methods, concepts and principles **apply across jurisdictions**, regardless of legal/administrative, social and cultural environment; and, in the situation where they do not apply, to identify why, and to determine the measures that are required to ensure the preservation of digital records.



Objectives (cont.)

7. #1—To assist small and medium-sized archival organizations or programs in addressing the **legal issues** that have been identified by the relevant research projects as providing obstacles to long-term digital preservation, and additional issues that could be specific to the partner organizations or programs.
8. #1—To formulate models that put into relation the choice of methods and objects of preservation with the **ethical consequences of each choice** for individuals and society, both in general and specifically.



Objectives (cont.)

9. #1—To create **evaluation models** capable of measuring the success of the preservation solutions that have been proposed and implemented.
10. #1—To develop **models of preservation costs** for various types of records and archival organizations and programs.
11. #3—To **establish a strong international network of research and education** on digital preservation that is deeply rooted in the various communities served by each of its partners, and that integrates academic work with social and community action.



Objectives (cont.)

12. #2—To **develop awareness and educational materials** that can: (a) enable the staff of small archival organizations and programs to plan for and carry out digital preservation, (b) assist professional associations in promoting career development of their members and (c) provide university programs with content and structure for university courses on digital preservation; and to identify effective delivery methods.
13. #3—To **ensure transfer of the body of knowledge** generated by this research—including actual examples and success stories—to appropriate local, national and international stakeholders.



Expected Products

1. #1—**Policies, strategies and procedures** for small archival organizations or programs, and **guidelines** for the records creators whose records fall under their responsibility.
2. #1—**Action plans** for the specific case studies carried out in the course of the project.
3. #1—**Analysis of the validity, applicability or adaptability of action plans** developed in the specific cases studied to different organizations, contexts or countries.



Expected Products (cont.)

4. #1—**Comparison among the action plans** developed for the preservation of records at different stages in their lifecycle (i.e., planning, creation, use, maintenance, modification and preservation).
5. #1—**Criteria to determine "most-at-risk" materials** - like a checklist of age (date created, date last accessed), physical carrier, operating system, software used, equipment required and its availability, etc.
6. #1—**Guidelines for addressing digital preservation requirements** that apply to specific types of records, but not to other materials.



Expected Products (cont.)

7. #1—**Evaluation models for assessing the degree of success**, if any, of the chosen preservation action.
8. #1—**Cost-benefit models** for various types of archival organizations or programs and for various kinds of records and/or systems.
9. #1—**Ethical models** that identify and make explicit the consequences for individuals and society of types of preservation measures or lack thereof.



Expected Products (cont.)

10. #3—A dedicated **Web site** providing small and medium-sized archival organizations world wide with good practical knowledge, internationally developed and shared, concrete examples of successful implementation, models of preservation costs, of programs evaluation, of ethical preservation behaviours, etc.
11. #1—A refined body of **theoretical and methodological knowledge** on digital preservation, communicated in conference papers, symposia, and refereed publications.



Expected Products (cont.)

12. #2—**Training and education modules** for archival organizations or programs, 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**.
13. #3—**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: Action Research

- Involves collaborative dialogue, **participatory decision-making**, inclusive democratic deliberation and maximal participation and representation **of all relevant parties**.
- Research becomes **practical**, reflective, pragmatic **action** directed toward **solving real-world problems**.
- Research subjects become **co-participants and stakeholders** in the process of inquiry
- Together, **stakeholders and action researchers** pool their knowledge and skills to **jointly define** the research objectives and goals, and the strategies for achieving them.



InterPARES 3 International Team

- **Teams:** TEAM (Theoretical Elaboration into Archival Management) Canada (including US); Africa; China; Brazil; Ireland /UK; Italy; Korea; Netherlands /Belgium; Malaysia; Mexico; Norway; Sweden; Singapore; and Turkey.
- **Director:** Luciana Duranti
- **Headquarters:** UBC - SLAIS (facilities provided by UBC)
- **Staff:** Project Coordinator, Technological Coordinator, Administrative Assistant. Direction and management of IP3 as a whole is a Canadian responsibility built into the TEAM Canada grant application.
- **Summits:** Once a year, each time hosted by a different country.
Symposia: Once a year, each time hosted by a different country.
- **Networking:** One common Web site with common public and restricted areas, and separate public and restricted areas for each TEAM including both shared and limited-access spaces, listservs, databases and research documents, working areas, etc.



