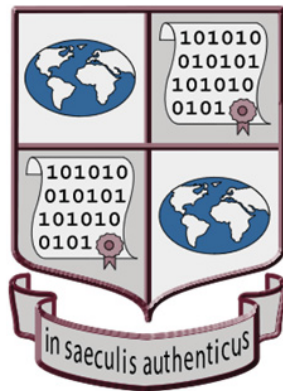


# InterPARES Project

International Research on Permanent Authentic Records in Electronic Systems



## InterPARES 3: Proposed Objectives, Methodology and Outcomes (2007-2012)

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LongRec Project Team Meeting

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# Why a Third Phase?

- A study of the effectiveness of workshops and seminars 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, et al. (2006). "Digital Preservation Education: Educating or Networking?" *The American Archivist* 69(1): 188-212. In the context of ERPANET.)
- 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 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 needs for an adequate record of its past.



# Objectives

1. To **promote an environment supportive** of the research 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. To collaborate with small and medium sized archival organizations and programs in the **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. 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. 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.
5. 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.



## Objectives (cont.)

6. 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.
7. 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 archival organizations and programs.
8. 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. To create **evaluation models** capable of measuring the success of the preservation solutions that have been proposed and implemented.
10. To develop **models of preservation costs** for various types of records and archival organizations and programs.
11. To **develop awareness and educational materials** that can: a) enable 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.



## Objectives (cont.)

12. 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.
13. 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.





# 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. **Analysis of the validity, applicability or adaptability of action plans** developed in the specific cases studied to different organizations, contexts or countries.
4. **Comparison among the action plans** developed for the preservation of records at different stages in their lifecycle (i.e., planning, creation, use, maintenance, modification, preservation).



# Expected Products (cont.)

5. **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. **Guidelines for addressing digital preservation requirements** that apply to specific types of records, but not to other materials.
7. **Evaluation models for assessing the degree of success**, if any, of the chosen preservation action.
8. **Cost-benefit models** for various types of archival organizations or programs and for various kinds of records and/or systems.



# Expected Products (cont.)

9. **Ethical models** that identify and make explicit the consequences for individuals and society of types of preservation measures or lack thereof.
10. 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 behaviors, etc.
11. Refined body of **theoretical and methodological knowledge** on digital preservation, communicated in conference papers, symposia, and refereed publications.



# Expected Products (cont.)

12. **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. **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** - a set of disciplined, material practices that involve collaborative dialogue, participatory decision making, inclusive democratic deliberation, and the maximal participation and representation of all relevant parties
- Research becomes practical, reflective, pragmatic action-directed toward solving problems in the world
- Research subjects become co-participants and stakeholders in the process of inquiry
- Together, stakeholders and action researchers create knowledge that is pragmatically useful. In the process, they **jointly** define research objectives and political goals, co-construct research questions, pool knowledge, hone shared research skills, and fashion interpretations and performance tests that implement specific strategies for social change



# Methodology (general – cont.)

- For our purposes, we can include under the umbrella of action research two distinct methods of research: **system development research method** and **ethnography**
- **Prototype development research method**: a user-centered prototyping approach that allows for exploration of the interplay between theory and practice, advancing the practice, while also offering new insights into theoretical concepts
- Developing a system in a research context can serve as **proof-by-demonstration** of the underlying theory, while producing an artifact that can form the basis of ongoing and expanded research
- This method comprises **three major iterative stages** – concept building (which we have done), system building and system evaluation
- All stages of system development must reflect this focus on the concept that the system is to illustrate



# Methodology (general – cont.)

- **Ethnography**: a form of inquiry characterized by the position of the researcher vis-à-vis the phenomena being studied
- The researchers place themselves within an archival environment to gain the cultural perspective of those responsible for records. The creators of records, their users, and archivists form a community of practice - the archival environment - for which social interaction creates meaning and defines values (an expert on organizational culture should be part of the research team)
- The process of ethnographic research includes observation of the environment with detailed description, extensive interviewing, and analysis of the documents produced or accumulated in the first two activities



# Methodology (general – cont.)

- In summary, the goals of action research are:
  1. the generation of **new knowledge**,
  2. the achievement of **action-oriented outcomes**,
  3. the **education** of both researchers and participants,
  4. results that are **relevant to the local setting**, and
  5. a **sound and appropriate research methodology**
- It is a collaborative, reflective, experiential, rigorous, interpretive and participatory mode of research that involves:
  - The **active engagement** of individuals traditionally known as subjects as participants and contributors in the research enterprise
  - The **integration of practical outcomes**
  - A **series of iterative steps**, each involving planning, action, and evaluation





