

# InterPARES 3 Project

International Research on Permanent Authentic Records in Electronic Systems

TEAM Canada

**Title:** TEAM Canada Final Report

**Status:** Final (public)

**Version:** 2.0

**Date Submitted:** March 2012

**Last Revised:** June 2016

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**URL:** [http://www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_final\\_report.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_final_report.pdf)

## Document Control

Version history			
<u>Version</u>	<u>Date</u>	<u>By</u>	<u>Version notes</u>
1.0	2012-03-06	A. Allen	First draft
1.1	2012-03-28	A. Allen	Addition of bibliography
2.0	2016-14-06	R. Preston	Content and copy edits for public version

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## **TEAM Canada Composition**

- Director, principal investigator
- Co-investigators (individual academic and professional researchers)
- Test-bed partners (archives or archival units within organizations that are the locus and subject of the research, the primary stakeholders)
- Resource partners (organizations that have an expertise in some aspect of the research and share it providing regular input and feedback)
- Collaborators (individuals who have a special expertise in some aspect of the research and will be called to contribute to the Project as needed)
- Graduate Research Assistants (graduate students enrolled in archival and/or library studies programs of education or in programs relevant to the matter of specific case studies, e.g., journalism, criminology)

## **TEAM Canada Management**

Luciana Duranti	Project Director, TEAM Canada Director
Alexandra Allen	Project Coordinator (2011-2012)
Randy Preston	Project Coordinator (2007-2011)
Jean-Pascal Morghese	Technical Coordinator
Sandy Orr	Project Assistant

## **Steering & Dissemination Committee**

- Alexandra Bradley
- Luciana Duranti (Chair)
- Ian Forsyth
- Krisztina Laszlo
- Evelyn McLellan
- Randy Preston & Alexandra Allen (ex-officio)
- Jean-Pascal Morghese (ex-officio)

## **TEAM Canada Co-Investigators**

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- Hilde Collenbrander - The University of British Columbia
- Barbara Craig - University of Toronto
- Patricia Daum - British Columbia Institute of Technology
- Glenn Dingwall - City of Vancouver
- Alan Doyle - The University of British Columbia
- Lois Enns - City of Surrey, British Columbia
- Ian Forsyth - Simon Fraser University
- Sheldon Goldfarb - The University of British Columbia
- Christopher Hives - The University of British Columbia
- Paul Hebbard - Simon Fraser University
- Mark Johnstone - Vancouver Police Department
- Peter Klein - The University of British Columbia
- Krisztina Laszlo - The University of British Columbia
- Victoria Lemieux - The University of British Columbia
- Trevor Liverton - City of Victoria, British Columbia
- Jane Morrison - University of Victoria
- Corinne Rogers - Vancouver School of Theology
- Mira Sundara Rajan - The University of British Columbia
- Joseph Tennis - University of Washington
- Janet Turner - North Vancouver Museum & Archives
- Barry Warne - The University of British Columbia
- Lara Wilson - University of Victoria
- Mary-Lynn Young - The University of British Columbia

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- Yvette Hackett - Consultant
- John MacDonald - Consultant
- Richard Marciano - University of North Carolina at Chapel Hill
- Evelyn McLellan - Artefactual Systems, Inc.
- Stuart Rennie - Barrister & Solicitor and Records Management Consultant
- Kenneth Thibodeau - Center for Advanced Systems and Technology, NARA
- Helen Tibbo - University of North Carolina at Chapel Hill

## **TEAM Canada Test-bed Partners**

- British Columbia Institute of Technology
- Canadian Tourism Commission
- City of Surrey, Legislative Services and Information Technology Divisions
- City of Vancouver Archives

- City of Victoria Archives
- Insurance Corporation of British Columbia Archives
- Morris and Helen Belkin Art Gallery Archives
- North Vancouver Museum and Archives
- Simon Fraser University Archives, Facilities Development
- Simon Fraser University Archives, Human Rights Office
- The University of British Columbia Alma Mater Society Archives
- The University of British Columbia Archives, UBC School of Music
- The University of British Columbia, Graduate School of Journalism
- The University of British Columbia Library, cIRcle Institutional Repository
- The University of British Columbia Museum of Anthropology Archives
- University of Victoria Archives, Office of the University Secretary
- Vancouver Police Department
- Vancouver School of Theology

### **TEAM Canada Resource Partners**

- Archives Association of British Columbia (AABC)
- Association of Canadian Archivists (ACA)
- British Columbia Information Access Operations Branch
- Canadian Conservation Institute (CCI)
- Canadian Council of Archives (CCA)
- DOCAM Research Alliance (Langlois Foundation)
- Electronic Records Archives (ERA)
- National Archives and Records Administration (NARA)
- Irving K. Barber Learning Centre
- Royal British Columbia Museum (including the BC Archives)

### **International Alliance Partners**

- TEAM Brazil - Claudia M. Lacombe Rocha, Director
- TEAM Canada - Luciana Duranti, Director
- TEAM Catalonia - Miquel Serra, Director
- TEAM China - Jian Wang, Director
- TEAM Italy - Maria Guercio, Stefano Vitali and Guido Marinelli, Co-directors
- TEAM Colombia - Carlos Alberto Zapata and Maria Janeth Alvarez, Co-directors
- TEAM Korea - Sam G. Oh, Director
- TEAM Malaysia - Rusnah Johare, Director
- TEAM Mexico - Alicia Barnard (2007-2008) & Juan Voutssás (2008-2012), Directors
- TEAM Norway - Inger-Mette Gustavsen, Director
- TEAM Turkey - Özgür Külcü, Director

## TEAM Canada Graduate Research Assistants

Student Graduate Research Assistants (GRAs) were hired and assigned to co-investigators on a pro tempore basis. These GRAs participated in gathering data for case studies, conducting preliminary analysis of case study data, conducting surveys, preparing annotated bibliographies, assisting in the development and testing of models, and presenting findings at InterPARES Project workshops and at conferences. The following GRAs were involved in the InterPARES 3 Project:

- Erin Abler (2009, graduated 2009)
- Alexandra Allen (2009-2010, graduated 2010)
- Patrick Ansah (2010-2011, graduated 2011)
- Jennifer Bancroft (2008-2009, graduated 2010)
- Beata Bergen (2007-2008, graduated 2008)
- Marla Bissky (2007-2008, graduated 2008)
- Jenny Borland (2008-2010, graduated 2010)
- Karine Burger (2007-2008, graduated 2008)
- Jen Busch (2010-2011, graduated 2011)
- Yolanda Bustos (2010)
- Helen Callow (2007-2009, graduated 2009)
- Kerry-ellen Canning (2008-2009, graduated 2009)
- Adam Cowling (2007-2008, graduated 2008)
- Libby Coyner (2007-2008, graduated 2008)
- Carolyn Downs (2010-2011)
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- Donald Force (2007-2012)
- Fiorella Foscarini (2007-2009, graduated 2009)
- Marci Fuller (2008-2009, graduated 2009)
- Cathryn Gasztonyi (2007-2008, graduated 2008)
- Bruno Godin (2009-2010, graduated 2010)
- Elaine Goh (2010-2012)
- Myron Groover (2010-2011, graduated 2011)
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- Harrison W. Inefuku (2009-2011)
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- Donald Johnson (2008-2009, graduated 2009)
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- Shalene Williams (2010-2011, graduated 2011)
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- Yeo-Hyun Yoon (2008-2009, graduated 2009)
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## **TEAM Canada Funding**

Major funding for The InterPARES 3 Project was provided by The Social Sciences and Humanities Research Council of Canada's Community-University Research Alliances (SSHRC-CURA). Matching funds in cash were provided by The University of British Columbia's Vice President Research Development Fund, the Dean of Arts, and the School of Library, Archival and Information Studies, while matching funds in kind were provided by all test-bed and resource partners.

## **TEAM Canada Research Overview**

Digital records and the applications that generate them have affected every aspect of business, research, government and domestic life. E-mail, e-voting ballots, research and survey data, financial company records, and digital art are just some of the materials used in the day-to-day operations of modern society. The keepers of these records need to maintain them in a way such that their reliability, accuracy and authenticity can be demonstrated at any time to

support, for example, research and innovation, legal validation, copyright and patent litigation, scientific discovery, issues of ownership and precedence for governments and individuals, and accountability. Long-term authentic preservation also needs to be a primary concern; firstly, because generations of digital material have already been lost due to changing technology and inadequate preservation practices, and secondly, because the authenticity of digital materials that have survived is currently difficult, if not impossible, to prove.

These issues have been addressed by several research projects that have developed knowledge essential to the long-term preservation of authentic records created and/or maintained in digital form, thereby providing the basis from which model policies, strategies and standards capable of ensuring the longevity of digital material and the ability of its users to trust its authenticity have been formulated. However, a key finding of the most comprehensive of these projects, InterPARES 1 and 2, is that, although the body of concepts, principles and methods developed through scientific research constitutes the essential foundation and framework of best practices, any solution to digital preservation problems is situation-specific, and must be devised by preservers taking into account: 1) the cultural, administrative, legal, and functional context in which they operate, 2) the nature and characteristics of the organizations producing the digital material to be preserved, 3) the typology of the material produced and its documentary and technological features, 4) the limitations imposed by the available financial and human resources, 5) the organizational culture of both the producer of the material and the preserver, and 6) access to educated professionals or educational programs and resources. Furthermore, although the conceptual and methodological findings of InterPARES and other research projects are equally applicable to larger and smaller organizations and programs, archives with limited resources, which often have the greatest need for assistance, will find the outcomes of the research difficult to apply without specific directions on how to move forward.

InterPARES 3 has translated the theory and methods of digital preservation drawn from research to date into concrete action plans for existing bodies of records that are to be kept over the long term by archives and archival/records units within organizations endowed with limited resources. In the process, detailed knowledge was developed about: 1) how general theory and methods can be implemented in small and medium-sized archives and units and become effective practices; 2) what factors determine the type of implementation that is appropriate for each body of records in each context; and 3) what skills professionals will require to conduct such operations. On this basis, teaching modules were developed for in-house training programs, continuing education workshops, and academic curricula that will provide professionals with the competence not only to preserve over the long term society's documentary heritage in digital form, but also to ensure the accountability of organizations and institutions through the protection of the accuracy and authenticity of the digital information they produce.

Governance, law, art, science and scholarship urgently require concrete plans for the preservation of digital materials, so that today's actions, thoughts, achievements and creations will have a future, and so that the future will have a memory.

## Case Studies

### Case Study 01: British Columbia Institute of Technology Archives (BCIT)

**Test Bed Name:** British Columbia Institute of Technology Archives (BCIT)  
**Test Bed Type:** University archives  
**Topic/Title:** Policies and Procedures for Preservation of Digital Records  
**Case study type:** Policy, Systems  
**Start Date:** September 2007

**Abstract:** The British Columbia Institute of Technology (BCIT) was established in 1961 and merged with the British Columbia Vocational School in 1968. BCIT is a degree-granting, post-secondary educational institution that confers technical and vocational baccalaureate degrees and diplomas. The Institute has five campuses in the Vancouver area, comprising more than 1,600 full-time faculty, 600 part-time faculty and approximately 16,000 students.

The case study considers the more than 100 million digital records created and used by BCIT's departments and administrative offices. Although these records are subject to the same retention and disposition schedules that apply to BCIT's paper records, only a small percentage of BCIT's departments and administrative offices actually apply the schedules to digital records. The digital records are not only essential for the daily activities and procedures of the Institute, they also contribute to its growing history.

The main objective of the case study is: to devise a policy and set of procedures that better ensure the long-term preservation of BCIT's digital records.

**Research Proposal:**

[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_bcit\\_research\\_proposals\\_1-2.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_bcit_research_proposals_1-2.pdf)

**Final Report:** [www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_cs01\\_final\\_report.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_cs01_final_report.pdf)

**Link:** [www.interpares.org/ip3/ip3\\_case\\_studies.cfm?team=1#cs01](http://www.interpares.org/ip3/ip3_case_studies.cfm?team=1#cs01)

### Case Study 03: Belkin Art Gallery

**Test Bed Name:** Belkin Art Gallery

**Test Bed Type:** University archives

**Topic/Title:** Policies and Procedures for Acquisition and Preservation of Digital Art

**Case study type:** Policy, Records

**Start Date:** September 2007

**Abstract:** The Morris and Helen Belkin Art Gallery was established in 1948. Since its founding, the Archives has amassed over 30,000 archival items relating to the post-war history of art in Vancouver and the avant-garde narratives of the 1960s and 1970s. The Gallery strives to research, exhibit, collect, publish, educate and develop programs in the field of contemporary art and contemporary approaches to the practice of art history and criticism.

The case study examines the issues involved with preserving contemporary art, specifically art that relies on digital technology for its presentation. The Gallery is interested in finding means to assure its donors that their works will survive in perpetuity and as they were originally intended to be displayed.

The main objectives of the case study are: to devise policies and procedures to guide the acquisition of the digital art works and manage their preservation; and to create policies and procedures for maintaining multi-media materials that currently reside in the Gallery's collections and in its archives.

**Products:** Generic, Customisable Artist Questionnaire

[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_cs03\\_generic\\_artist\\_questionnaire\\_v2-4.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_cs03_generic_artist_questionnaire_v2-4.pdf) (PDF)

[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_cs03\\_generic\\_artist\\_questionnaire\\_v2-4.docx](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_cs03_generic_artist_questionnaire_v2-4.docx) (MS Word)

[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_cs03\\_generic\\_artist\\_questionnaire\\_v2-4.odt](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_cs03_generic_artist_questionnaire_v2-4.odt) (Open Document)

**Final Report:** [www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_cs03\\_final\\_report.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_cs03_final_report.pdf)

**Link:** [www.interpares.org/ip3/ip3\\_case\\_studies.cfm?team=1#cs03](http://www.interpares.org/ip3/ip3_case_studies.cfm?team=1#cs03)

## Case Study 04: Canadian Tourism Commission (CTC)

**Test Bed Name:** Canadian Tourism Commission (CTC)

**Test Bed Type:** Municipal/public archives

**Topic/Title:** Policies and Procedures for Management and Preservation of Digital Images used for Marketing and Promotion

**Related Case Studies:** CS17

**Case study type:** Records, Systems

**Start Date:** September 2007  
Put on hold (July 2008)  
Reactivated (November 2009)  
Withdrawn (October 2010)

**Abstract:** The Canadian Tourism Commission (CTC) was established in January 1995 as a special government agency and became a Parent Crown corporation in January 2001 with a shift in its operations similar to its private partners. The CTC works with Canadian provinces, territories and the Canadian tourism industry to market Canada as a desirable four-season tourist destination.

This case study examines the digital materials created by the CTC, specifically its digital photographs and how the Commission uses MediaBin, a digital asset management system, to store, manage and preserve these images. Because these images help support a range of ongoing CTC activities—including marketing operations, promotional events and media involvement—long-term preservation and continued accessibility of the images is required.

The main objectives of the case study are: to determine the recordkeeping capabilities of MediaBin and its potential for serving as a digital repository for the long-term preservation of images and other types of media; and to determine what strategies and metadata elements may be needed to ensure the survival and accessibility of CTC's digital records.

**Research Proposal:**

[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_ctc\\_research\\_proposal\\_4-revised\\_v1-0.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_ctc_research_proposal_4-revised_v1-0.pdf)

**Final Report:** [www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_cs04\\_final\\_report.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_cs04_final_report.pdf)

**Link:** [www.interpares.org/ip3/ip3\\_case\\_studies.cfm?team=1#cs04](http://www.interpares.org/ip3/ip3_case_studies.cfm?team=1#cs04)

## Case Study 05: City of Victoria

**Test Bed Name:** City of Victoria

**Test Bed Type:** Municipal/public archives

**Topic/Title:** Policies and Procedures for Scheduling Digital Legacy Files

**Case study type:** Policy

**Start Date:** September 2007

**Abstract:** The City of Victoria Archives was established in 1967 to document the City's history while identifying, selecting, preserving and providing access to its civic and private records. As a unit within the City's government, the Archives caters to City Council as much as it does to the general public.

The case study examines the local area network (LAN) used by City Hall employees. Specifically, the case study considers the files produced and maintained by the Legislative Services unit. For various reasons, traditional paper records have followed retention schedules but their corresponding digital records have not. For the past twenty years, use and maintenance of the LAN by City Hall employees has gone unregulated and has accumulated nearly 1.5 terabytes of information.

The main objectives of the case study are: to establish policies for having City units apply retention schedules to their digital records located on the LAN; and to devise methods for identifying files on the LAN that either need to be disposed of or that have long-term value and need to be preserved by the Archives.

