



InterPARES 3 Project

International Research on Permanent Authentic Records in Electronic Systems

TEAM Brazil

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TEAM Brazil Final Report

TEAM Brazil Composition, formation and administrative organization

The direction of TEAM Brazil was supported by Brazil National Archives which served as the headquarters for the TEAM, the main co-investigators and administrative assistants. The co-investigators based at the National Archives were responsible for case study orientation and general study development, along with three other co-investigators, from Casa de Rui Barbosa Foundation, UFF (Fluminense Federal University) and the Chamber of Deputies. These co-investigators were already involved on previous studies related to digital preservation at the National Archival Council's Digital Records Committee and already had knowledge of InterPARES Project findings; in this way, they acted on the case studies as “external co-investigators” working together with the researchers designated by the test-bed partners.

The case studies were developed with the participation of four test-bed partners that signed an agreement with Brazil National Archives specifically to carry out the studies under the InterPARES Project: Chamber of Deputies, Ministry of Health, UNICAMP (state University of Campinas) and State Archives of São Paulo. Each test-bed partner provided researchers from their own staff to work on each respective case study; the researchers were archivists, IT professionals or employees involved in the activities that created the records or with the records management system under study. In addition, another case study was conducted by a master's student at the Federal University of Porto Alegre on a fifth test-bed partner, but on this case the agreement with the National Archives was signed with the University which in turn was in touch with the test-bed partner.

Thus, each case study was carried by a group formed by researchers designated by the test-bed partner to work on the study (co-investigators and research assistants) and an external co-investigator which was responsible for guiding the work.

TEAM Brazil also worked with a collaborator from SERPRO, the IT company that provides services for the federal government, who supported the analysis and actions plans set for all case studies during the national plenary workshops.

A Terminology Group, composed by the main co-investigators, was responsible for carrying the Terminology General Study at TEAM Brazil, which consisted in translating InterPARES database to Portuguese.

The financing of TEAM Brazil was provided by the National Archives and the test-bed partners, which provided the researchers and the funding to support the researchers' participation in national and international InterPARES workshops as well as in conferences to disseminate TEAM Brazil activities and preliminary findings.

As the majority of researchers were not archivists nor had much knowledge of digital preservation, the first activities of TEAM Brazil were workshops to explain archival and digital preservation basics, InterPARES 1 & 2 findings, as well as the project methodology proposed for carrying out the case studies. The workshops were important for the understanding of Diplomatic Analysis and for clarifying basic concepts used in the project, such as: digital records, digital components, attributes, elements of form, authenticity, reliability, the archival bond, stored digital records, manifested digital records, fixed form, stable content and bounded variability. The training of researchers took almost a year but it was essential for the proper conduction of case studies. At the end of the training process, TEAM Brazil was comprised of a staff of co-investigators and research assistants with expertise on InterPARES findings and on the digital materials under study.

Case Studies and General Studies carried out

TEAM Brazil carried out ten case studies, one of which was suspended for administrative reasons, and one that was not concluded to the end¹ because of political and cultural difficulties met by the researchers within the test bed. Among the eight case studies that were completed, seven were related to analyzing a body of digital records and defining a preservation plan for it and one to assessing a recordkeeping system that was to be implemented. Below are listed the nine case studies, grouped by test-bed. More detailed information about the case studies can be found on their respective final reports.

TEAM Brazil also took part on two general studies: International Terminology Database and Digital Protocol Registry Preservation.

Ministry of Health

BRCS01 – Procedures for the management and preservation of the Hospital Internment Authorization (AIH) created in the Decentralized Hospital Information System (SIHD)

UNICAMP

BRCS02 – Procedures for creation, management and preservation of digital photographic documents created by UNICAMP Public Relations and Press Office.

BRCS03 – Procedures for creation, management and preservation of digital audiovisual programs records (TV programs) at UNICAMP Radio and Television.

BRCS04 – Procedures for management, preservation and access to digital master's dissertations and PhD theses at UNICAMP Digital Library.

BRCS05 – Procedures for management and preservation of undergraduate student's grades and attendance reports created in the Academic Information System at UNICAMP Student Register's and Management Services Office.

BRCS07 – Procedures for management and preservation of staff paychecks created in the electronic system that processes staff's payment at UNICAMP.

Chamber of Deputies of Brazil

BRCS08 – Identifying requirements and defining procedures for creation and long-term preservation of authentic digital legislative propositions' dossier.

* Data collection and Diplomatic Analysis were completed, but it was not possible to define and propose an Action Plan for the preservation of the digital entity under study until the end of the project because of political and cultural difficulties.

State Archives of São Paulo

BRCS09 – Analysis of the electronic recordkeeping system in use at São Paulo State agencies.

Porto Alegre Municipal Archives

BRCS10 – Procedures for management and preservation as a record of the “Porto Alegre Municipal Government's Management Website”.

TEAM Brazil Terminology Group translated 227 terms and their definitions that were sent in four batches for all TEAMS. The terms and definitions were inserted into the InterPARES 3 International Terminology Database, which is comprised of a Glossary and a Dictionary. The translation process was a complex task which was conducted in a careful, strict and thorough way. Translating the InterPARES Glossary was a big challenge. In most cases a term cannot be translated literally because the word may have a different meaning than the one used in the archival practice of that

1 BRCS08: Chamber of Deputies: Legislative propositions' dossier

country; in other cases there is no corresponding term used in the country because of the differences in the archival practices. In addition, it is not sufficient to simply translate the term; it must be defined and explained in the country's technical language.