# Methodology (general – cont.)

- Finally, it targets mainly two tasks:
  1. **Produce knowledge that will be directly useful to a group of people**, and
  2. **Enlighten and empower the members of the group**, motivating each one to take up and use the information gathered in the research



# InterPARES 3 International Team

- **TEAMs**: (Theoretical Elaboration into Archival Management) Canada; Holland and Belgium; Italy; Brazil; Africa; Korea; China; Ireland and England; **Norway**; Sweden; Singapore and Malaysia; USA; Mexico.
- **Director**: Luciana Duranti
- **Headquarters**: UBC - SLAIS (facilities provided by UBC)
- **Staff**: Project Coordinator, Technical Coordinator, Administrative Assistant (salaries paid by SSHRC: direction and management of project is a Canadian expense built into TEAM Canada grant application)
- **Meetings**: One per year, each time hosted by different country
- **Symposia**: One per year, each time hosted by different country
- **Networking**: One common Web site with common public area and restricted area including both shared and limited-access spaces, listservs, databases, research documents, working areas, etc.



# Partners

- Project partners must **jointly define** the research activities as well as the participatory arrangements under which individual researchers and research teams will carry out those activities.
- Partners should continue to develop and refine the research activities and, in addition to strengthening the original alliance, should also **recruit new partners** during the period of the project.



# Composition of Each TEAM

- **Director**, principal investigator
- **Co-applicants** - 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 to contribute to the project as needed
- **Graduate Research Assistants**



# TEAM Structure and Governance

- **Director**, principal investigator
- **Steering Committee** - composed of the Project Director, one academic co-applicant, and at least one representative each from a city archives, a university archives, and a thematic or community archives on a rotational basis, plus the Project Coordinator as ex-officio member..
  - **Function**: Provides intellectual and administrative direction of the research; sets agendas for plenary workshops; formally recruits or accepts new partners or collaborators; assesses partial results; and makes any other decisions having an impact on the project as a whole.



# TEAM Structure and Governance (cont.)

- **Dissemination Committee** – composed of the Project Director, one academic co-applicant, at least one representative each from a city archives, a university archives, a thematic or community archives, a professional archival association, and another type of resource partner on a rotational basis, plus the Technical Coordinator as ex-officio member.
  - **Function:** Provides overall direction and coordination of knowledge mobilization activities.



# Primary Activities

- **Research component** (short-term and long-term projects, action research, etc.);
- **Education and training component** (in the context of research projects, apprenticeships, activities credited as part of coursework, etc.); and
- **Knowledge mobilization component** (workshops, seminars, colloquia, policy manuals and other publications, public lectures, etc.) that meets the needs of both academic and community partners.



# TEAM Canada Proposed Research

## **Title:**

Theoretical Elaboration into Archival Management (TEAM):  
Canada.

## **Subtitle:**

Implementing the Theory of Preservation of Authentic  
Records in Electronic Systems in Small and Medium-Sized  
Archival Organizations and Programs.





# Goal, Objectives, Products, Methods

- The same as those articulated for the overall project in general in the proposal and specifically by the International Team (directors of each TEAM)
- Inspired by the fundamental InterPARES principles of:
  - **inter / multi / transdisciplinarity**
  - **transferability**
  - **open inquiry**
  - **multi-method design**
  - **layered knowledge environment**



# Inter / Multi / Transdisciplinarity

- **Interdisciplinarity** involves the transfer of one or more methods or ideas from one discipline to another
- **Multidisciplinarity** involves the analysis of the same object by many disciplines
- **Transdisciplinarity** involves thinking at the same time within, across and outside each discipline, and beyond all disciplines to gain an understanding of present reality, one imperative of which is the unity of knowledge.

It requires:

- **rigor** in argument, taking into account all existing data, which is the best defense against possible distortions;
- **openness**, which is the acceptance of the unknown, the unexpected and the unforeseeable; and
- **tolerance**, which implies acknowledging the right to ideas and truths opposed to our own.



# Methodology

- **Establishing the Context and the Research Cycle** -- Initially, each test-bed partner will identify a body of digital material for which a preservation plan will be developed, be it already in the custody of the partner or not. This is the context of problem solving with theory, and theory development through solving problems.
- **Data Collection** -- Data will be collected about the context and limitations of each test-bed, and the specific body of material, its documentary forms, technological constraints, functional or cultural meaning, etc.