**Research Proposal:**

[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_city\\_of\\_victoria\\_research\\_proposal\\_2.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_city_of_victoria_research_proposal_2.pdf)

**Products:**

[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_cs05\\_lan\\_legacy\\_file\\_workflow\\_diagram\\_v9-2.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_cs05_lan_legacy_file_workflow_diagram_v9-2.pdf) (LAN Legacy File Workflow Diagram)

**Final Report:** [www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_cs05\\_final\\_report.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_cs05_final_report.pdf)

**Link:** [www.interpares.org/ip3/ip3\\_case\\_studies.cfm?team=1#cs05](http://www.interpares.org/ip3/ip3_case_studies.cfm?team=1#cs05)

## Case Study 06: Insurance Corporation of British Columbia (ICBC)

**Test Bed Name:** Insurance Corporation of British Columbia (ICBC)

**Test Bed Type:** Municipal/public archives

**Topic/Title:** Analysis of EDRMS Configuration and Related Policies and Procedures

**Case study type:** Policy, Records, Systems

**Start Date:** September 2007  
Withdrawn (August 2008)

**Abstract:** The Insurance Corporation of British Columbia (ICBC) was established in 1973 to provide universal automobile insurance and services, such as driver licensing and vehicle registration, to British Columbia motorists. ICBC is a provincial Crown Corporation and in 1997 incorporated the Motor Vehicle Branch (in the Ministry of Transportation and Highways) of British Columbia.

This case study examines the document approval process for responding to document requests made by ICBC departments and external agencies. These are key activities for the Administration Services Division, which needs to ensure that the appropriate records are created, maintained and preserved.

The main objectives of the case study are: to examine the digital recordkeeping environment of ICBC; and to analyze the configuration of its newly-implemented Electronic Document and Records Management System (EDRMS)—and related policies and procedures—to determine if the system is capable of supporting the creation, maintenance and long-term preservation of authentic and reliable digital records.

### **Research Proposal:**

[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_icbc\\_research\\_proposal\\_3.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_icbc_research_proposal_3.pdf)

**Link:** [www.interpares.org/ip3/ip3\\_case\\_studies.cfm?team=1#cs06](http://www.interpares.org/ip3/ip3_case_studies.cfm?team=1#cs06)

## Case Study 07: Museum of Anthropology (MOA)

**Test Bed Name:** Museum of Anthropology (MOA)

**Test Bed Type:** University archives

**Topic/Title:** Policies and Procedures for Creation, Management and Preservation of Digital Records

**Case study type:** Policy

**Start Date:** September 2007  
Withdrawn (January 2009)

**Abstract:** The Museum of Anthropology (MOA), located at the University of British Columbia (UBC), was established in 1949, although UBC has been collecting ethnographic materials since 1927. MOA seeks to identify, collect, preserve and provide information about, and access to, cultural objects from around the world, emphasizing the achievements and concerns of the First Peoples of British Columbia and B.C.'s cultural communities.

This case study examines the administrative and managerial framework of MOA to provide the organization with a policy for the preservation of its digital records. Currently, the MOA archives do not hold any digital records, but they are being produced exponentially by all of the Museum offices, so the Museum anticipates acquiring digital records in the near future. Currently, records creation and management at MOA is ad-hoc and takes place in a multi-platform environment; however, there is administrative support for a records management program at the Museum's Archives. Because the Museum is a public institution its records are subject to copyright laws and the Freedom of Information/Protection of Privacy Act.

The main objectives of the case study are: to develop a framework of policies for the preservation of authentic digital records at MOA; and to devise a suitable means for effectively implementing a records management program across the entire organization.

**Final Products/Report:**

[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_cs07\\_final\\_report.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_cs07_final_report.pdf)

**Link:** [www.interpares.org/ip3/ip3\\_case\\_studies.cfm?team=1#cs07](http://www.interpares.org/ip3/ip3_case_studies.cfm?team=1#cs07)



## Case Study 08: North Vancouver Museum and Archives (NVMA)

**Test Bed Name:** North Vancouver Museum and Archives (NVMA)

**Test Bed Type:** Municipal/public archives

**Topic/Title:** Policies and Procedures for the Preservation of Electronic and Digital Materials Acquired from Private Donors

**Case study type:** Policy, Records, Systems

**Start Date:** September 2007

**Abstract:** The North Vancouver Museum and Archives (NVMA) was established in 1972 as an agency of the City of North Vancouver. Since 1996, the NVMA Commission has been responsible for the institution's operations. The NVMA strives to preserve and present the heritage of North Vancouver by identifying, collecting and preserving appropriate materials. The Archives serves as a community repository rather than as the official archives for either the District or the City of North Vancouver.

This case study examines the technological, operational and procedural capabilities of the NVMA as it prepares to acquire, manage, preserve and provide access to digital records acquired from private individual donors.

The main objectives of the case study are: to prepare the NVMA for handling digital records and materials; to create a digital records Preservation Plan for the Archives; and to develop digital records outreach and education resources for the Archives' private donor community.

### **Products:**

Brochure 1. Maintaining Your Digital Records. Available at:

[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_cs08\\_brochure-1.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_cs08_brochure-1.pdf) (PDF)  
[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_cs08\\_brochure-1.doc](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_cs08_brochure-1.doc) (MS Word)  
[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_cs08\\_brochure-1.odt](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_cs08_brochure-1.odt) (Open Document)

Brochure 2. Maintaining Digital Records: Business Edition. Available at:

[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_cs08\\_brochure-2.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_cs08_brochure-2.pdf) (PDF)  
[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_cs08\\_brochure-2.doc](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_cs08_brochure-2.doc) (MS Word)  
[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_cs08\\_brochure-2.odt](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_cs08_brochure-2.odt) (Open Document)

Brochure 3. Managing E-mail. Available at:

[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_cs08\\_brochure-3.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_cs08_brochure-3.pdf) (PDF)  
[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_cs08\\_brochure-3.doc](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_cs08_brochure-3.doc) (MS Word)  
[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_cs08\\_brochure-3.odt](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_cs08_brochure-3.odt) (Open Document)

Brochure 4. Consider Donating Your Records to Your Local Archives. Available at:

[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_cs08\\_brochure-4.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_cs08_brochure-4.pdf) (PDF)

[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_cs08\\_brochure-4.doc](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_cs08_brochure-4.doc) (MS Word)

[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_cs08\\_brochure-4.odt](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_cs08_brochure-4.odt) (Open Document)

Digital Records Acquisition Policy. Available at:

[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_cs08\\_acquisition\\_policy.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_cs08_acquisition_policy.pdf) (PDF)

[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_cs08\\_acquisition\\_policy.doc](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_cs08_acquisition_policy.doc) (MS Word)

[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_cs08\\_acquisition\\_policy.odt](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_cs08_acquisition_policy.odt) (Open Document)

**Final Report:** [www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_cs08\\_final\\_report.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_cs08_final_report.pdf)

**Link:** [www.interpares.org/ip3/ip3\\_case\\_studies.cfm?team=1#cs08](http://www.interpares.org/ip3/ip3_case_studies.cfm?team=1#cs08)

## Case Study 09: University of British Columbia Alma Mater Society (AMS)

**Test Bed Name:** University of British Columbia Alma Mater Society (AMS)

**Test Bed Type:** Private/thematic archives

**Topic/Title:** Policies and Procedures for Web Site Preservation

**Case study type:** Policy, Records

**Start Date:** September 2007

**Abstract:** The University of British Columbia (UBC) Alma Mater Society (AMS) was established in October 1915. On April 17, 1928, the AMS became an independent, non-profit organization existing to provide services to UBC students—such as improvements to campus buildings, tutoring, social support and employment—and to improve the overall quality of student life at the University.

The case study examines the AMS's Web site in relation to the organization's desire to preserve the site and its digital content. The Web site consists of a relatively elaborate series of interconnected Web pages representing the various branches, departments and associated functions of the AMS. The site's primary purpose is to disseminate information about the AMS and its policies, services, clubs and events. It also contains valuable information that may be used to provide operational continuity or to facilitate future research.

The main objectives of the case study are: to establish procedures for tracking changes to the AMS Web site; and to devise a non-technical solution for preserving the digital Web content.

**Research Proposal:**

[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_ubc\\_ams\\_research\\_proposal.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_ubc_ams_research_proposal.pdf)

**Final Report:** [www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_cs09\\_final\\_report.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_cs09_final_report.pdf)

**Link:** [www.interpares.org/ip3/ip3\\_case\\_studies.cfm?team=1#cs09](http://www.interpares.org/ip3/ip3_case_studies.cfm?team=1#cs09)

## **Case Study 10(1): University of British Columbia School of Music**

**Test Bed Name:** University of British Columbia School of Music

**Test Bed Type:** University archives

**Topic/Title:** Policies, Procedures and Tools for E-mail Management and Preservation in an Academic Unit

**Related Case Studies:** CS10(2b), CS10(3)

**Case study type:** Policy, Records

**Start Date:** September 2007  
Withdrawn (November 2008)

**Abstract:** The University of British Columbia School of Music was established in 1946. In 1959, it introduced a Bachelor of Music degree with Master and Doctoral degree programs initiated in 1966 and 1973, respectively. The School strives to provide professional preparation and qualification for music performers, composers and teachers. It also seeks to spread understanding and appreciation of the traditional music idioms of the West, and of the World, among the University community and general populace at large.

The case study examines the digital records managed, appraised and preserved by the staff of the School of Music; specifically, it concentrates on the e-mails handled by the School's Director. These e-mails represent most of the School's administrative activities, including correspondence (with attachments) relating to budgets and policies. There are no formal records management policies at the School and, as a result, recordkeeping practices are left to the discretion of each staff or faculty member.

The main objectives of the case study are: to devise an appropriate use (of Information Technology) policy specific to the School of Music; and to create corporate e-mail guidelines for the School to improve e-mail management at the administrative level.

**Research Proposal:**

[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_ubc\\_sfu\\_uvic\\_cs\\_proposal.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_ubc_sfu_uvic_cs_proposal.pdf)

**Final Report:** [www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_cs10-1\\_final\\_report.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_cs10-1_final_report.pdf)

**Link:** [www.interpares.org/ip3/ip3\\_case\\_studies.cfm?team=1#cs101](http://www.interpares.org/ip3/ip3_case_studies.cfm?team=1#cs101)

## Case Study 10(2a): Simon Fraser University Facilities Development

**Test Bed Name:** Simon Fraser University Facilities Development

**Test Bed Type:** University archives

**Topic/Title:** Policies, Procedures and Tools for E-mail Management and Preservation in an Administrative Support Unit

**Related Case Studies:** CS10(1), CS10(3)

**Case study type:** Policy, Records and Systems

**Start Date:** September 2007  
Withdrawn (November 2008)

**Abstract:** Established in 1963, Facilities Development at Simon Fraser University (SFU) is one of three business units that constitute Facilities Services. Facilities Development provides the management and planning expertise for major new buildings on the three SFU campuses as well as providing planning support for campus development for the future. This includes maintaining building records, setting design and technical standards and providing direction for university facilities in meeting the sustainability goals of the University.

The case study examines the recent implementation of the DocuShare document management system and its capabilities for managing and preserving e-mails. Because SFU is a public institution, all records (e-mails included) generated by University employees are subject to the Freedom of Information and Protection of Privacy Act.

The main objectives of the case study are: to develop guidelines and strategies for (1) effective management of e-mail records by their creators for on-going administrative, legal, fiscal and audit purposes, (2) appraisal, identification and selection of e-mail records of enduring value, (3) long-term preservation of authentic and reliable e-mail records selected for permanent preservation and (4) provision of access to e-mail records selected for permanent retention.

**Research Proposal:**

[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_ubc\\_sfu\\_uvic\\_cs\\_proposal.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_ubc_sfu_uvic_cs_proposal.pdf)

**Final Report:** [www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_cs10-2a\\_final\\_report.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_cs10-2a_final_report.pdf)

**Link:** [www.interpares.org/ip3/ip3\\_case\\_studies.cfm?team=1#cs102a](http://www.interpares.org/ip3/ip3_case_studies.cfm?team=1#cs102a)

## **Case Study 10(2b): Simon Fraser University Human Rights Office**

**Test Bed Name:** Simon Fraser University Human Rights Office

**Test Bed Type:** University archives

**Topic/Title:** Policies, Procedures and Tools for E-mail Management and Preservation in an Administrative Support Unit

**Related Case Studies:** CS10(1), CS10(3)

**Case study type:** Policy, Records and Systems

**Start Date:** March 2009

**Abstract:** Established in 1991, the Human Rights Office (HRO) at Simon Fraser University (SFU) provides mediation services and confidential advice to: persons who believe they are the target of discrimination or harassment; SFU members who may be experiencing harassment or discrimination off-campus; managers/supervisors dealing with allegations in their departments; and persons who have been accused of discrimination or harassment by a fellow employee or student. The office also provides educational seminars on harassment, human rights, conflict in the workplace, and other associated topics.

The case study examines the policies, procedures and tools for the management and preservation of e-mail within HRO. Since SFU is a public institution, all records (e-mails included) generated by University employees are subject to the Freedom of Information and Protection of Privacy Act.

The main objectives of the case study are to develop guidelines and strategies for: (1) effective management of e-mail records by their creators for on-going administrative, legal, fiscal and audit purposes; (2) appraisal, identification and selection of e-mail records of enduring value; (3) long-term preservation of authentic and reliable e-mail records selected for permanent preservation; and (4) provision of access to e-mail records selected for permanent retention.

**Final Report:** [www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_cs10-2b\\_final\\_report.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_cs10-2b_final_report.pdf)

**Link:** [www.interpares.org/ip3/ip3\\_case\\_studies.cfm?team=1#cs102b](http://www.interpares.org/ip3/ip3_case_studies.cfm?team=1#cs102b)

## **Case Study 10(3): University of Victoria Office of the University Secretary**

**Test Bed Name:** University of Victoria Office of the University Secretary

**Test Bed Type:** University archives

**Topic/Title:** Policies, Procedures and Tools for E-mail Management and Preservation in an Administrative Support Unit

**Related Case Studies:** CS10(1), CS10(2a and 2b)

**Case study type:** Policy, Records and Systems

**Start Date:** March 2009

**Abstract:** The Office of the University Secretary (USEC) at the University of Victoria (UVic) was established in 1963, then called the Registrar's Office. In 1990, the name was changed to the University Secretary's Office. USEC is the corporate secretariat to the governance bodies of the University and is responsible for University-wide elections, senior advisory committees and matters relating to Freedom of Information and Protection of Privacy Act compliance.

The case study examines policies, procedures and tools for the management and preservation of e-mail within USEC. Although e-mail is the primary means of conducting business activities at USEC, management of e-mail documents is unregulated and is left to the discretion of each employee.

The main objectives of the case study are: to devise e-mail guidelines for USEC staff; and to implement a new classification plan—one that mirrors the University's existing directory of records—to improve the management of USEC's e-mails.

**Research Proposal:**

[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_ubc\\_sfu\\_uvic\\_cs\\_proposal.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_ubc_sfu_uvic_cs_proposal.pdf)

**Final Report:** [www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_cs10-3\\_final\\_report.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_cs10-3_final_report.pdf)

**Link:** [www.interpares.org/ip3/ip3\\_case\\_studies.cfm?team=1#cs103](http://www.interpares.org/ip3/ip3_case_studies.cfm?team=1#cs103)

## Case Study 11: University of British Columbia Graduate School of Journalism

**Test Bed Name:** University of British Columbia Graduate School of Journalism

**Test Bed Type:** University archives

**Topic/Title:** Preservation and Access System for High Definition Digital Video Archive in Online and Electronic Formats

**Case study type:** Policy, Records

**Start Date:** November 2007

**Abstract:** The University of British Columbia Graduate School of Journalism was established in July 1996 and accepted its first intake of students in September 1998. As an academic unit within the UBC Faculty of Arts, its mission is to achieve the highest professional standards in journalism through instruction in journalistic practice and the scholarly understanding of journalism, critical thinking, and teaching of ethical responsibility.

The case study considers the High Definition digital videotapes and files created by the School's students as part of their course projects and theses; specifically, the study examines the students' finished video documentaries and the raw footage produced in the course of making them. While the videos are pieces of artistic expression, they also provide evidence of one component of the students' coursework for which they are graded and they also reflect the quality of education each student receives from the program.

The main objectives of the case study are: to establish a digital video archive of High Definition video footage created by the School's students; devise means to ensure the preservation of the raw footage of student projects; and create policies allowing for the footage to be used internally and externally.

