



InterPARES 3 Project

International Research on Permanent Authentic Records in Electronic Systems
TEAM Canada

General Study Research Proposal Policy and Procedures Templates Version 1.2, May 2009

Background and Rationale for Study

Policy and procedures tend to be a major subject of discussion among the InterPARES 3 TEAM Canada researchers as it involves records creators and preservers. The need for a general study on the creation of policy and procedure templates was identified during the November 2009 plenary workshop for TEAM Canada, where Lara Wilson suggested, “Likewise, another useful product would be a template for procedures that would clarify how a procedural document is separate from a policy document.”¹ Indeed, a number of case studies are working to develop policies and procedures for records management programs (for a list of these case studies, see Appendix A).

Accordingly, the InterPARES 1 research plan, within Domain 4, (under the Strategy Task Force) identified relevant areas and developed an intellectual framework aimed to outline principles necessary to guide the formulation of international policies, strategies and standards related to the long-term preservation of authentic electronic records. The Strategy Task Force was also tasked to investigate the criteria for developing national and organizational policies, strategies and standards.²

Although many model policies and procedures exist, and substantial research efforts have explored policy and procedural issues resulting in various templates, these templates tend to be widely scattered. More often than not, users have to consult several of them to figure out the useful ones that address their specific needs. Moreover, these policy and procedures templates tend to be developed for larger organizations and will likely not work for smaller archival organizations. It is evident from several case studies that smaller organizations tend to have very specific policy and procedure needs and requirements and may find it difficult to apply broad policies to their situations.³

¹ Randy Preston, “TEAM Canada Plenary Workshop #05: Proceedings,” InterPARES, Final v1.0, November 2009. Available at http://www.interpares.org/rws/display_file.cfm?doc=ip3_canada_wks05_proceedings_FINAL_v1-0.pdf, p. 18.

² Luciana Duranti, et al., “Part Four – An Intellectual Framework for Policies, Strategies, and Standards: Strategy Task Force Report,” in *The Long-term Preservation of Authentic Electronic Records: Findings of the InterPARES Project*, Luciana Duranti, ed. (San Miniato, Italy: Archilab, 2005), 117.

³ As observed by Luciana Duranti during the November 2009 plenary workshop for TEAM Canada.

Given the above, and on the basis that any solution to digital preservation problems are mostly situation specific, it is crucial to develop scalable policy and procedures templates that will suit the needs of small- and medium-sized archival organizations while relying on established intellectual frameworks. This will also meet the InterPARES 3 Project's goal, which aims to:

[...] enable small and medium sized public and private archival organizations and programs, 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;⁴

Research Objectives

The research will intend to:

- 1) Provide a set of generic policy and procedure templates for the management and preservation of both digital and analogue records that account and conform to the specified criteria in the InterPARES 1 Strategy Task Force report on policy and other such InterPARES policy guidelines.
- 2) Create tailored model policy and procedures templates for different categories and types of archival organizations or functions (e.g., academic, financial, administrative, cultural, etc.).
- 3) Bring both new and existing policy and procedure templates (that are scattered but relevant) under one source while pointing potential users to it for easy access.
- 4) Provide a solid foundation and guidance for other InterPARES case studies to build upon when developing tailored policy and procedures for test-beds. For example, a model policy and procedures template from this study could have easily been adopted or adapted to suit the new digital preservation policy for the British Columbia Institute of Technology Archives case study (CS01)⁵; thus avoiding the daunting task of creating a new digital preservation policy and procedures from scratch for test-beds.

Research Methodology

The principal methodology for the proposed study shall be desk research, involving a search for existing policy and procedures documents. Using the criteria in the InterPARES Strategy Task Force report on policy development and other such InterPARES policy guidelines, the literature

⁴ Luciana Duranti, "Organizational Policy: Project Goal," InterPARES 3 Project, TEAM Canada (v2.0, December 2007, Updated September 2008). Available at http://www.interpares.org/display_file.cfm?doc=ip3_organizational_policy_v2-0.pdf.

⁵ See Corinne Rogers, "Case Study 01 – British Columbia Institute of Technology Archives (BCIT) - Policies and Procedures for Preservation of Digital Records: Workshop 05 – Update on Development of Procedures for BCIT Policy 6703," InterPARES 3 Project, TEAM Canada (v1.1, November 2009). Available at http://www.interpares.org/rws/display_file.cfm?doc=ip3_canada_cs01_wks05_procedures_update_v1-1.pdf.

review shall analyze the policy and procedures to examine the sort of information they include and how they match up with the InterPARES and other relevant criteria.

Plan of Action

Activities	Proposed Target Dates
1. Presentation of research proposal on general study on policy and procedures templates	TEAM Canada Plenary Workshop 6
2. Literature review of existing policy and procedures templates	July 2010
3. Presentation of findings based on literature review, recommendations and draft policy and procedures templates	Team Canada Plenary Workshop 7

Research Team

Lead investigator: Sandie Bradley

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Dissemination Activities

- Conferences:
 - ARMA Canada (2011)
 - Others, TBD
- Downloadable templates from the InterPARES Web site

Appendix A: Case Studies Developing Policies and Procedures

Case Study	Objective
01 - British Columbia Institute of Technology (BCIT) Archives	BCIT proposes to have the InterPARES 3 researchers work with BCIT's records manager and archivist to prepare a flowchart of the business process involved in digital records preservation, based on best practices and industry standards. The deliverable of this activity will be the <i>BCIT Digital Records Preservation Flowchart</i> . ⁶
05 - City of Victoria Archives	To be able to <u>better</u> understand the relations between textual records and their electronic counterparts, and begin developing a plan to deal effectively with all of them within the City's archives/records management programs. ⁷
10 - University of Victoria Archives, University of British Columbia Archives, Simon Fraser University Archives	Resources and tools could include: <ul style="list-style-type: none"> • Policies, procedures, guidelines.⁸
13 - Vancouver School of Theology	The main objectives of the case study are to devise policies for the creation, maintenance and preservation of administrative records and develop an institution-wide system of managing digital files to reduce duplication and protect version integrity. ⁹
14 - City of Surrey	Deliverables: [...] Migration Manual: The business units will require a manual and training to guide them through the migration process. The manual might include contextual information; procedural checklists; and project planning and team list templates. ¹⁰

⁶ See http://www.interpares.org/rws/display_file.cfm?doc=ip3_canada_bcit_cs_proposals_1-2.doc.

⁷ See http://www.interpares.org/rws/display_file.cfm?doc=ip3_canada_city_of_victoria_cs_proposal_1_supplement.doc.

⁸ See http://www.interpares.org/rws/display_file.cfm?doc=ip3_canada_abc_sfu_uvic_cs_proposal_1a.doc.

⁹ See http://www.interpares.org/rws/display_file.cfm?doc=ip3_canada_vst_cs_proposal_1_v1-0.doc.

¹⁰ See http://www.interpares.org/rws/display_file.cfm?doc=ip3_canada_city_of_surrey_cs_proposal_1_v1-1.doc.