# Methodology (cont.)

- **First Iterations: Testing Different Solutions in Different Contexts** -- All co-applicants, collaborators and partners (i.e., test-bed and resource) will then reflect on these data and collectively articulate several possible solutions from which a single plan of action will emerge and be tested. This plan of action will include strategy, protocols, functional requirements, procedures, and expected outcome. The plan will be implemented and tested and test results will include performance assessments of this plan against benchmarks and baselines established in extant research.
- **Comparison of First Iterations** -- The results of the test will be shared among all researchers and analyzed. An assessment of these results will then allow us to reflect on this action, and refine our respective plans of action.



# Methodology (cont.)

- **Second Iteration: Refining Solutions for Particular Contexts** -- After this assessment, the process will begin another cycle. This second iteration will account for anomalies in the test results, and benefit from the insight gained from a comparison across contexts. In so doing, it will refine our plans and performance measures. The second iteration will continue with small mini-iterations until a definitive plan of action is agreed upon for each context, implemented and tested again.



# Methodology (cont.)

- **Comparisons of Second Iterations** -- The data will be compared among cohorts—the partner organizations of the same type (e.g., city archives, university archives, communities archives)—to establish what are the critical factors that determine the most appropriate solution for these contexts and whether they are linked to documentary forms, technology, organizational culture or function, or other environmental elements. This comparison will allow us to make statements of a general type. Furthermore, once a year, the results will be compared with parallel research results occurring abroad. This comparison of results will not happen in a vacuum because all international partners will share the same Web site and maintain ongoing communication.



# Methodology (cont.)

- **Reflection, Analysis and Synthesis** -- Throughout the research, the co-applicants and collaborators will reflect on issues and processes and make explicit their assumptions and biases, thereby giving rise to theoretical considerations. This reflexive and engaged scholarship will allow the co-applicants a chance to bind critical discourse with mission-critical processes. Thus, while the project will start out with theory informing practice, as it will proceed, practice will refine theory, in a transformative cycle.



# TEAM Canada Test-Bed Partners

- Belkin Art Gallery Archives
- British Columbia Medical Association Archives
- City of Vancouver Archives
- City of Victoria Archives
- Insurance Corporation of British Columbia Archives
- Museum of Anthropology Archives
- North Vancouver Museum and Archives
- Simon Fraser University Archives
- University of British Columbia Alma Mater Society Archives
- University of British Columbia Archives
- University of Victoria Archives





# TEAM Canada Resource Partners

- Archival Association of British Columbia (AABC)
- Association of Canadian Archivists (ACA)
- British Columbia Corporate Information Management Branch (CIMB)
- 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 BC Archives)
- San Diego Supercomputer Center (SDSC)



# Examples of Case Studies

- **City of Vancouver:** ERDMS Examination & Implementation
- **City of Victoria:** Digitized and Born Digital Building Permits
- **Collaborative University Project (UBC, UVic, SFU):** E-mail Management, Preservation & Access
- **ICBC:** On-line Insurance Manual & Associated E-mail
- **ICBC:** Enterprise-wide Data Acquisition/Distribution System
- **UBC Alma Mater Society:** Web site Preservation & Access



# Meetings

- **Steering Committee:** 4 times a year (twice in connection with the meeting of the full TEAM Canada)
- **Full TEAM Canada** (plenary research workshop): 2 times a year (1 week each)
- **International partners:** 1 time a year (1 week)
- **Dissemination Committee:** 2 times a year at the time of the plenary research workshops



# Timeline

- 1 July 2007: We will know whether the project will be funded
- **31 August 2007** -- All TEAMS must be in place
- 1 September 2007 -- If funded, this is the starting date
- **October 2007** -- First International Team meeting in Rome, Italy
- November 2007 -- We begin the case studies
- August 2012 -- End of project



# Letter of Confirmation

- A statement that the partner (the Director of the national or multinational TEAM) has read the description of the project and agrees to the described role and level of participation
- A statement that the partner is willing and able to complete the activities described in the proposal
- A statement confirming the partner's financial and non-financial contribution (each international partner's contributions consist of hosting one meeting or a symposium in the course of the 5 years, and of supporting its director's participation in the yearly meeting and possibly in the symposium)



# InterPARES Web Site

[www.interpares.org](http://www.interpares.org)