**Research Proposal:**

[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_ubc\\_soj\\_research\\_proposal\\_1.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_ubc_soj_research_proposal_1.pdf)

**Final Report:** [www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_cs11\\_final\\_report.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_cs11_final_report.pdf)

**Link:** [www.interpares.org/ip3/ip3\\_case\\_studies.cfm?team=1#cs11](http://www.interpares.org/ip3/ip3_case_studies.cfm?team=1#cs11)



## Case Study 12: Vancouver Police Department

**Test Bed Name:** Vancouver Police Department

**Test Bed Type:** Municipal/public archives

**Topic/Title:** Policies and Procedures for Management and Preservation of Digital Evidence

**Case study type:** Policy, Records

**Start Date:** September 2007

**Abstract:** The Vancouver Police Department (VPD) was established in 1886. The case study focuses on sections and units primarily within the Department's Investigative Services that seize or generate large amounts of digital evidence, including Financial Crime, Forensic Identification, Homicide, Robbery/Assault/Arson and Sex Crimes. Such evidence may include digital photographs, GPS tracks, recordings of interviews of suspects and witnesses, wiretaps and images of seized hard drives. Each unit has specialized functions and responsibilities, including collecting evidence and conducting forensic examinations.

The case study examines VPD's digital evidence. VPD is interested in the long-term preservation of digital evidence, whether seized or generated. The purpose of these records is to function as exhibits and be admissible in court as evidence. The presentation of evidence in court can serve to convict or exonerate suspects.

The main objectives of the case study are: to devise policies for management and long-term preservation of digital evidence; and to improve upon the current electronic crime recording system. Appropriate policies and an improved system will be the case study outcomes.

**Final Products/Report:** Not open to the public

**Link:** [www.interpares.org/ip3/ip3\\_case\\_studies.cfm?team=1#1cs12](http://www.interpares.org/ip3/ip3_case_studies.cfm?team=1#1cs12)

## Case Study 13: Vancouver School of Theology

**Test Bed Name:** Vancouver School of Theology

**Test Bed Type:** Private/thematic archives

**Topic/Title:** Policies and Procedures for the Creation, Management and Preservation of Administrative Digital Records

**Case study type:** Policy, Records, Systems

**Start Date:** January 2009

**Abstract:** The Vancouver School of Theology (VST) is an independent graduate school of theology whose roots reach back to late nineteenth-century Vancouver. Founded in 1971 through the amalgamation of the Anglican Theological College and Union College (United Church of Canada), both of which had occupied VST's current location since 1927, VST offers academic and research degrees as well as training for ministry in the Anglican Church of Canada, the United Church of Canada and the Presbyterian Church in Canada. VST's recordkeeping systems have developed ad hoc and the present system now keeps student records, personnel records and other important and vital administrative records in a variety of formats without proper classification and linkage.

The case study examines VST's administrative records with emphasis on its digital records. VST is interested in the creation of reliable digital records, and their authentic maintenance and long-term preservation. Without the capacity to produce, manage and keep trustworthy digital records, VST will be forced to continue with an imperfect paper-based system, or risk losing critical records.

The main objectives of the case study are: to devise policies for the creation, maintenance and preservation of administrative records; and to develop an institution-wide system of managing digital files to reduce duplication and protect version integrity.

**Research Proposal:**

[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_vst\\_research\\_proposal\\_1\\_v1-0.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_vst_research_proposal_1_v1-0.pdf)

**Products:**

[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_cs13\\_wks04\\_action\\_40\\_v2-2.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_cs13_wks04_action_40_v2-2.pdf)  
(Records Management Policy)

**Final Report:** [www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_cs13\\_final\\_report.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_cs13_final_report.pdf)

**Link:** [www.interpares.org/ip3/ip3\\_case\\_studies.cfm?team=1#cs13](http://www.interpares.org/ip3/ip3_case_studies.cfm?team=1#cs13)

## Case Study 14: City of Surrey, Legislative Services division

**Test Bed Name:** City of Surrey, Legislative Services division

**Test Bed Type:** Municipal/Public Archives

**Topic/Title:** Policies, Guidelines and Procedures for a Drive Migration Project as part of an Enterprise Content Management Program

**Case study type:** Policy, Records, Systems

**Start Date:** December 2008

**Abstract:** With a population of over 450,000, the City of Surrey is the second largest city in British Columbia and twelfth largest in Canada. Since 2006, Surrey's Council has committed to a sustainability initiative: in keeping with this initiative, the Legislative Services division is implementing an Enterprise Content Management (ECM) Program that will result in a paper and network drive-reduced environment. The goal of the ECM Program is to develop an enterprise system for unstructured records that meets the Canadian General Standards Board Guideline 72.34 Electronic Records as Documentary Evidence requirements for system integrity, and the Model Requirements for the Management of Electronic Records (MoReq2).

The case study examines the stores of existing unstructured digital records, created by sixty-five business units over fifteen years, and stored on over thirty-five shared drives at an estimated size of two terabytes. These records are of varying value and may be duplicated across drives or as hard copies. Identifying and successfully transitioning valued records into the new ECM system for long-term management is as essential as providing audited disposition for records that have met their retention requirements. Accordingly, the City is developing a Drive Migration (DM) project, which is critical to the success of the ECM Program and which—relative to the Program's eleven other projects—represents the largest investment of City staff time in the Program.

The main objective of the case study is to help the DM project develop policies, guidelines and procedures to assist in its efforts to: devise repeatable processes to assess the unstructured records; appraise and reclassify the records; normalize to long-term formats (where possible); transition records into the repository; and provide auditable disposal for records that have met their retention or that have verified hard-copy sets.

The proposed outcomes of the case study include: methodologies for assessment, appraisal, and migration; review of a requirements specification for migration-automating tools; and review of a migration procedures manual. In essence, InterPARES will provide research, guidance and council on best practices to the DM project team: the City of Surrey will provide documentation for review and perform all of the activities specified within the DM project.

**Research Proposal:**

[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_city\\_of\\_surrey\\_research\\_proposal\\_1\\_v1-1.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_city_of_surrey_research_proposal_1_v1-1.pdf) (original)

[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_city\\_of\\_surrey\\_research\\_proposal\\_1\\_supplement\\_1\\_v2-2.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_city_of_surrey_research_proposal_1_supplement_1_v2-2.pdf) (supplement)

**Products:**

Shared Migration toolkit available at:

[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_cs14\\_report.cfm](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_cs14_report.cfm)

**Final Report:** [www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_cs14\\_final\\_report.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_cs14_final_report.pdf)

**Link:** [www.interpares.org/ip3/ip3\\_case\\_studies.cfm?team=1#cs14](http://www.interpares.org/ip3/ip3_case_studies.cfm?team=1#cs14)

## Case Study 15: cIRcle Institutional Repository, University of British Columbia Library

**Test Bed Name:** cIRcle Institutional Repository, University of British Columbia Library

**Test Bed Type:** Institutional Repository

**Topic/Title:** Policies, Guidelines and Procedures for Management and Preservation of Digital Assets Deposited into an Institutional Repository

**Case study type:** Policy, Records

**Start Date:** February 2009

**Abstract:** cIRcle is an institutional repository of the University of British Columbia, and is a service of the UBC Library. It is a database intended to ensure the free, online dissemination of the University's intellectual output as well as its long-term preservation. The digital content of the repository consists of the works of the UBC community in all formats, and will be deposited by individuals and/or identified communities. In Spring 2009, cIRcle became a full service of the UBC Library after the completion of its two-year pilot project phase.

The case study examines the operations of cIRcle including format standards, metadata requirements, and procedures, and policies for the maintenance and long-term preservation of digital content ingested by the repository. The digital content contained in cIRcle is intended to be accessible locally, nationally and internationally via the Internet and to provide testament to the intellectual contributions of the UBC community. Continued access can only be ensured by the responsible maintenance and preservation of these digital assets.

The main objectives of the case study are: to devise policies, procedures and guidelines for the acquisition, maintenance and long-term preservation of digital content; and to develop format standards and metadata requirements. Appropriate policies, procedures and guidelines will be the case study outcomes.

### **Research Proposal:**

[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_cs15\\_research\\_proposal\\_v1-0.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_cs15_research_proposal_v1-0.pdf)

### **Products:**

[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_cs15\\_draft\\_acquisition\\_policy\\_v3-1.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_cs15_draft_acquisition_policy_v3-1.pdf)

(Draft Acquisition Policy)

[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_cs15\\_draft\\_ip\\_policy\\_v3-1.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_cs15_draft_ip_policy_v3-1.pdf)

(Draft Intellectual Property Policy)

[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_cs15\\_draft\\_preservation\\_policy\\_v3-1.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_cs15_draft_preservation_policy_v3-1.pdf)

(Draft Digital Preservation Policy)

**Link:** [www.interpares.org/ip3/ip3\\_case\\_studies.cfm?team=1#1cs15](http://www.interpares.org/ip3/ip3_case_studies.cfm?team=1#1cs15)

## Case Study 16: City of Vancouver Archives

**Test Bed Name:** City of Vancouver Archives  
**Test Bed Type:** Municipal/public archives  
**Topic/Title:** Requirements Analysis for a Digital Archives System  
**Case study type:** Policy, Systems  
**Start Date:** April 2009

**Abstract:** The City of Vancouver Archives is an administrative unit within the civic government of the City of Vancouver, Canada, and is part of the City Manager's Office—City Clerk's Department—Records and Archives Division. The Archives' mandate is to acquire and preserve the records of the City government and its various boards and agencies, and to acquire and preserve private records that document the City's history. The first City Archivist was appointed by Vancouver City Council on June 12, 1933.

The case study focuses on analyzing functional requirements for the purpose of developing an OAIS-compliant Digital Archives system. This system is planned to ingest, at the current stage, unstructured digital records within the City's TRIM electronic records management system and some public and private records that have already been digitized. The development of such a system is highly relevant to the Archives' functioning because it will facilitate the preservation of authentic digital or digitized records created by the City of Vancouver, its boards and agencies, as well as by private donors.

The main objectives of the case study are to identify relevant InterPARES findings and to incorporate them into the project's requirements analysis activity. The expected outcomes are translated InterPARES findings in use case scenarios and/or requirements/specifications supporting the development of the system. The end-goal is to develop an OAIS-compliant functioning prototype digital preservation environment with an accompanying policy and procedural framework that will enable the Archives to preserve authentic and reliable electronic records created by the City of Vancouver, its boards and agencies, as well as records acquired from private donors.

### **Research Proposal:**

[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_city\\_of\\_vancouver\\_research\\_proposal\\_2.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_city_of_vancouver_research_proposal_2.pdf)

**Final Report:** [www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_cs16\\_final\\_report.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_cs16_final_report.pdf)

**Link:** [www.interpares.org/ip3/ip3\\_case\\_studies.cfm?team=1#1cs16](http://www.interpares.org/ip3/ip3_case_studies.cfm?team=1#1cs16)

## Case Study 17: Canadian Tourism Commission (CTC)

**Test Bed Name:** Canadian Tourism Commission (CTC)

**Test Bed Type:** Municipal/public archives

**Topic/Title:** Establishing a Recordkeeping System for Records with Unstructured data  
Utilizing a Shared Drive

**Related Case Studies:** CS04

**Case study type:** Policy, Systems

**Start Date:** November 2008

**Abstract:** The Canadian Tourism Commission (CTC) was established in January 1995 as a special government agency and became a Parent Crown corporation in January 2001 with a shift in its operations similar to its private partners. The CTC works with Canadian provinces, territories and the Canadian tourism industry to market Canada as a desirable four-season tourist destination. The CTC does not currently have a Records Management program.

The main objectives of this case study are to: 1) build the foundations of a records management program, i.e., establish policies, procedures, and tools, and 2) utilize the currently available technologies to implement the established policies, procedures, and tools. The case study will limit its scope to records generated in the CTC Headquarters as, the technologies provided for the project are not available to overseas offices.

### **Research Proposal:**

[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_ctc\\_research\\_proposal\\_5.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_ctc_research_proposal_5.pdf)

**Final Report:** [www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_cs17\\_final\\_report.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_cs17_final_report.pdf)

**Link:** [www.interpares.org/ip3/ip3\\_case\\_studies.cfm?team=1#1cs17](http://www.interpares.org/ip3/ip3_case_studies.cfm?team=1#1cs17)

## General Studies

### General Study 01: Past and Present Digital Preservation Projects Devoted to the Long-term Preservation of Digital Records and Digital Information

**Topic/Title:** Past and Present Digital Preservation Projects Devoted to the Long-term Preservation of Digital Records and Digital Information

**Start Date:** November 2007

**Abstract:** Since 1999, the InterPARES Project has been examining the complex issue of preserving digital records. The Project is not alone in its efforts to address the issues concerned with the long-term preservation of digital records, however. Since 1999, various research projects and related initiatives have been devoted to similar purposes. The objective of this study is to document the current projects and some of their findings. Given the dynamic nature of the digital preservation environment, readers should consider the report generated by this study to be a constantly evolving document, to which periodic revisions will be made to incorporate newly discovered or updated information, including information about new projects.

**Final Report:**

[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_gs01\\_digital\\_preservation\\_projects.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_gs01_digital_preservation_projects.pdf)

**Link:** [www.interpares.org/ip3/ip3\\_general\\_studies.cfm?team=1#gs01](http://www.interpares.org/ip3/ip3_general_studies.cfm?team=1#gs01)

### General Study 03: Canadian Legislation, Standards, Policies, Regulations and Guidelines Relevant to the InterPARES 3 Project

**Topic/Title:** Canadian Legislation, Standards, Policies, Regulations and Guidelines Relevant to the InterPARES 3 Project

**Start Date:** May 2008

**Abstract:** The objective of this study is to provide annotated citations for Canadian federal and provincial legislation, standards, policies, regulations and guidelines relevant to the research activities of the InterPARES 3 Project, particularly TEAM Canada. This includes legislation, standards, etc., that are relevant to the goals, objectives, research activities and expected outcomes of the Project as a whole and to TEAM Canada in particular. Given the dynamic nature of federal and provincial legislation, standards, etc., readers should consider the report generated by this study to be a constantly evolving document, to which periodic revisions will be made to incorporate newly discovered or updated information.

**Final Report:**

[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_gs03\\_canadian\\_standards.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_gs03_canadian_standards.pdf)

**Link:** [www.interpares.org/ip3/ip3\\_general\\_studies.cfm?team=1#gs03](http://www.interpares.org/ip3/ip3_general_studies.cfm?team=1#gs03)



## **General Study 04: International Standards Relevant to the InterPARES 3 Project**

**Topic/Title:** International Standards Relevant to the InterPARES 3 Project

**Start Date:** October 2010

**Abstract:** The objective of this study is to provide annotated citations for all international standards (ISO standards, ICA standards, etc.) relevant to the research activities of the InterPARES 3 Project. These include standards that are relevant to the goals, objectives, research activities and expected outcomes of the Project as a whole. It should also be noted that the search for relevant international standards is not limited to de facto standards, it also includes de jure standards. Within this context, the term “international” is interpreted to include standards that are issued by, and/or that might apply to, any organizations that have a multinational, sectoral or discipline-wide composition. Given the dynamic nature of the international standards environment, readers should consider the report generated by this study to be a constantly evolving document, to which periodic revisions will be made to incorporate newly discovered or updated information.

**Final Report:**

[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_gs04\\_international\\_standards.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_gs04_international_standards.pdf)

**Link:** [www.interpares.org/ip3/ip3\\_general\\_studies.cfm?team=1#gs04](http://www.interpares.org/ip3/ip3_general_studies.cfm?team=1#gs04)

## **General Study 07: Organizational Culture**

**Topic/Title:** Organizational Culture

**Start Date:** November 2009

**Abstract:** The objective of this study is to develop a consistent framework for analyzing the impact of organizational culture on recordkeeping and preservation practices across various case studies in InterPARES 3 within the national context of Canada. Findings gleaned from this research may also be applicable to a general study of the dynamics amongst organizational cultures, recordkeeping and preservation practices for all the other countries participating in InterPARES 3.

**Research Proposal:**

[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_gs07\\_research\\_proposal\\_v5-2.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_gs07_research_proposal_v5-2.pdf)

**Final Report:**

[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_gs07\\_final\\_report.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_gs07_final_report.pdf)

**Link:** [www.interpares.org/ip3/ip3\\_general\\_studies.cfm?team=1#gs07](http://www.interpares.org/ip3/ip3_general_studies.cfm?team=1#gs07)

## **General Study 08: Open Source Records Management Software**

**Topic/Title:** Open Source Records Management Software

**Start Date:** November 2009

**Abstract:** The objective of this study is to identify open source records management software and to map the functionality of the software to the InterPARES 2 Creator and Preserver Guidelines and to key records management and archival standards, such as MoReq2, ISAD(G) and ISO 15489.