The terminology group was responsible for translating the terms and definitions, which in the end were approved by the other researchers. Some national and international archival dictionaries were important references to this work, but sometimes it was necessary to refer to other experts in the IT or archival area because the terms were new or had a new use.

After translating the terms, TEAM Brazil started a comparative study including the Latin language TEAMS, specifically Brazil, Mexico and Catalonia, as some terms presented difficulties which were common to all Latin languages. A comparative table, showing term translations proposed by each TEAM, was prepared and analyzed. TEAM Brazil then exchanged ideas with the other TEAMS, made revisions and improved the Portuguese database, as well as made some suggestions to the other TEAMS. It was easy to notice that most terms were similar among the different countries and languages, and this similarity is due not only because of the common Latin origin of languages but also because of a similar archival culture.

As a result of the terminology group activities, in addition to the database, TEAM Brazil presented two papers describing these difficulties and presenting examples: "The challenges of developing a common glossary across different countries and languages in InterPARES 3: some examples from the TEAM Brazil experience" and "InterPARES 3 multilingual glossary". Those papers were presented at InterPARES Symposiums and were also published in Brazilian Archival journals in Portuguese.

TEAM Brazil contributed to the general study on Digital Protocol Registry Preservation which was led by TEAM Italy. A researcher at the National Archives was designated to study and compile all information related to the Brazilian context and practices on Protocol Registry and include it in the report that was been prepared by TEAM Italy. The Brazilian researchers also made some contributions to the report as a whole, based on case study BRCS09 which analyzed the electronic recordkeeping system used at São Paulo State agencies. The researchers from Ministry of Health, UNICAMP and the State Archives of São Paulo supported the researcher designated providing information from their experience in the Protocol Registry System in use at their institution and from the case study report.

Data collection for the protocol registry general study was somewhat difficult, as Brazil does not have a national law or standard in use all over the country; however but there are several for the federal government as well as for each state and municipality. Moreover, although practiced since colonial times, especially in government agencies, there is not much literature written, in addition to these dispersed standards. Therefore case study BRCS09 and the expertise of some researchers in their institution were essential for carrying out this work.

Workshops

Besides the participation of TEAM Brazil's director in all International Workshops, nine National Plenary Workshops were held throughout the project period in which the case studies and general studies were presented and discussed by all researchers. The sequence of workshops is presented below together with the respective date and venue.

TEAM Brazil 1st Plenary workshop Rio de Janeiro – National Archives 2007, Nov 26th to

		27 th
TEAM Brazil 2 nd Plenary workshop	Rio de Janeiro – National Archives	2008, May 13 th to 16 th
TEAM Brazil 3 rd Plenary workshop	Rio de Janeiro – National Archives	2008, Nov 11 th to 14 th
TEAM Brazil 4 th Plenary workshop	Rio de Janeiro – National Archives	2009, May 11 th to 14 th
TEAM Brazil 5 th Plenary workshop	Rio de Janeiro – National Archives	2009, Nov 3 rd to 6 th
TEAM Brazil 6 th Plenary workshop	Rio de Janeiro – National Archives	2010, Jun 9 th to 11 th
TEAM Brazil 7 th Plenary workshop	Rio de Janeiro – National Archives	2010, Nov 16 th to 17 th
TEAM Brazil 8 th Plenary workshop	Rio de Janeiro – National Archives	2011, May 30 th to Jun 1 st
TEAM Brazil 9 th Plenary workshop	Campinas - UNICAMP	2011, Oct 24 th to 26 th

Considerations

Nine case studies were concluded by TEAM Brazil and researchers have improved their knowledge in conducting research activities. They put InterPARES theory into practice and it proved to support them; the Diplomatic Analysis template proved to be very useful to help and guide creators and preservers in identifying the weakness of the digital entity under study, which guided them on the definition of actions that should be performed to guarantee the preservation of authentic records for the long term. The salient characteristics of a record presented in the Diplomatic Analysis Template are not so evident for digital records as they are for paper ones, primarily the fixed form, stable content and archival bond, as the case studies showed.

Another point that must be noted is about the variety of the case studies conducted by TEAM Brazil which comprised different body of records, and in most cases the final reports pointed out that the actions plans could serve as a model for similar body of records. This is a very positive aspect, especially because the test-beds will be able to use the action plans that were defined as a model in similar situations and even other institutions can do so.

An interesting aspect about TEAM Brazil researchers is that the case studies groups were mainly made up of individuals involved in the creation of the records (IT experts and administrative staff), who carried out all the data collection, worked on the analysis and the definition of action plans together with the external co-investigators that were archivists. It took time in the beginning until they were able to perform the methodology proposed, but at the end the creators were aware of the need to implement the plan. They were able to understand why it was so necessary to do the changes and were committed in implementing the actions. In some cases the plans still need to be implemented, mainly because of lack of time, but most of them are on the way to being fully implemented.

The activities of the terminology group were also very fruitful. In addition to the direct products resulting from this work, as the terminology database and the papers presented, it stimulated studies and thorough debate for the national archival community. The digital environment brought new media, objects, preservation challenges, that pushed the archivists to review some concepts; such as the issues that arose while working for the InterPARES International Database are beginning to open a discussion within the national archival community.