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 Test-Bed Partners

- BC Medical Association Archives
- Belkin Art Gallery Archives
- Canadian Tourism Commission
- City of Vancouver Archives
- City of Victoria Archives
- Insurance Corporation of BC Archives
- Museum of Anthropology Archives
- North Vancouver Museum and Archives
- Simon Fraser University Archives (Facilities Development)
- UBC Alma Mater Society Archives
- UBC Archives (School of Music)
- UBC Graduate School of Journalism
- University of Victoria Archives (Office of the University Secretary)
- Vancouver Police Department (Forensic Services Section)



TEAM Canada Resource Partners

- Archives Association of BC (AABC)
- Association of Canadian Archivists (ACA)
- BC Corporate Information Management Branch (CIMB)
- Canadian Conservation Institute (CCI)
- Canadian Council of Archives (CCA)
- Datawitness, Inc.
- DOCAM Research Alliance (Langlois Foundation)
- Electronic Records Archives (ERA), NARA
- Irving K. Barber Learning Centre, UBC
- Library and Archives Canada (LAC)
- National Center for Supercomputing Applications (NCSA)
- Royal British Columbia Museum (including the BC Archives)
- San Diego Supercomputer Center (SDSC)



Case and General Studies

- **Case studies** (3 types):
 1. Those dealing with specific groups or types of **records**.
 2. Those dealing with record/information **systems**.
 3. Those dealing with **policies**.
- **General studies** (3 types):
 1. Studies carried out by **one TEAM for the benefit of all TEAMS** (e.g., Review of Digital Preservation Projects, Annotated Bibliography of International Standards) that will feed into the shared bibliographic database.
 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)



InterPARES.org Web Site

InterPARES Project
International Research on Permanent Authentic Records in Electronic Systems

director's message

The International Research on Permanent Authentic Records in Electronic Systems (InterPARES) aims at developing the knowledge essential to the long-term preservation of authentic records created and/or maintained in digital form and 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. InterPARES has developed in three phases:

InterPARES 1	InterPARES 2	InterPARES 3
was initiated in 1999 and concluded in 2001. It focused on the development of theory and methods ensuring the preservation of the authenticity of records created and/or maintained in databases and document management systems in the course of administrative activities, and took the perspective of the preserver.	was initiated in 2002 and concluded in 2006. In addition to dealing with issues of authenticity, it delved into the issues of reliability and accuracy during the entire lifecycle of records, from creation to permanent preservation. It focused on records produced in complex digital environments in the course of artistic, scientific and e-government activities.	was initiated in 2007 and will continue through 2012. The project builds upon the findings of InterPARES 1 and 2, as well as of other digital preservation projects worldwide. It will put theory into practice, working with small and medium-sized archives and archival/records units within organizations, and develop teaching modules for in-house training programs, continuing education, and academic curricula.

Major funding for The InterPARES Project is provided by The Social Sciences and Humanities Research Council of Canada's Community-University Research Alliances (SSHRC-CURA). Matching

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InterPARES 3 Project
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project summary

Welcome to the InterPARES 3 Project

The International Research on Permanent Authentic Records in Electronic Systems (InterPARES) 3 Project is an international collaborative endeavour, composed of several national and multinational teams. The Direction of the entire project is funded by Canada's Social Sciences and Humanities Research Council's Community-University Research Alliances grant, which also supports TEAM Canada, the name of which derives from the specific title given to this third phase of the project, **Theoretical Elaborations into Archival Management (TEAM): Implementing the theory of preservation of authentic records in digital systems in small and medium-sized archival organizations**. The members of the InterPARES 3 Project International Alliance are:

- TEAM Africa
- TEAM Brazil
- TEAM Canada
- TEAM China
- TEAM Netherlands and Belgium
- TEAM Ireland and United Kingdom
- TEAM Italy
- TEAM Korea
- TEAM Malaysia
- TEAM Mexico
- TEAM Norway
- TEAM Singapore

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