**Research Proposal:**

[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_gs08\\_research\\_proposal\\_v1-1.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_gs08_research_proposal_v1-1.pdf)

**Final Report:**

[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_gs08\\_final\\_report.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_gs08_final_report.pdf)

**Link:** [www.interpares.org/ip3/ip3\\_general\\_studies.cfm?team=1#gs08](http://www.interpares.org/ip3/ip3_general_studies.cfm?team=1#gs08)

## **General Study 09: Social Media**

**Topic/Title:** Social Media

**Start Date:** November 2009

**Abstract:** The objectives of this study are to identify and evaluate the potential consequences of the use of Web 2.0 technologies on existing records management /archival theory and practice, and to make recommendations for future research to examine these consequences in more detail with the aim of devising concrete Web 2.0 policy and procedure recommendations.

**Research Proposal:**

[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_gs09\\_research\\_proposal\\_v1-2.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_gs09_research_proposal_v1-2.pdf)

**Final Report:** (Annotated bibliography)

[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_gs09\\_final\\_report.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_gs09_final_report.pdf)

**Link:** [www.interpares.org/ip3/ip3\\_general\\_studies.cfm?team=1#gs09](http://www.interpares.org/ip3/ip3_general_studies.cfm?team=1#gs09)

## General Study 11: Policy and Procedures Templates

**Topic/Title:** Policy and Procedures Templates

**Start Date:** November 2009

**Abstract:** The objective of this study is to develop a set of generic policy and procedures templates for the management and preservation of digital (and analogue) records that can be disseminated within the Canadian archival system (and beyond) to be adopted and adapted as needed according to whatever specific structure is required within a specific institution or organizational context.

**Research Proposal:**

[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_gs11\\_research\\_proposal\\_v1-2.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_gs11_research_proposal_v1-2.pdf)

**Final Report:**

[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_gs11\\_final\\_report.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_gs11_final_report.pdf)

**Link:** [www.interpares.org/ip3/ip3\\_general\\_studies.cfm?team=1#gs11](http://www.interpares.org/ip3/ip3_general_studies.cfm?team=1#gs11)

## General Study 12: Digital Records Management/Preservation Education Modules

**Topic/Title:** Digital Records Management/Preservation Education Modules

**Start Date:** November 2009

**Abstract:** The objective of this study is to develop a set of generic policy and procedures templates for the management and preservation of digital (and analogue) records that can be disseminated within the Canadian archival system (and beyond) to be adopted and adapted as needed according to whatever specific structure is required within a specific institution or organizational context.

**Research Proposal:**

[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_gs12\\_research\\_proposal\\_v1-2.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_gs12_research_proposal_v1-2.pdf)

**Products:**

- Introduction video for the education modules:

[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_gs12\\_modules\\_intro\\_sp.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_gs12_modules_intro_sp.pdf)

- Module 1: Introduction – A Framework for Digital Preservation:

[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_gs12\\_module\\_1\\_july-2012\\_DRAFT.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_gs12_module_1_july-2012_DRAFT.pdf)  
(English)

[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_gs12\\_module\\_1\\_sp.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_gs12_module_1_sp.pdf) (Español)

- Module 2: Developing Policy and Procedures for Digital Preservation:

[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_gs12\\_module\\_2\\_july-2012\\_DRAFT.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_gs12_module_2_july-2012_DRAFT.pdf)  
(English)

[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_gs12\\_module\\_2\\_sp.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_gs12_module_2_sp.pdf) (Español)

- Module 3: Organizational Culture and its Effects on Records Management:

[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_gs12\\_module\\_3\\_july-2012\\_DRAFT.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_gs12_module_3_july-2012_DRAFT.pdf)  
(English)

[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_gs12\\_module\\_3\\_sp.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_gs12_module_3_sp.pdf) (Español)

- Module 4: An Overview of Metadata:

[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_gs12\\_module\\_4\\_july-2012\\_DRAFT.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_gs12_module_4_july-2012_DRAFT.pdf)  
(English)

[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_gs12\\_module\\_4\\_sp.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_gs12_module_4_sp.pdf) (Español)

- Module 5: From ad hoc to Governed – Appraisal Strategies for Gaining Control of Records in Network Drives:

[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_gs12\\_module\\_5\\_july-2012\\_DRAFT.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_gs12_module_5_july-2012_DRAFT.pdf)  
(English)

[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_gs12\\_module\\_5\\_sp.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_gs12_module_5_sp.pdf) (Español)

- Module 6: Email Management and Preservation:

[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_gs12\\_module\\_6\\_july-2012\\_DRAFT.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_gs12_module_6_july-2012_DRAFT.pdf)  
(English)

[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_gs12\\_module\\_6\\_sp.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_gs12_module_6_sp.pdf) (Español)

- Module 7: Management and Preservation of Records in Web Environments:

[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_gs12\\_module\\_7\\_july-2012\\_DRAFT.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_gs12_module_7_july-2012_DRAFT.pdf)  
(English)

[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_gs12\\_module\\_7\\_sp.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_gs12_module_7_sp.pdf) (Español)

- Module 8: Cloud Computing Primer:

[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_gs12\\_module\\_8\\_july-2012\\_DRAFT.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_gs12_module_8_july-2012_DRAFT.pdf)  
(English)

[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_gs12\\_module\\_8\\_sp.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_gs12_module_8_sp.pdf) (Español)

**Link:** [www.interpares.org/ip3/ip3\\_general\\_studies.cfm?team=1#gs12](http://www.interpares.org/ip3/ip3_general_studies.cfm?team=1#gs12)

## **General Study 13: Community Archives e-Records Assessment**

**Topic/Title:** Community Archives e-Records Assessment

**Start Date:** November 2009

**Abstract:** The objective of this study is to gain an understanding of the digital records acquisition and preservation practices and policies within community archives across Canada.

**Research Proposal:**

[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_gs13\\_research\\_proposal\\_v4-3.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_gs13_research_proposal_v4-3.pdf)

**Final Report:**

[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_gs13\\_final\\_report.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_gs13_final_report.pdf)

**Link:** [www.interpares.org/ip3/ip3\\_general\\_studies.cfm?team=1#gs13](http://www.interpares.org/ip3/ip3_general_studies.cfm?team=1#gs13)

## **General Study 15: Metadata Application Profiles**

**Topic/Title:** Metadata Application Profiles

**Start Date:** May 2010

**Abstract:** The objective of this study is to identify the problems of creating metadata that are locally relevant, linked to archival theory, and reusable, especially to other organizations in the form of metadata application profiles.

**Research Proposal:**

[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_gs15\\_research\\_proposal\\_v1-0.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_gs15_research_proposal_v1-0.pdf)

**Final Report:**

[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_gs15\\_final\\_report.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_gs15_final_report.pdf)

**Link:** [www.interpares.org/ip3/ip3\\_general\\_studies.cfm?team=1#gs15](http://www.interpares.org/ip3/ip3_general_studies.cfm?team=1#gs15)

## General Study 16: Digital Preservation Cost-Benefit Models

**Topic/Title:** Digital Preservation Cost-Benefit Models

**Start Date:** May 2010

**Abstract:** The objective of the Cost-Benefit General Study is to determine a measureable framework for assessing the benefit of recordkeeping systems. Although it is possible to establish the benefits of digital preservation, most organizations or institutions have only encountered the initial costs of the beginning stages of a digital preservation project. The study is not intended to determine the actual costs and benefits; it is to determine or develop the parameters that an organization should consider and examine when undertaking a cost-benefit analysis.

The Graduate Research Assistants were responsible for developing a template that identifies the various cost and benefit parameters and that justifies why each of these parameters is relevant to such an analysis. The actual parameters that are relevant in any particular situation may change completely from one institution to another, depending on whether it is public or private, for profit or not-for-profit, international vs. national, etc. The Graduate Research Assistants collected preservation costs and benefit information from the InterPARES 3 test beds as well as from other organizations.

**Products:**

[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_gs16\\_annotated\\_bibliography.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_gs16_annotated_bibliography.pdf)

(Annotated Bibliography)

**Final Report:**

[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_gs16\\_final\\_report.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_gs16_final_report.pdf)

**Link:** [www.interpares.org/ip3/ip3\\_general\\_studies.cfm?team=1#gs16](http://www.interpares.org/ip3/ip3_general_studies.cfm?team=1#gs16)

## General Study 17: Public Sector Audit Reports on Digital Recordkeeping

**Topic/Title:** Public Sector Audit Reports on Digital Recordkeeping

**Start Date:** July 2010

**Abstract:** The objective of this study is a comparative study of public sector audit reports: (a) to help identify common themes in existing policy, practice, or tools that impact on the effectiveness of program or service delivery of archival or other recordkeeping services and (b) to shed light on how resources are being allocated to manage information.

**Research Proposal:**

[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_gs17\\_research\\_proposal\\_v1-4.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_gs17_research_proposal_v1-4.pdf)

***Final Report:***

[www.interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_gs17\\_final\\_report.pdf](http://www.interpares.org/ip3/display_file.cfm?doc=ip3_canada_gs17_final_report.pdf)

***Link:*** [www.interpares.org/ip3/ip3\\_general\\_studies.cfm?team=1#gs17](http://www.interpares.org/ip3/ip3_general_studies.cfm?team=1#gs17)

## TEAM Canada Plenaries

TEAM Canada held nine local plenary workshops in Vancouver, British Columbia. Plenaries provided Co-Investigators, Test-Bed Partners, Resource Partners and Collaborators the opportunity to share the progress of their work, in case study or general study form, and receive feedback from other participants and the TEAM Director. Graduate Research Assistants presented the research of each case and general study using an Action Item Report template (See [Appendix A: Case Study Templates](#)). The following is a list of the Plenary Workshops offered by TEAM Canada:

- TEAM Canada Plenary 01
  - Date: November 26 -27, 2007
  - Location: St. John's College, 2111 Lower Mall, Vancouver, BC, Canada
- TEAM Canada Plenary 02
  - Date: May 26-28, 2008
  - Location: Galiano Room, Sheraton Vancouver Wall Centre, 1088 Burrard Street, Vancouver, BC, Canada
- TEAM Canada Plenary 03
  - Date: November 24-26, 2008
  - Location: Horizon Hotel, 1225 Robson Street, Vancouver, BC, Canada
- TEAM Canada Plenary 04
  - Date: May 27-30, 2009
  - Location: Blue Horizon Hotel, 1225 Robson Street, Vancouver, BC, Canada
- TEAM Canada Plenary 05
  - Date: November 25-27, 2009
  - Location: Blue Horizon Hotel, 1225 Robson Street, Vancouver, BC, Canada
- TEAM Canada Plenary 06
  - Date: May 25-27, 2010
  - Location: Blue Horizon Hotel, 1225 Robson Street, Vancouver, BC, Canada
- TEAM Canada Plenary 07
  - Date: November 17-19, 2010
  - Location: Blue Horizon Hotel, 1225 Robson Street, Vancouver, BC, Canada
- TEAM Canada Plenary 08
  - Date: May 16-18, 2011
  - Location: Blue Horizon Hotel, 1225 Robson Street, Vancouver, BC, Canada
- TEAM Canada Plenary 09 Skype Meeting
  - Date: November 22, 2011
  - Location: Lillooet Room, Irving K. Barber Learning Centre, 1961 East Mall, Vancouver, BC, Canada



## International Summits & Symposiums

The members of the International Alliance held ten bi-annual Summits and Symposia over the course of the InterPARES Project. TEAM Canada led one of them and participated in all. These provided an opportunity for the Directors of each international InterPARES TEAM to meet face-to-face for the Summit to exchange information about their most recent research findings, and this, in turn, helped facilitate a Symposium that offered the attendees a perspective on the InterPARES research that was as integrated and as cohesive as possible. The primary purpose of the Symposium was to present the Project's preliminary research findings to local audiences to bolster awareness of the Project and its activities.

The presence of each Director ensured that the specific research activities and preliminary findings of their TEAM, particularly those of primary interest and relevance to international audiences, were shared with the other International Partners and, especially, with local archival and records management professional practitioners and academics.

The InterPARES Project held nine Summits and ten Symposia, at various locations all over the world. The InterPARES website has a webpage for each Summit and Symposium on its access-restricted area for the use of TEAM participants. The following is a list of the Summits held by the International Alliance:

- International Alliance Summit & Symposium 01: Rome, Italy
  - Date: October 01-03, 2007
  - Location: Unione delle Camere di commercio (Chamber of Commerce) Piazza Sallustio 21, Rome, Italy
- International Alliance Summit & Symposium 02: Oslo, Norway
  - Date: April 28-30, 2008
  - Location: Det Norske Veritas (DNV) Veritasveien 1, Høvik, Oslo, Norway
- International Alliance Summit & Symposium 03: Mexico City, Mexico
  - Date: October 01-03, 2008
  - Location: CUIB – University Centre for Library Sciences Research, National Autonomous University of Mexico, Mexico City, Mexico
- International Alliance Summit & Symposium 04: Seoul, South Korea
  - Date: June 03-05, 2009
  - Location: Nara Repository, National Archives of Korea (NAK), Seoul, South Korea
- International Alliance Summit & Symposium 05: Rio de Janeiro, Brazil
  - Date: September 30-October 02, 2009
  - Location: Brazil Arquivo Nacional, Praça da República, Rio de Janeiro, Brazil
- International Alliance Summit & Symposium 06: Vancouver, BC, Canada
  - Date: May 27-28, 2010
  - Summit Location: Blue Horizon Hotel, Vancouver, BC, Canada

- Symposium Location: Forest Sciences Centre Room 1005, 2424 Main Mall, The University of British Columbia
- International Alliance Summit & Symposium 07: Oslo, Norway
  - Date: September 13-17, 2010
  - Location: Holmenkollen Park Hotel Rica , Oslo, Norway
- International Alliance Summit & Symposium 08: Kuching, Sarawak , Malaysia
  - Date: June 16-18, 2011
  - Location: Sarawak State Library (Pustaka Negeri Sarawak, Jalan Pustaka Off Jalan Stadium, Petra Jaya 93050 Kuching, Sarawak, Malaysia
- International Alliance Summit & Symposium 09: Barcelona, Catalunya, Espagna
  - Date: October 03-05, 2011
  - Summit Location: Fundació Artur Martorell, Barcelona, Spain
  - Symposium Location: Museu Marítim de Barcelona, Barcelona, Spain
- International Alliance Symposium 10: Istanbul, Turkey
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## **Graduate Research Assistant Handbook**

The Graduate Research Assistant Handbook<sup>1</sup> was developed by TEAM Canada to instruct the Graduate Research Assistants (GRAs) of the project on the procedures of the InterPARES Project. The Handbook addresses the following areas:

- Project History and Goals, Components and Expected Products
- Project Organization and Responsibilities
- GRA Hiring Paperwork
- GRA Assignments
- GRA Responsibilities
- GRA Training Activities and Resources
- InterPARES 3 Website, Project Listservs and Document Templates
- InterPARES 3 Research Phases
- Pay vs. Academic Credit, Submitting Hours and Checking Pay History

The Handbook was provided to GRAs in addition to their original training resources and was used as an informal guide.

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<sup>1</sup> [http://interpares.org/ip3/display\\_file.cfm?doc=ip3\\_canada\\_gra\\_handbook\\_v2-0.pdf](http://interpares.org/ip3/display_file.cfm?doc=ip3_canada_gra_handbook_v2-0.pdf)

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- July 21, 2008 - "Management of electronic records for good governance," National Archives, Kuala Lumpur, Malaysia.
- June 17, 2008 - "Diplomatics of Digital Records," European Commission, Brussels, Belgium.
- May 6, 2008 - "La Primavera Archivistica," presentation on the characteristic of the digital records examined by InterPARES 3. University of Padua. Padua, Italy.
- February 21, 2008 - "Towards InterPARES 3," University of Barcelona, School of Archival Science and Records Management. Barcelona, Spain.

- February 7, 2008 - "Towards InterPARES 3," University of Liverpool, Centre for Archive Studies (LUCAS). Liverpool, United Kingdom.
- February 6, 2008 - "The InterPARES 3 Project," University of Glasgow, Humanities Advanced Technology and Information Institute (HATII). Glasgow, Scotland.
- November 7, 2007 - "Towards InterPARES 3," Archivio di Stato di Bologna. Bologna, Italy.  
[www.interpares.org/display\\_file.cfm?doc=ip1-2-3\\_canada\\_dissemination\\_cs\\_duranti\\_bologna\\_2007.pdf](http://www.interpares.org/display_file.cfm?doc=ip1-2-3_canada_dissemination_cs_duranti_bologna_2007.pdf)
- September 20, 2007 - "Towards InterPARES 3," SLAIS Colloquia Series, The University of British Columbia. Vancouver, BC, Canada.
- June 15, 2007 - "The Future of Our Digital Memory: The Contribution of the InterPARES Project to the Preservation of the Memory of the World," presented at the Meeting of the UNESCO Memory of the World International Advisory Committee. Pretoria, South Africa.  
[www.interpares.org/display\\_file.cfm?doc=ip1-2-3\\_canada\\_dissemination\\_ss\\_duranti\\_unesco-mwiac\\_2007.pdf](http://www.interpares.org/display_file.cfm?doc=ip1-2-3_canada_dissemination_ss_duranti_unesco-mwiac_2007.pdf)
- April 20, 2007 - "InterPARES 3 Framework," Banco de México. Presentation on the three phases of InterPARES. México City, México.  
[www.interpares.org/display\\_file.cfm?doc=ip1-2-3\\_canada\\_dissemination\\_ss\\_duranti\\_banco-de-mexico\\_2007.pdf](http://www.interpares.org/display_file.cfm?doc=ip1-2-3_canada_dissemination_ss_duranti_banco-de-mexico_2007.pdf)
- April 20, 2007 - "The InterPARES Project," presentation via video conferencing to records managers and IT officials for the Mexican Federal Ministry of Health and in the 31 States and 1 Federal District, and also to records managers and archivists. México City, México.  
[www.interpares.org/display\\_file.cfm?doc=ip1-2-3\\_canada\\_dissemination\\_ss\\_duranti\\_health-ministry\\_mexico\\_2007.pdf](http://www.interpares.org/display_file.cfm?doc=ip1-2-3_canada_dissemination_ss_duranti_health-ministry_mexico_2007.pdf)
- April 19, 2007 - "Towards InterPARES 3," Archivo General de la Nación, in video conference with all Mexico State Archives. Mexico City, Mexico.  
[www.interpares.org/display\\_file.cfm?doc=ip1-2-3\\_canada\\_dissemination\\_ss-e\\_duranti\\_archivo-general\\_2007.pdf](http://www.interpares.org/display_file.cfm?doc=ip1-2-3_canada_dissemination_ss-e_duranti_archivo-general_2007.pdf) (English)  
[www.interpares.org/display\\_file.cfm?doc=p1-2-3\\_canada\\_dissemination\\_ss-s\\_duranti\\_archivo-general\\_2007.pdf](http://www.interpares.org/display_file.cfm?doc=p1-2-3_canada_dissemination_ss-s_duranti_archivo-general_2007.pdf) (Español)
- April 19, 2007 - "Towards InterPARES 3," presentation to archives and digital government officials, Ministry of Public Functions. México City, México.  
[www.interpares.org/display\\_file.cfm?doc=p1-2-3\\_canada\\_dissemination\\_ss-e\\_duranti\\_public-functions\\_mexico\\_2007.pdf](http://www.interpares.org/display_file.cfm?doc=p1-2-3_canada_dissemination_ss-e_duranti_public-functions_mexico_2007.pdf) (English)  
[www.interpares.org/display\\_file.cfm?doc=p1-2-3\\_canada\\_dissemination\\_ss-s\\_duranti\\_public-functions\\_mexico\\_2007.pdf](http://www.interpares.org/display_file.cfm?doc=p1-2-3_canada_dissemination_ss-s_duranti_public-functions_mexico_2007.pdf) (Español)
- April 19, 2007 - "The InterPARES Project," presentation to officials and commissioners of the Federal Institute of Access to Public Information in México (IFAI). México City, México.  
[www.interpares.org/display\\_file.cfm?doc=ip1-2-3\\_canada\\_dissemination\\_ss\\_duranti\\_ifai\\_mexico\\_2007.pdf](http://www.interpares.org/display_file.cfm?doc=ip1-2-3_canada_dissemination_ss_duranti_ifai_mexico_2007.pdf)

Duranti, Luciana, Hilde Colenbrander, Elizabeth Shaffer, Adam Jansen and Erin Abler

- November 13, 2009 - "Ahead of the Curve: Advancing Preservation While Respecting Copyright with UBC cIRcle," The Johnson Memorial Seminar, The University of British Columbia, School of Library, Archival and Information Studies. Vancouver, BC, Canada.

Force, Donald

- September 29, 2008 - Panel member. "Learning through Active Engagement in Academic Research," Celebrate Learning Week - Panel, The University of British Columbia. Vancouver, BC, Canada.

Goh, Elaine, Corinne Rogers and Elizabeth Shaffer

- June 7, 2011 - "Creating Good Policy for Creating, Maintaining and Preserving Digital Records," Education Sessions workshop T21, ARMA Canada Annual Conference, 5-8 June 2011. Charlottetown, PEI, Canada.

Preston, Randy

- February 8, 2008 - "Implementing Digital Records Preservation: An Overview of InterPARES 3," presented at the joint meeting of the University of British Columbia Association of Canadian Archivists (ACA) Student Chapter and Western Washington University archives students. University of British Columbia, Vancouver, BC, Canada.  
[www.interpares.org/display\\_file.cfm?doc=ip3\\_canada\\_dissemination\\_ss\\_preston\\_ubc-aca\\_2008.pdf](http://www.interpares.org/display_file.cfm?doc=ip3_canada_dissemination_ss_preston_ubc-aca_2008.pdf)
- May 9, 2007 - "InterPARES 3: Proposed Objectives, Methodology and Outcomes (2007-2012)," LongRec Project Team Meeting, 8-9 May 2007. Trondheim, Norway.  
[www.interpares.org/display\\_file.cfm?doc=ip3\\_canada\\_dissemination\\_ws\\_preston\\_longrec\\_2007.pdf](http://www.interpares.org/display_file.cfm?doc=ip3_canada_dissemination_ws_preston_longrec_2007.pdf)

Rennie, Stuart

- June 8, 2009 - "Bridging Time: InterPARES and E-Discovery," position paper presented at the 2009 DESI III Global E-Discovery/E-Disclosure Workshop: A Pre-Conference Workshop at the 12th International Conference on Artificial Intelligence and Law (ICAIL 2009), 8 June 2009. Barcelona, Spain.  
[www.interpares.org/display\\_file.cfm?doc=ip1-2-3\\_canada\\_dissemination\\_cp\\_rennie\\_icail\\_2009.pdf](http://www.interpares.org/display_file.cfm?doc=ip1-2-3_canada_dissemination_cp_rennie_icail_2009.pdf)

Xie, Sherry L.

- October 22, 2010 - "Overview of InterPARES: Objectives, Research Methodologies and Findings," lecture to staff of the National Archives Administration of Taiwan and the Archival Administration of Macao. Taipei, Taiwan.  
[www.interpares.org/display\\_file.cfm?doc=ip1-2-3\\_canada\\_dissemination\\_ls\\_xie\\_taipei\\_20101022.pdf](http://www.interpares.org/display_file.cfm?doc=ip1-2-3_canada_dissemination_ls_xie_taipei_20101022.pdf)
- October 20, 2010 - "Acquisition in the InterPARES Model (with LAC TDR as one example)," lecture to staff members of the National Archives Administration of Taiwan and the Archival Administration of Macao, as well as to academic and industry partners who work with the National Archives of Taiwan on various projects. Taipei, Taiwan.  
[www.interpares.org/display\\_file.cfm?doc=ip2-3\\_canada\\_dissemination\\_ls\\_xie\\_taipei\\_20101020.pdf](http://www.interpares.org/display_file.cfm?doc=ip2-3_canada_dissemination_ls_xie_taipei_20101020.pdf)
- July 02, 2007 - "The InterPARES Project and Its Findings," School of Information Resources Management, Renmin University. Beijing, China.  
[www.irm.cn/news/200811/30-201.html](http://www.irm.cn/news/200811/30-201.html)

- June 29, 2007 - "The InterPARES Project and Its Findings," School of Information Resources Management, Renmin University. Beijing, China.  
[www.interpares.org/display\\_file.cfm?doc=ip2-3\\_canada\\_dissemination\\_ls\\_xie\\_rmu\\_china\\_2007.pdf](http://www.interpares.org/display_file.cfm?doc=ip2-3_canada_dissemination_ls_xie_rmu_china_2007.pdf)

## Conferences (symposia, sessions, panels, papers)

Bushey, Jessica

- August 28, 2008 - "Best Practice for Born-Digital Images: Translating Theory into Practice," session 109: Toward a Best Practices Guide for Collecting Born-Digital Photographs, Society of American Archivists Annual Meeting (SAA 2008), 26-30 August 2008. San Francisco, CA, USA.  
[www.interpares.org/display\\_file.cfm?doc=ip3\\_canada\\_dissemination\\_c-abst\\_bushey\\_saa\\_2008.pdf](http://www.interpares.org/display_file.cfm?doc=ip3_canada_dissemination_c-abst_bushey_saa_2008.pdf)

Callow, Helen and Elizabeth Shaffer

- April 24, 2009 - "The InterPARES 3 Project: Institutes, Galleries, Societies and the Police Towards Ensuring the Preservation of Digital Records in Public and Private Organizations," Annual conference of the Archives Association of British Columbia (AABC 2009), 24-25 April 2009. Vancouver, BC, Canada.

Colenbrander, Hilde

- July 6, 2010 - "Institutional Repositories: Yes, We All Have One, Now What?: An Investigation into Long-Term Preservation and Copyright Compliance," poster session, Open Repositories 2010, 6-9 July 2010. Madrid, Spain.  
[www.interpares.org/display\\_file.cfm?doc=ip3\\_canada\\_dissemination\\_post\\_colenbrander\\_open-repositories\\_2010.pdf](http://www.interpares.org/display_file.cfm?doc=ip3_canada_dissemination_post_colenbrander_open-repositories_2010.pdf)

Cowling, Adam B.

- December 2008 - "Shooting Ourselves in the Foot: Is Digitization Decaying the Archival Aura?" 5th DLM-Forum Conference: "Information and Electronic Records Management in Europe: Achievements and new Directions," 10-12 December 2008. Toulouse, France.  
[www.interpares.org/display\\_file.cfm?doc=ip3\\_canada\\_dissemination\\_cpr\\_cowling\\_dlm-2008.pdf](http://www.interpares.org/display_file.cfm?doc=ip3_canada_dissemination_cpr_cowling_dlm-2008.pdf)

Dingwall, Glenn

- May 29, 2010 - "Building a Digital Archives at the City of Vancouver," paper presented in Session 2 - Comparing Apples and Oranges: A Tale of Four BC Cities, InterPARES 3 Project, 3rd International Symposium, 29 May 2010. Vancouver, BC, Canada.  
[www.interpares.org/display\\_file.cfm?doc=ip3\\_canada\\_dissemination\\_cs\\_dingwall\\_ip3-isym03\\_2010.pdf](http://www.interpares.org/display_file.cfm?doc=ip3_canada_dissemination_cs_dingwall_ip3-isym03_2010.pdf)
- September 15, 2010 - "Digital Weft InterPARES as Common Thread in Vancouver's Digital Preservation Programme," paper presented in Plenary Session 2: Practical Perspectives and Experiences - InterPARES Case and General Studies, CITRA 42nd International Conference of the Round Table on Archives, entitled "Trust and Access: Challenges to Managing Records and Archives in the Digital Age," 11-19 September 2010. Oslo, Norway.  
[www.interpares.org/display\\_file.cfm?doc=ip3\\_canada\\_dissemination\\_cs\\_dingwall\\_citra-2010.pdf](http://www.interpares.org/display_file.cfm?doc=ip3_canada_dissemination_cs_dingwall_citra-2010.pdf)

Dingwall, Glenn and Peter Van Garderen

- June 10, 2010 - "Small Steps and Giant Leaps: The Iterative Development of Digital Archives Capacity at the City of Vancouver," paper presented in Session 3a. Meeting the Digital

Challenge, Association of Canadian Archivists Annual Conference (ACA 2010), 9-12 June 2010. Halifax, NS, Canada.

- April 17, 2010 - "Implementing a digital preservation solution at the City of Vancouver Archives," Annual conference of the Archives Association of British Columbia (AABC 2010): "Our Digital Future," 15-17 April 2010. Vancouver, BC, Canada.  
<http://web.archive.org/web/20111031165118/http://aabc.ca/conference2010.html>

Drego, Cristina and Elizabeth Shaffer

- April 9, 2010 - "University Institutional Repositories: Copyright and Long-Term Preservation," poster session, SLAIS Research Day, 9 April 2010. The University of British Columbia, Vancouver, BC, Canada.  
[www.interpares.org/display\\_file.cfm?doc=ip3\\_canada\\_dissemination\\_post\\_drego~shaffer\\_slais-research-day\\_2010.pdf](http://www.interpares.org/display_file.cfm?doc=ip3_canada_dissemination_post_drego~shaffer_slais-research-day_2010.pdf)

Duranti, Luciana

- April 12, 2012 - San Bernardo, Chile. IV Convención Internacional de Archivistas. Keynote Speaker on "Confiabilidad y autenticidad en el ámbito digital: un tema cada vez más nebuloso."
- November 14, 2011 - Keynote speaker. "Trust Is Not All: Authenticity in the Digital Environment," Interdisciplinary Centre for Law and ICT, International Conference on "Trust in the Information Society," 14-15 November 2011. Leuven, Belgium.
- October 2-5, 2011 - Co-organizer and Keynote speaker. InterPARES International Symposium, Barcelona, Spain.
- October 1, 2011 - "The Return of Diplomatics as a Forensic Discipline," International Conference on "Digital Diplomatics," 29 September - 1 October 2011. Università di Napoli, Naples, Italy.
- June 16-18, 2011 - Co-organizer and Keynote speaker. InterPARES International Symposium, Kuala Lumpur, Malaysia.
- June 4, 2011 - "The Facebook Wall," paper presented in session 10c: "What is a Record in the Digital Environment," Association of Canadian Archivists Annual Conference (ACA 2011), 2-4 June 2011. Toronto, ON, Canada.
- November 3, 2010 - Keynote speaker. "The Appraisal of Digital Records: The Return of Diplomatics as a Forensic Discipline," International Conference on "The E-Discovery Challenge: Digital Wasteland or Digital Oasis. An Interdisciplinary Approach to Managing Records – Archives, Law and Evidence," 3-4 November 2010. Singapore, Singapore.  
[www.interpares.org/display\\_file.cfm?doc=ip3\\_canada\\_dissemination\\_cs\\_duranti\\_singapore\\_2010a.pdf](http://www.interpares.org/display_file.cfm?doc=ip3_canada_dissemination_cs_duranti_singapore_2010a.pdf)
- November 3, 2010 - Keynote speaker. "Digital Records As Evidence: Towards a Digital Records Forensics," International Conference on "The E-Discovery Challenge: Digital Wasteland or Digital Oasis. An Interdisciplinary Approach to Managing Records – Archives, Law and Evidence," 3-4 November 2010. Singapore, Singapore.

[www.interpares.org/display\\_file.cfm?doc=ip3\\_canada\\_dissemination\\_cs\\_duranti\\_singapore\\_2010b.pdf](http://www.interpares.org/display_file.cfm?doc=ip3_canada_dissemination_cs_duranti_singapore_2010b.pdf)

- September 17, 2010 - Keynote Address. "Implementing Digital Records Preservation in Small and Medium-sized Archives," InterPARES 3 Project, 4th International Symposium, 17 September 2010. Oslo, Norway.  
[www.interpares.org/display\\_file.cfm?doc=ip3\\_canada\\_dissemination\\_cs\\_duranti\\_ip3-ism04\\_2010.pdf](http://www.interpares.org/display_file.cfm?doc=ip3_canada_dissemination_cs_duranti_ip3-ism04_2010.pdf)
- September 15, 2010 - Keynote address. "Translating leading edge theory into bleeding-edge practice: the InterPARES experience," Plenary Session 2: Practical Perspectives and Experiences - InterPARES Case and General Studies, CITRA 42nd International Conference of the Round Table on Archives, entitled "Trust and Access: Challenges to Managing Records and Archives in the Digital Age," 11-19 September 2010. Oslo, Norway.  
[www.interpares.org/display\\_file.cfm?doc=ip3\\_canada\\_dissemination\\_cs\\_duranti\\_citra-2010.pdf](http://www.interpares.org/display_file.cfm?doc=ip3_canada_dissemination_cs_duranti_citra-2010.pdf)
- July 4, 2010 - "It Is All About Trust," FARMER/NAET Conference: "Questions of trust? Archives, records and identities," 5-6 July 2010. Oxford, United Kingdom.  
[www.interpares.org/display\\_file.cfm?doc=ip3\\_canada\\_dissemination\\_prog\\_farmer\\_2010.pdf](http://www.interpares.org/display_file.cfm?doc=ip3_canada_dissemination_prog_farmer_2010.pdf)
- May 29, 2010 - Keynote Address. "Implementing Digital Records Preservation in Small and Medium-sized Archives," InterPARES 3 Project, 3rd International Symposium, 29 May 2010. Vancouver, BC, Canada.  
[www.interpares.org/display\\_file.cfm?doc=ip3\\_canada\\_dissemination\\_cs\\_duranti\\_ip3-ism03\\_2010.pdf](http://www.interpares.org/display_file.cfm?doc=ip3_canada_dissemination_cs_duranti_ip3-ism03_2010.pdf)
- April 17, 2010 - "Ten Years of InterPARES," International Symposium on Advanced Research Findings of Electronic Records Management," School of Information Resource Management, Renmin University of China, 16-17 April 2010. Beijing, China.
- April 16, 2010 - "The Trustworthiness of Digital Records," International Congress on Digital Records Preservation, 14-18 April 2010. Beijing, China.  
[www.interpares.org/display\\_file.cfm?doc=ip3\\_canada\\_dissemination\\_cs\\_duranti\\_icdrp\\_2010.pdf](http://www.interpares.org/display_file.cfm?doc=ip3_canada_dissemination_cs_duranti_icdrp_2010.pdf)
- March 10-12, 2010 - Co-organiser. International Symposium on the "Preservation of the Memory of the World," Association of Canadian Archivists UBC Student Chapter, 10-12 March 2010. Vancouver, BC, Canada.  
[www.interpares.org/ip3/sponsored/event\\_aca-20100310.cfm](http://www.interpares.org/ip3/sponsored/event_aca-20100310.cfm)
- December 15, 2009 - "The Long-term Preservation of Digital Heritage," Cultural Heritage Online: "Empowering Users: An Active Role for User Communities," 2nd International Conference, 15-16 December 2009. Firenze, Italy.  
[www.interpares.org/display\\_file.cfm?doc=ip3\\_canada\\_dissemination\\_cs\\_duranti\\_chol\\_2009.pdf](http://www.interpares.org/display_file.cfm?doc=ip3_canada_dissemination_cs_duranti_chol_2009.pdf)
- November 19, 2009 - "New development in archival training courses," CITRA 41st International Conference of the Round Table on Archives: "Imagining the twenty first century archivist: new

strategies for education and training," organized by the International Council on Archives (ICA), 17-21 November 2009. La Vallette, Malta.

- October 15, 2009 - "The Trustworthiness of Digital Records," ARMA International Annual Conference, 15-18 October 2009. Orlando, Florida, USA.
- September 30, 2009 - Keynote address. "Continuity and Transformation in the role of the Archivist: InterPARES 3 (2007-2012)," InterPARES 3 Project, 2nd International Symposium, 30 September 2009. National Archives of Brazil, Rio de Janeiro, Brazil.  
[www.interpares.org/display\\_file.cfm?doc=ip3\\_canada\\_dissemination\\_cs\\_duranti\\_keynote\\_ip3-ism02\\_rio\\_2009.pdf](http://www.interpares.org/display_file.cfm?doc=ip3_canada_dissemination_cs_duranti_keynote_ip3-ism02_rio_2009.pdf)
- September 30, 2009 - "The impact of the organization culture of test-beds on the action research case study process: some preliminary findings from TEAM Canada," InterPARES 3 Project, 2nd International Symposium, 30 September 2009. National Archives of Brazil, Rio de Janeiro, Brazil.  
[www.interpares.org/display\\_file.cfm?doc=ip3\\_canada\\_dissemination\\_cs\\_duranti\\_ip3-ism02\\_2009.pdf](http://www.interpares.org/display_file.cfm?doc=ip3_canada_dissemination_cs_duranti_ip3-ism02_2009.pdf)
- August 14, 2009 - "InterPARES 3: An Overview," Society of American Archivists Annual Meeting (SAA 2009), 11-16 August 2009. Austin, TX, USA.  
[www.interpares.org/display\\_file.cfm?doc=ip3\\_canada\\_dissemination\\_prog\\_saa\\_2009.pdf](http://www.interpares.org/display_file.cfm?doc=ip3_canada_dissemination_prog_saa_2009.pdf)
- June 4, 2009 - Keynote address. "Continuity and Transformation in the role of the Archivist: InterPARES 3 (2007-2012)," InterPARES 3 Project, 1st International Symposium, 4-5 June 2009. Seoul, South Korea.  
[www.interpares.org/display\\_file.cfm?doc=ip3\\_canada\\_dissemination\\_cs\\_duranti\\_keynote\\_ip3-ism01\\_2009.pdf](http://www.interpares.org/display_file.cfm?doc=ip3_canada_dissemination_cs_duranti_keynote_ip3-ism01_2009.pdf)
- April 24, 2009 - "InterPARES 3: General Studies and Case Studies," Annual conference of the Archives Association of British Columbia (AABC 2009), 24-25 April 2009. Vancouver, BC, Canada.
- April 15, 2009 - Keynote address. "European Commission Model Requirements for the Management of Electronic Records (MoReq2) (2008) and InterPARES (1998-2012)," Congress on "Effective Records Management in State & Local Authorities" - INFODOCUM-2009, Federal Assembly of the Russian Federation and the Russian Records Management Guild. Moscow, Russia. [Keynote address on the relevance of international standards to national contexts]  
[www.interpares.org/display\\_file.cfm?doc=ip2\\_dissemination\\_cs\\_duranti\\_infodocum\\_2009.pdf](http://www.interpares.org/display_file.cfm?doc=ip2_dissemination_cs_duranti_infodocum_2009.pdf) (presentation slides)  
[www.interpares.org/display\\_file.cfm?doc=ip2\\_dissemination\\_pr\\_infodocum\\_2009.pdf](http://www.interpares.org/display_file.cfm?doc=ip2_dissemination_pr_infodocum_2009.pdf) (Duranti information)
- March 13, 2009 - "Appraisal of Digital Records: The Application of InterPARES Findings to Existing Systems," Keynote speech, International Seminar on Electronic Records, sponsored by Universidad La Salle and the Archivo de la Nacion. Bogotá, Columbia.



- August 29, 2008 - Keynote address. "The Appraisal of Digital Records: Assessing More than Value," presented at the Society of Archivists' Annual conference entitled "Spanning the Spectrum: confronting recordkeeping challenges." York, United Kingdom.
- July 24, 2008 - "Accountability in E-government: Observations from InterPARES Case Studies," International Council on Archives, The 16th International Congress on Archives, 21-27 July 2008. Kuala Lumpur, Malaysia.
- July 22, 2008 - "Overview of InterPARES 3: Implementing Digital Records Preservation in Small and Medium-sized Archives," in session titled "InterPARES 3 in Asia: Implementing Research Findings on Digital Records Preservation," International Council on Archives, The 16th International Congress on Archives, 21-27 July 2008. Kuala Lumpur, Malaysia.  
[www.interpares.org/display\\_file.cfm?doc=ip\\_canada\\_dissemination\\_cs\\_duranti\\_1\\_ica\\_2008.pdf](http://www.interpares.org/display_file.cfm?doc=ip_canada_dissemination_cs_duranti_1_ica_2008.pdf)
- May 8, 2008 - "InterPARES and Archival Theory," Conference on the "Impact of Informatics on Archival Science." Region Lombardia and Province of Milan, Lodi, Italy.
- November 16, 2007 - Closing overview speaker. "Rethinking Appraisal - Conference Overview," DELOS International Conference, "Appraisal in the Digital World," in association with Digital Preservation Europe and InterPARES, 15-16 November 2007. Accademia Nazionale Dei Lincei, Rome, Italy.  
[www.interpares.org/display\\_file.cfm?doc=duranti\\_delos\\_2007\\_overview.pdf](http://www.interpares.org/display_file.cfm?doc=duranti_delos_2007_overview.pdf)
- November 1, 2007 - "InterPARES Findings and Accountability," International Council on Archives, Section on Parliamentary and Political Archives (SPP) Annual Conference: "Parliamentary, Party, and Politicians' Archives and their Neighbouring Institutions, 1-3 November 2007. Corfu, Greece.  
<http://di.ionio.gr/spp2007/>

Duranti, Luciana (presenter) and Fiorella Foscarini

- June 5, 2009 - "The Impact of the Organizational Culture of Test-beds on the Action Research Case Study Process: Some Preliminary Findings from TEAM Canada," InterPARES 3 International Symposium, 4-5 June 2009. Seoul, South Korea.  
[www.interpares.org/display\\_file.cfm?doc=ip3\\_canada\\_dissemination\\_cs\\_duranti~foscarini\\_ip3-isym01\\_2009.pdf](http://www.interpares.org/display_file.cfm?doc=ip3_canada_dissemination_cs_duranti~foscarini_ip3-isym01_2009.pdf)

Duranti, Luciana and Sherry Xie

- October 4-7, 2012 - "Knowledge Management & Records Management: Establishing Relationships for Common Development," poster session, International Conference on Knowledge Management and Information Sharing, 4-7 October 2012. Barcelona, Spain.  
[www.interpares.org/display\\_file.cfm?doc=ip3\\_canada\\_dissemination\\_cpr\\_duranti~xie\\_kmis\\_2012.pdf](http://www.interpares.org/display_file.cfm?doc=ip3_canada_dissemination_cpr_duranti~xie_kmis_2012.pdf)

Enns, Lois

- June 2, 2011 - "Seventeen Years in 60 Days: Migrating Shared Drive Records to an ECM," paper presented in session 2c. Notes from the Front Lines: New Approaches to Managing and Preserving electronic records and data, Association of Canadian Archivists Annual Conference (ACA 2011), 2-4 June 2011. Toronto, ON, Canada.



- February 23, 2011 - "Preserving Documentary Evidence of E-Government at the City of Surrey," 2nd International Seminar on Electronic Records and Archives, 23-25 February 2011. Bogotá, Columbia.
- September 17, 2010 - "Shared Drive Migration Toolkit," InterPARES 3 Project, 4th International Symposium, 17 September 2010. Oslo, Norway.  
[www.interpares.org/display\\_file.cfm?doc=ip3\\_canada\\_dissemination\\_cs\\_enns\\_ip3-isym04\\_2010.pdf](http://www.interpares.org/display_file.cfm?doc=ip3_canada_dissemination_cs_enns_ip3-isym04_2010.pdf)
- May 29, 2010 - "Case Study 14: Shared Drive Migration," paper presented in Session 2 - Comparing Apples and Oranges: A Tale of Four BC Cities, InterPARES 3 Project, 3rd International Symposium, 29 May 2010. Vancouver, BC, Canada.  
[www.interpares.org/display\\_file.cfm?doc=ip3\\_canada\\_dissemination\\_cs\\_enns\\_ip3-isym03\\_2010.pdf](http://www.interpares.org/display_file.cfm?doc=ip3_canada_dissemination_cs_enns_ip3-isym03_2010.pdf)

Enns, Luciana and Gurp Badesha

- September 28, 2012 - "File Viewers: Examining On-the-Fly File Format Conversion," UNESCO conference on The Memory of the World in the Digital Age: Digitization and Preservation, 26-28 September 2012. Vancouver, BC, Canada.  
[www.interpares.org/display\\_file.cfm?doc=ip3\\_canada\\_dissemination\\_cpr\\_ens~badesha\\_unesco-mow\\_2013.pdf](http://www.interpares.org/display_file.cfm?doc=ip3_canada_dissemination_cpr_ens~badesha_unesco-mow_2013.pdf)

Force, Donald

- August 27, 2011 - "What 'Best Evidence'? Archival Discourse and Judicial Decisions," Society of American Archivists Annual Meeting (SAA 2011), 22-27 August 2011. Chicago, IL, USA.
- May 29, 2010 - "Facing the Digital 'Wild West': The InterPARES 3 City of Victoria Archives Case Study," paper presented in Session 2 - Comparing Apples and Oranges: A Tale of Four BC Cities, InterPARES 3 Project, 3rd International Symposium, 29 May 2010. Vancouver, BC, Canada.  
[www.interpares.org/display\\_file.cfm?doc=ip3\\_canada\\_dissemination\\_cs\\_force\\_ip3-isym03\\_2010.pdf](http://www.interpares.org/display_file.cfm?doc=ip3_canada_dissemination_cs_force_ip3-isym03_2010.pdf)
- April 9, 2010 - "Facing the Digital 'Wild West': The InterPARES 3 City of Victoria Archives Case Study," SLAIS Research Day 2010. The University of British Columbia, Vancouver, BC, Canada.  
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- August 14, 2009 - "Grabbing the Reins: Improving the Management and Preservation of E-mail in Three Different Academic Environments," session 310: Implementing Digital Records Preservation Research in Small Organizations: InterPARES 3, Society of American Archivists Annual Meeting (SAA 2009), 11-16 August 2009. Austin, TX, USA.  
[www.interpares.org/display\\_file.cfm?doc=ip3\\_canada\\_dissemination\\_prog\\_saa\\_2009.pdf](http://www.interpares.org/display_file.cfm?doc=ip3_canada_dissemination_prog_saa_2009.pdf)

Foscarini, Fiorella

- April 20-21, 2007 - "The InterPARES Project," poster session, NESTOR: "The Challenge: Long-term Preservation. Strategies and Practice of European Partnerships," 20-21 April 2007. Frankfurt, Germany.  
[www.interpares.org/display\\_file.cfm?doc=ip1-2-3\\_dissemination\\_cp\\_foscarini\\_nestor\\_2007.pdf](http://www.interpares.org/display_file.cfm?doc=ip1-2-3_dissemination_cp_foscarini_nestor_2007.pdf)

Fuller, Marci and Courtney Mumma

- April 24, 2009 - "Digital Forensic Records: Challenges in Management and Long-Term Preservation," Annual conference of the Archives Association of British Columbia (AABC 2009), 24-25 April 2009. Vancouver, BC, Canada.

Goh, Elaine

- August 26, 2011 - "Translating Leading Edge Theory Into Bleeding Edge Practice: The People Factor," session 405: 360° Records Management: New Research into Metadata, Systems and People, Society of American Archivists Annual Meeting (SAA 2011), 22-27 August 2011. Chicago, IL, USA.
- June 8, 2011 - "People Come First: Developing and Implementing a Recordkeeping System," ARMA Canada Annual Conference, 5-8 June 2011. Charlottetown, PEI, Canada.
- April 29, 2011 - "Network of Structures and People: Developing and Implementing a Recordkeeping System," Annual conference of the Archives Association of British Columbia (AABC 2011), 29-30 April 2011. Vancouver, BC, Canada.
- March 11, 2011 - "What's In It For Me? -The Role of People in Developing and Implementing a Recordkeeping System," poster session, Celebrate Research 2011, SLAIS Research Day: Information Artefacts & Human Experience, 11 March 2011. School of Library, Archival and Information Studies, The University of British Columbia, Vancouver, BC, Canada.  
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- May 29, 2010 - "Organizational Culture," paper presented in Session 1 - General Studies in Support of Action Research Across Continents, InterPARES 3 Project, 3rd International Symposium, 29 May 2010. Vancouver, BC, Canada.  
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Hebbard, Paul

- June 14, 2008 - "Herding Cats or Managing E-mail in a University," paper presented in Session 9c. The InterPARES 3 Project: Implementing Digital Records Preservation in Small and Medium-sized Archives, Association of Canadian Archivists Annual Conference (ACA 2008), 12-14 June 2008. Fredericton, NB, Canada.  
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Hepburn, John

- May 29, 2010 - "Opening Remarks," InterPARES 3 Project, 3rd International Symposium, 29 May 2010. Vancouver, BC, Canada.  
[www.interpares.org/display\\_file.cfm?doc=ip3\\_canada\\_dissemination\\_pr\\_hepburn\\_ip3-ism03\\_2010.pdf](http://www.interpares.org/display_file.cfm?doc=ip3_canada_dissemination_pr_hepburn_ip3-ism03_2010.pdf)

Hu, Judy and Adam Jansen

- March 11, 2011 - "Archiving High Definition Video at the School of Journalism," poster session, Celebrate Research 2011, SLAIS Research Day: Information Artefacts & Human Experience, 11 March 2011. School of Library, Archival and Information Studies, The University of British Columbia, Vancouver, BC, Canada.  
[www.interpares.org/display\\_file.cfm?doc=ip3\\_canada\\_dissemination\\_post\\_hu~jansen\\_slais-research-day-2011.pdf](http://www.interpares.org/display_file.cfm?doc=ip3_canada_dissemination_post_hu~jansen_slais-research-day-2011.pdf)

Inefuku, Harrison W.

- May 29, 2010 - "Records Management and the Preservation of Digital Art," paper presented in Session 3 - Structured/Controlled vs. Unstructured/Uncontrolled Environments, InterPARES 3 Project, 3rd International Symposium, 29 May 2010. Vancouver, BC, Canada.  
[www.interpares.org/display\\_file.cfm?doc=ip3\\_canada\\_dissemination\\_cs\\_inefuku\\_ip3-isym03\\_2010.pdf](http://www.interpares.org/display_file.cfm?doc=ip3_canada_dissemination_cs_inefuku_ip3-isym03_2010.pdf)
- April 9, 2010 - "Recordkeeping and the Preservation of Digital Art: InterPARES and the Morris and Helen Belkin Art Gallery," SLAIS Research Day 2010. The University of British Columbia, Vancouver, BC, Canada.  
[www.interpares.org/display\\_file.cfm?doc=ip3\\_canada\\_dissemination\\_cs\\_inefuku\\_slais-research-day\\_2010.pdf](http://www.interpares.org/display_file.cfm?doc=ip3_canada_dissemination_cs_inefuku_slais-research-day_2010.pdf)
- March 5, 2010 - "Documenting Digital Art in Small Galleries: The Approach of the InterPARES 3 Project," DOCAM 2010 5th International Summit on the Documentation and Conservation of the Media Arts Heritage, 3-5 March 2010. Montréal, QC, Canada.  
[www.interpares.org/display\\_file.cfm?doc=ip3\\_canada\\_dissemination\\_cs\\_inefuku\\_docam-2010.pdf](http://www.interpares.org/display_file.cfm?doc=ip3_canada_dissemination_cs_inefuku_docam-2010.pdf)

Jansen, Adam

- September 28, 2012 - "Challenges and Triumphs: Preserving HD Video at the UBC School of Journalism," UNESCO conference on The Memory of the World in the Digital Age: Digitization and Preservation, Vancouver, Canada, 26-28 September 2012.  
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- June 4, 2011 - "The Role of Diplomats in the Digital Age," paper presented in session 10c. What is a Record in the Digital Environment, Association of Canadian Archivists Annual Conference (ACA 2011), 2-4 June 2011. Toronto, ON, Canada.
- September 17, 2010 - "Structured Records: Vancouver Police Department," InterPARES 3 Project, 4th International Symposium, 17 September 2010. Oslo, Norway.  
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- June 10, 2010 - "And I've got the Scars to Prove It: Lessons Learned from the 'Front Lines'," paper presented in Session 2a. Hard Knocks: Hard Lessons in Digital Archiving, Association of Canadian Archivists Annual Conference (ACA 2010), 9-12 June 2010. Halifax, NS, Canada.  
[www.interpares.org/display\\_file.cfm?doc=ip3\\_canada\\_dissemination\\_cs\\_jansen\\_aca-2010.pdf](http://www.interpares.org/display_file.cfm?doc=ip3_canada_dissemination_cs_jansen_aca-2010.pdf)
- May 29, 2010 - "Structured Records: Vancouver Police Department," paper presented in Session 3 - Structured/Controlled vs. Unstructured/Uncontrolled Environments, InterPARES 3 Project, 3rd International Symposium, 29 May 2010. Vancouver, BC, Canada.  
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Laszlo, Krisztina (presenter), Timothy McMillan and Jennifer Yuhasz

- September 18, 2008 - "The InterPARES 3 Project: Implementing Digital Records Preservation in a Contemporary Art Gallery and Ethnographic Museum," Annual conference of the International Documentation Committee of the International Council of Museums (CIDOC), 15-18 September 2008. Athens, Greece.  
[www.interpares.org/display\\_file.cfm?doc=ip3\\_canada\\_dissemination\\_cp\\_laszlo-et-al\\_cidoc\\_2008.pdf](http://www.interpares.org/display_file.cfm?doc=ip3_canada_dissemination_cp_laszlo-et-al_cidoc_2008.pdf)

Malmas, Shamin and Cindy McLellan

- April 17, 2010 - "Be Prepared! From Educating Donors to Writing an Acquisitions Policy: How to Get Ready for Digital Acquisitions," Annual conference of the Archives Association of British Columbia (AABC 2010): "Our Digital Future," 15-17 April 2010. Vancouver, BC, Canada.

Malmas, Shamin, Cindy McLellan and Anneleen van Dijk

- April 29, 2011 - "A National Survey on Acquisitions," Annual conference of the Archives Association of British Columbia (AABC), 29-30 April 2011. Vancouver, BC, Canada.

McLellan, Cindy (presenter) and Shamin Malmas

- September 17, 2010 - "Educating Donors: A First Step Towards Meeting the Challenges of Acquiring Digital Records in Small Archives," poster session, InterPARES 3 Project, 4th International Symposium, 17 September 2010. Oslo, Norway.  
[www.interpares.org/display\\_file.cfm?doc=ip3\\_canada\\_dissemination\\_post\\_mclellan~malmas\\_ip3-isym04\\_2010.pdf](http://www.interpares.org/display_file.cfm?doc=ip3_canada_dissemination_post_mclellan~malmas_ip3-isym04_2010.pdf)

McLellan, Evelyn

- August 26, 2011 - "Open Source Software for Electronic Records Management: Are We There Yet?" session 405: 360° Records Management: New Research into Metadata, Systems and People, Society of American Archivists Annual Meeting (SAA 2011), 22-27 August 2011. Chicago, IL, USA.
- October 28, 2009 - 6th National Transparency Week: Transparency in the Americas. Keynote speaker, Panel 6: "Records Management and Transparency." University Cultural Center Tlatelolco, Mexico City, Mexico.  
[www.interpares.org/display\\_file.cfm?doc=ip3\\_canada\\_dissemination\\_cs\\_mclellan\\_ntl-transparency-week\\_2009.pdf](http://www.interpares.org/display_file.cfm?doc=ip3_canada_dissemination_cs_mclellan_ntl-transparency-week_2009.pdf)
- June 14, 2008 - "Configuring an EDRMS to meet authenticity requirements for long-term preservation of digital records," paper presented in Session 9c. The InterPARES 3 Project: Implementing Digital Records Preservation in Small and Medium-sized Archives, Association of Canadian Archivists Annual Conference (ACA 2008), 12-14 June 2008. Fredericton, NB, Canada.  
[www.interpares.org/display\\_file.cfm?doc=ip3\\_canada\\_dissemination\\_cs\\_mclellan\\_aca-2008.pdf](http://www.interpares.org/display_file.cfm?doc=ip3_canada_dissemination_cs_mclellan_aca-2008.pdf)

Preston, Randy

- June 14, 2008 - "Implementing Digital Records Preservation in Small and Medium-sized Archival Organizations: Phase 3 of the InterPARES Project," paper presented in Session 9c. The InterPARES 3 Project: Implementing Digital Records Preservation in Small and Medium-sized Archives, Association of Canadian Archivists Annual Conference (ACA 2008), 12-14 June 2008. Fredericton, NB, Canada.  
[www.interpares.org/display\\_file.cfm?doc=ip3\\_canada\\_dissemination\\_cs\\_preston\\_aca-2008.pdf](http://www.interpares.org/display_file.cfm?doc=ip3_canada_dissemination_cs_preston_aca-2008.pdf)
- August 9, 2007 - Session Chair. "Perspectivas de ação do InterPARES: Projeto na América Latina," Seminário Internacional de Especialistas em Gestão e Preservação de Documentos Digitais, 7-9 August 2007. Arquivo Nacional, Rio de Janeiro, Brasil.

Rennie, Stuart

- June 8, 2009 - "Bridging Time: InterPARES and e-Discovery," position paper, DESI III Global E-Discovery/E-Disclosure Workshop: A Pre-Conference Workshop at the 12th International Conference on Artificial Intelligence and Law (ICAIL 2009), 8 June 2009. Casa Convalescència, Barcelona, Spain.  
[www.interpares.org/display\\_file.cfm?doc=ip1-2-3\\_canada\\_dissemination\\_cp\\_rennie\\_icail\\_2009.pdf](http://www.interpares.org/display_file.cfm?doc=ip1-2-3_canada_dissemination_cp_rennie_icail_2009.pdf)

Rogers, Corinne (presenter), Evelyn McLellan and Elizabeth Shaffer

- October 19, 2010 - "Exploring Open Source Options for Records Management," Open Access Week @ UBC, 18-24 October 2010. Vancouver, BC, Canada.  
[www.interpares.org/display\\_file.cfm?doc=ip3\\_canada\\_dissemination\\_cs\\_rogers~mclellan~shaffer\\_oaw-ubc\\_2010.pdf](http://www.interpares.org/display_file.cfm?doc=ip3_canada_dissemination_cs_rogers~mclellan~shaffer_oaw-ubc_2010.pdf)

Rogers, Corinne and Elizabeth Shaffer

- August 12-13, 2010 - "How do you preserve digital records in a million-dollar organization when everyone has a million other things to worry about?" poster session, Society of American Archivists Annual Meeting (SAA 2010), 10-15 August 2010. Washington, D.C., USA.  
[www.interpares.org/display\\_file.cfm?doc=ip3\\_canada\\_dissemination\\_post\\_rogers~shaffer\\_saa\\_2010.pdf](http://www.interpares.org/display_file.cfm?doc=ip3_canada_dissemination_post_rogers~shaffer_saa_2010.pdf)
- August 12, 2010 - "Case Study: Digital Records Preservation at British Columbia Institute of Technology or How do you preserve digital records in a million-dollar organization when everyone has a million other things to worry about?" paper presented in session 3: Adapting Archival Practice, Society of American Archivists (SAA) 2010 Research Forum, 12 August 2010. Washington, D.C., USA.  
[www.interpares.org/display\\_file.cfm?doc=ip3\\_canada\\_dissemination\\_cs\\_rogers~shaffer\\_saa-research-forum\\_2010.pdf](http://www.interpares.org/display_file.cfm?doc=ip3_canada_dissemination_cs_rogers~shaffer_saa-research-forum_2010.pdf)
- June 10, 2010 - "Digital Monks Share Their Code - What would Hugh Taylor say about Open Source Software?" paper presented in Session 3b. New Voices, New Ideas: The Student Session, Association of Canadian Archivists Annual Conference (ACA 2010), 9-12 June 2010. Halifax, NS, Canada.  
[www.interpares.org/display\\_file.cfm?doc=ip3\\_canada\\_dissemination\\_cs\\_rogers~shaffer\\_aca-2010.pdf](http://www.interpares.org/display_file.cfm?doc=ip3_canada_dissemination_cs_rogers~shaffer_aca-2010.pdf)
- April 9, 2010 - "From Jigsaw Puzzles to Transformers: Where does Open Source Software fit in the World of Electronic Records Management?" SLAIS Research Day 2010. The University of British Columbia, Vancouver, BC, Canada.  
[www.interpares.org/display\\_file.cfm?doc=ip3\\_canada\\_dissemination\\_cs\\_rogers~shaffer\\_slais-research-day\\_2010.pdf](http://www.interpares.org/display_file.cfm?doc=ip3_canada_dissemination_cs_rogers~shaffer_slais-research-day_2010.pdf)
- April 24, 2009 - "Developing Digital Preservation Policies and Procedures at the British Columbia Institute of Technology (BCIT)," Annual conference of the Archives Association of British Columbia (AABC 2009), 24-25 April 2009. Vancouver, BC, Canada.

Shaffer, Elizabeth

- August 12, 2010 - "University Institutional Repositories: An Investigation into Long-Term Preservation and Copyright Compliance" poster session, Society of American Archivists (SAA) 2010 Research Forum, 12 August 2010. Washington, D.C., USA.  
[www.interpares.org/display\\_file.cfm?doc=ip3\\_canada\\_dissemination\\_post\\_shaffer\\_saa-research-forum\\_2010.pdf](http://www.interpares.org/display_file.cfm?doc=ip3_canada_dissemination_post_shaffer_saa-research-forum_2010.pdf)
- May 29, 2010 - "The InterPARES 3 TEAM Canada Web 2.0/Social Media General Study," paper presented in Session 1 - General Studies in Support of Action Research Across Continents, InterPARES 3 Project, 3rd International Symposium, 29 May 2010. Vancouver, BC, Canada.  
[www.interpares.org/display\\_file.cfm?doc=ip3\\_canada\\_dissemination\\_cs\\_shaffer\\_ip3-isym03\\_2010.pdf](http://www.interpares.org/display_file.cfm?doc=ip3_canada_dissemination_cs_shaffer_ip3-isym03_2010.pdf)

Shaffer, Elizabeth (presenter) and Harrison W. Inefuku

- April 1, 2011 - "What Comes After Access?: University Institutional Repositories, Copyright and Digital Preservation," poster session, Association of College and Research Libraries (ACRL 2011), March 30 - April 2, 2011. Philadelphia, PA, USA.  
[www.interpares.org/display\\_file.cfm?doc=ip3\\_canada\\_dissemination\\_post\\_shaffer~inefuku\\_acrl-2011.pdf](http://www.interpares.org/display_file.cfm?doc=ip3_canada_dissemination_post_shaffer~inefuku_acrl-2011.pdf)

Shaffer, Elizabeth and Harrison W. Inefuku

- March 11, 2011 - "Moving Beyond Access: University Institutional Repositories, Copyright and Digital Preservation," Celebrate Research 2011, SLAIS Research Day: Information Artefacts & Human Experience, 11 March 2011. School of Library, Archival and Information Studies, The University of British Columbia, Vancouver, BC, Canada.

Shaffer, Elizabeth and Harrison W. Inefuku (presenter)

- June 25, 2011 - "Permission to Preserve?: Intellectual Property, Digital Preservation and the University Institutional Repository," poster session, American Library Association Conference (ALA 2011), 23-28 June 2011. New Orleans, LA, USA.  
<http://web.archive.org/web/20110612161523/http://www.lib.jmu.edu/org/ala/abstracts/#112>

Suderman, Jim

- June 4, 2011 - "The Growing Open Data Trend in Canada and the United States," paper presented in session 10c. What is a Record in the Digital Environment, Association of Canadian Archivists Annual Conference (ACA 2011), 2-4 June 2011. Toronto, ON, Canada.
- April 29, 2010 - "We change our tools and our tools change us: using InterPARES research findings to facilitate change," 8th European Conference on Digital Archiving (ECA 2010), 28-30 April 2010. Geneva, Switzerland.  
[www.interpares.org/display\\_file.cfm?doc=ip3\\_canada\\_dissemination\\_cs\\_suderman\\_eca\\_2010.pdf](http://www.interpares.org/display_file.cfm?doc=ip3_canada_dissemination_cs_suderman_eca_2010.pdf)
- April 23, 2010 - "Principles for Long-term Preservation of Digital Records," Digital Preservation Interoperability Framework Symposium (DPIF 2010), 21-23 April 2010. Dresden, Germany.  
[www.interpares.org/display\\_file.cfm?doc=ip3\\_canada\\_dissemination\\_cs\\_suderman\\_dpif\\_2010.pdf](http://www.interpares.org/display_file.cfm?doc=ip3_canada_dissemination_cs_suderman_dpif_2010.pdf)

- March 12, 2009 - "Policies for record content," Seminario Internacional de Archivos y Documentos Electrónicos, 11-13 March 2009. Bogotá, Colombia.  
<http://isinfo.lasalle.edu.co/sia/>
- September 11, 2008 - "Exploring the InterPARES Research Project," Future of Electronic Documents in Mexico International Seminar, 10-11 September 2008. México City, México.  
[www.interpares.org/display\\_file.cfm?doc=ip1-2-3\\_canada\\_dissemination\\_cs\\_suderman\\_mexico\\_2008.pdf](http://www.interpares.org/display_file.cfm?doc=ip1-2-3_canada_dissemination_cs_suderman_mexico_2008.pdf)

#### Tennis, Joe

- August 26, 2011 - "Designed to Work: Metadata Interoperability Across Time, Systems and Conceptions," session 405: 360° Records Management: New Research into Metadata, Systems and People, Society of American Archivists Annual Meeting (SAA 2011), 22-27 August 2011. Chicago, IL, USA.
- June 3, 2011 - "Clarity in Form and Purpose: Metadata Beyond the Schemas," paper presented in session 7c. Round Peg, Square Hole, Association of Canadian Archivists Annual Conference (ACA 2011), 2-4 June 2011. Toronto, ON, Canada.
- September 17, 2010 - "Metadata Developments (1): Interoperability Across Systems, Time, and Conceptions," InterPARES 3 Project, 4th International Symposium, 17 September 2010. Oslo, Norway.  
[www.interpares.org/display\\_file.cfm?doc=ip3\\_canada\\_dissemination\\_cs\\_tennis\\_ip3-isym04\\_2010.pdf](http://www.interpares.org/display_file.cfm?doc=ip3_canada_dissemination_cs_tennis_ip3-isym04_2010.pdf)
- May 29, 2010 - "Metadata: Interoperability Across Systems, Time, and Conceptions," paper presented in Session 4 - Pervasive Issues of Digital Preservation, InterPARES 3 Project, 3rd International Symposium, 29 May 2010. Vancouver, BC, Canada.  
[www.interpares.org/display\\_file.cfm?doc=ip3\\_canada\\_dissemination\\_cs\\_tennis\\_ip3-isym03\\_2010.pdf](http://www.interpares.org/display_file.cfm?doc=ip3_canada_dissemination_cs_tennis_ip3-isym03_2010.pdf)

#### Turner, Janet

- May 29, 2010 - "Fog on the Horizon: Anticipating Digital Acquisitions at NVMA," paper presented in Session 2 - Comparing Apples and Oranges: A Tale of Four BC Cities, InterPARES 3 Project, 3rd International Symposium, 29 May 2010. Vancouver, BC, Canada.  
[www.interpares.org/display\\_file.cfm?doc=ip3\\_canada\\_dissemination\\_cp\\_turner\\_ip3-isym03\\_2010.pdf](http://www.interpares.org/display_file.cfm?doc=ip3_canada_dissemination_cp_turner_ip3-isym03_2010.pdf)

#### Van Damme, Erica and Jennifer Borland

- April 24, 2009 - "Making Archives Digital: The InterPARES 3 Project's Belkin Art Gallery Case Study," Annual conference of the Archives Association of British Columbia (AABC 2009), 24-25 April 2009. Vancouver, BC, Canada.  
[www.interpares.org/display\\_file.cfm?doc=ip3\\_canada\\_dissemination\\_cs\\_van-damme~borland\\_aabc\\_2009.pdf](http://www.interpares.org/display_file.cfm?doc=ip3_canada_dissemination_cs_van-damme~borland_aabc_2009.pdf)

#### van Dijk, Anneleen and Shamin Malmas

- March 11, 2011 - "The Acquisition of Digital Records at Small and Medium Sized Archives in Canada: Survey Research from InterPARES 3," poster session, Celebrate Research 2011, SLAIS Research Day: Information Artefacts & Human Experience, 11 March 2011. School of Library, Archival and Information Studies, The University of British Columbia, Vancouver, BC, Canada.  
[www.interpares.org/display\\_file.cfm?doc=ip3\\_canada\\_dissemination\\_post\\_van-dijk~malmas\\_slais-research-day-2011.pdf](http://www.interpares.org/display_file.cfm?doc=ip3_canada_dissemination_post_van-dijk~malmas_slais-research-day-2011.pdf)



Van Garderen, Peter, P. Jordan, T. Hooten, C. Mumma and E. McLellan

- September 26, 2012 - Workshop: "The Archivemata Project: Meeting Digital Continuity's Technical Challenges," UNESCO conference on The Memory of the World in the Digital Age: Digitization and Preservation, Vancouver, Canada, 26-28 September 2012.  
[www.interpares.org/display\\_file.cfm?doc=ip3\\_canada\\_dissemination\\_cw\\_van-garderen\\_et-al\\_unesco-mow\\_2012.pdf](http://www.interpares.org/display_file.cfm?doc=ip3_canada_dissemination_cw_van-garderen_et-al_unesco-mow_2012.pdf)

Walker, Elizabeth, Adam Jansen (presenters) and Shamin Malmas

- April 17, 2010 - "Preservation and Access System for High Definition Digital Video Archives in Online and Electronic Formats," Annual conference of the Archives Association of British Columbia (AABC 2010): "Our Digital Future," 15-17 April 2010. Vancouver, BC, Canada.  
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Wilson, Lara

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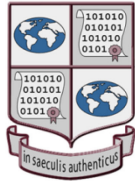
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## Appendix A – Case Study Templates

### Action Item Report Template



# InterPARES 3 Project

International Research on Permanent Authentic Records in Electronic Systems

TEAM Canada

**Title:** Case Study ## – Test-bed Name - Case Study  
Title: Workshop 03 Action Item ## – Action Item  
Title

**Status:** Draft (restricted)

**Version:** ##

**Submission Date:** March 2009

**Release Date:**

**Author:** The InterPARES 3 Project

**Writer(s):** Your name  
School of Library, Archival and Information Studies,  
The University of British Columbia

Your name  
School of Library, Archival and Information Studies,  
The University of British Columbia

**Project Unit:** Research

**URL:** [http://www.interpares.org/display\\_file.cfm?doc=ip3\\_canada\\_cs##\\_action\\_##\\_wks03\\_v#-#.doc](http://www.interpares.org/display_file.cfm?doc=ip3_canada_cs##_action_##_wks03_v#-#.doc)

## Document Control

Version history			
<u>Version</u>	<u>Date</u>	<u>By</u>	<u>Version notes</u>
##	YYYY-MM-DD	J. Doe	Discussion draft prepared following identification of action items for CS## at TEAM Canada Plenary Workshop 03.

**Action ##:** <Paste the text of the action item—copied from the Workshop #xx “Action Items and Decisions” document available on the restricted site at [http://www.interpares.org/rws/display\\_file.cfm?doc=ip3\\_canada\\_wksxx\\_action\\_items\\_FINAL\\_vx-x.pdf](http://www.interpares.org/rws/display_file.cfm?doc=ip3_canada_wksxx_action_items_FINAL_vx-x.pdf).—here and add the page number to the footnote below.><sup>2</sup>

Report text goes here...

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<sup>2</sup> InterPARES 3 Project, “TEAM Canada Plenary Workshop #xx: Action Items and Decisions,” #. Available at [http://www.interpares.org/rws/display\\_file.cfm?doc=ip3\\_canada\\_wksxx\\_action\\_items\\_FINAL\\_vx-x.pdf](http://www.interpares.org/rws/display_file.cfm?doc=ip3_canada_wksxx_action_items_FINAL_vx-x.pdf).

## Appendix #: Appendix Title

<as applicable>

## Case Study Report Template

November 2007

**Case study reports** should contain the following sections, keeping in mind that strategies and plans of actions will be developed on the basis of the information herein provided:

- A. Overview**
- B. Statement of Methodology**
- C. Description of Context**
- D. Narrative answers to the applicable set of questions for researchers**
- E. Narrative answers to the project's applicable research questions**
- F. Bibliography of relevant material, including articles about the methods and works of the subject(s)**
- G. Glossary of terms**
- H. Activity model, if applicable**
- I. Diplomatic analysis of records, if applicable**
- J. Findings, Recommendations and Products, if applicable**

**A.** Give a brief overview of the subject and the nature of the case study.

**B.** Briefly describe the data gathering and analysis methodology employed to achieve the research objective of answering the applicable project's questions and set of questions for researchers. If you have recorded and transcribed an interview, do not include the transcript in the report.

**C.** Describe the relevant context of the case study on the basis of the information gathered using the "Template for Case Study Contextual Analysis." Structure the information according to the five contexts identified by InterPARES:

- a. Provenancial: the creating body, its mandate, structure, and functions (indicators include organizational charts, annual reports, the classification scheme, etc.).
- b. Juridical-administrative: the legal and organizational system in which the creating body (indicated by laws, regulations, etc.).
- c. Procedural: the business procedure in the course of which the digital entity is created (indicators include workflow rules, codes of administrative procedure, classification schemes, etc.).
- d. Documentary: the fonds to which the digital entity belongs and its internal structure (indicators include classification schemes, record inventories, indexes, registers, etc.)  
*Note: In some organizations, business procedures are integrated with documentary procedures.*
- e. Technological: the characteristics of the digital environment in which the record is created and maintained.

These specifications assume a legal and bureaucratic structure that might not be appropriate to all case studies. However, each of these contexts should be addressed at least to the extent

that their inapplicability is documented, and the environment in which digital entities are created and managed, or the framework of action in which they participate, should be described.

**D.** Narrative answers to the applicable set of case studies questions for researchers (see IP3 website address).

**E.** Narrative answers to the applicable project's questions listed at (IP3 website address).

**F.** The bibliography should draw from those bibliographies already created where appropriate, and additionally list any articles or monographs that are of particular relevance to the specific case study.

**G.** The glossary should list and define the key terms used in the case study, both for purposes of possible inclusion in the IP3 Terminology Database, and to allow definitions to be compared with those that already exist in such Database.

**H.** An IDEF0 model will be made, if relevant and needed, following the guidelines provided by the InterPARES 3 Technical Coordinator.

**I.** A diplomatic analysis of records will be conducted if relevant and needed, following the template at (IP3 website address). Only its conclusions should be included in this report.

**J.** The conclusions of Team Canada should be summarized in terms of findings and recommendations, and the products developed (e.g., a policy, a plan of action, functional requirements) should be attached.

## Template for Case Study Contextual Analysis

*December 2007*

The purpose of this template is to enable the gathering of contextual information that is relevant to each case study. Through this exercise, a general overview will be created, which will provide insights into the types of record creators and activities that are being studied.

The template has been structured in two sections. The first concerns the **Test-bed**. The second concerns the **Activities Resulting in the Creation of the Relevant Records**. This latter section is split into two sub-sections, involving the “Administrative and Managerial Framework,” and the “Digital Entity/Entities Under Study.”

### TEST-BED

This information is essential to understanding the test-bed. The focus of the analysis is the immediate administrative context of the case study (e.g., not the Vancouver Police Department, but the office in charge of the records under study).

*If the following is inapplicable to the case study at hand, or unavailable, please indicate wherever possible why this is so. The bullets following each section are an “indication” of the content to be included in the section. Additional content that is not listed among the bullets might be relevant to the understanding of the test-bed; if so, please include it. In some cases, the content indicated might not be relevant to the case study and, as such, will not have to be included. It is always better to be redundant than to miss information which might be necessary.*

#### Name

- Provide the official name and other names of the test-bed

#### Location

- Provide the country, region (example: province, state), and/or city that exerts the most legal influence over the test-bed

#### Origins

- Provide the origins of the test-bed, such as information regarding how and why it began its activities
- Provide the official founding date and/or founding event

#### Legal Status

- Provide the legal status. For example: “for-profit small company,” “research group”
- Provide the year of legal establishment if applicable



- Provide specifics about the most relevant laws under which the test-bed is governed. For example: “copyright legislation,” “Companies Act”
- Provide information about any legal status inherited from other organizations or associations, any other legally required standards, codes or regulations that apply to the test-bed

### **Norms**

- Provide information about any non-legally required standards, methodologies, codes or regulations that are subscribed to by the test-bed
- Provide information about the non-legally required standards, methodologies, codes or regulations from organizations, disciplines, traditions or professional associations that are subscribed to by the test-bed. For example: “archival method”

### **Funding**

- Provide information about the sources of revenue related to case under study. For example: “Grants,” “Ticket sales”

### **Resources (Physical)**

- Provide information about the physical context in which the test-bed is working, including relevant information about equipment and infrastructure. For example: “one office, shared with another group”

### **Governance**

- Provide information about how the test-bed is managed. For example: “cooperative,” “collective,” “partnership”
- Provide information about the organization of the test-bed, also including an organizational chart, if relevant
- Provide information about employees, members or partners (number, areas of specialization, qualifications, turnover)
- Provide information about the test-bed place within an organization, if applicable
- Provide information about any internal policies or regulations

### **Mandate**

- Provide information about the responsibilities of the test-bed given to it through enabling legislation
- Provide information about any stated mandate

### **Philosophy**

*The core of the organizational culture of the test-bed.*

- Provide information about the test-bed vision and values
- Provide information about which genres or disciplines the test-bed relates to. For example: “museology,” “geology”
- Provide information about the schools of thought to which the test-bed subscribes, if these influence its choices and practices

**Mission**

*The stated ways in which the test-bed is working towards the mandate.*

- Provide the mission statement(s), which may have evolved over time

**Policy**

*A formal statement of direction or guidance as to how the test-bed will carry out its mandate, mission, functions or specific activities.*

- Provide the policy statement

**Functions**

- List all of the major functions that the test-bed undertakes to fulfill the mandate/mission/policy. For example: "Administration," "Research," "Preservation," "Training," "Exhibition"

**Recognitions**

- Provide information about any achievements, honours, or prizes that the test-bed has received for its work

## **ACTIVITIES RESULTING IN THE CREATION OF THE RELEVANT RECORDS**

This section is divided into two sub-sections. The first concerns the Administrative and Managerial Framework within which the relevant digital records are created. The second focuses on the digital records themselves. Both sub-sections aim to gather information to allow the characterization of the types of activities and records that are the test-bed's concern.

**Administrative and Managerial Framework**

*If the following is inapplicable to the case study at hand, or unavailable, please indicate wherever possible in the report why this is so.*

**General description**

- Provide a general description of the relevant administrative practices. For example: "The creator must generate both paper and digital blueprints"

**Type of activities**

- List the general types of activities related to the relevant records. For example: "Tracking the movement of suspects," "Writing grant applications"

**Documents resulting from activities**

- List the main types of documents resulting from these activities. For example: "Receipts," "Reports," "Correspondence"

### **Existence of a records management program**

- Provide a description of the existence of activities related to records management
- Provide information about any policies that the creator might have about its records

### **Individuals responsible for records maintenance**

- Provide the name and qualifications of individuals(s) responsible for keeping the records after their creation (records maintenance)
- Provide information about the relationship of the individuals responsible for maintenance to the creation of the records. For example: "Once completed, the author maintains the records on his computer"

### **Existence of maintenance strategies**

*The complex of practical means formally articulated or simply implemented by the test-bed, its plan or a road map for recordkeeping.*

- Provide the location in which the records are kept
- Provide the medium in which records are kept. For example: "Some records are on DVD and some on paper, but the majority is in digital form on the hard drive of each officer."
- Provide a description of the organization of the records during maintenance by the creator. For example: "Records are split, with some records being kept by the contracting party"
- Provide a brief description of any methods used to maintain records
- Provide a brief description of any methods used to attempt to avoid technological obsolescence while the records are still active or semi-active

### **Legal Requirements and Constraints**

- Provide a description of how the relevant laws impact upon the policies and procedures by which *records creating activities* are carried out
- Provide a description of how the relevant laws influence the creation, form, content, identity integrity, organization and maintenance of the records

### **Normative Requirements and Constraints**

*The written or unwritten rules of a specific discipline or area of thought to which the creator subscribes. The written or unwritten rules may not be limited to scientific, artistic and ethical requirements and constraints.*

### **Scientific requirements and constraints**

*Scientific foundations of the discipline with which the creator identifies that require, influence or prohibit certain behaviours.*

- Provide a description of how relevant scientific requirements/constraints impact upon the policies and procedures by which activities are carried out
- Provide a description of how relevant scientific requirements/constraints impact upon the creation, form, content, identity, integrity, organization and preservation of the records resulting from those activities

### **Artistic requirements and constraints**

*Artistic foundations or schools of thought which the creator identifies that require, influence, or prohibit certain behaviours.*

- Provide a description of how relevant artistic requirements/constraints impact upon the policies and procedures by which activities are carried out
- Provide a description of how relevant artistic requirements/constraints impact upon the creation, form, content, identity, integrity, organization and preservation of the records resulting from those activities

### **Ethical requirements and constraints**

*Propriety and rules of behaviour which the body uses or identifies with that require, influence, or prohibit certain behaviours.*

- Provide a description of how relevant ethical requirements/constraints impact upon the policies and procedures by which administrative activities are carried out
- Provide a description of how relevant ethical requirements/constraints impact upon the creation, form, content, identity, integrity, organization and preservation of the records resulting from those activities

### **Technological Requirements and Constraints**

*Technology requirements and constraints related only to the administrative or management function.*

- Provide a description of the equipment used :
  - Architecture (e.g., network topology, infrastructure, hardware)
  - Creation or input tools (e.g., software, camera, microphone)
  - Processing tools (e.g., for example software, console)
- Provide a list of the types of media created (e.g., graphic, textual, audio)
- Provide a list of the formats created (e.g., .pdf, .doc, .jpg)
- Provide a description of how relevant technological requirements/constraints impact upon on the policies and procedures by which administrative activities are carried out
- Provide a description of how relevant technological requirements/constraints impact upon the creation, form, content, identity integrity, organization and preservation of the records resulting from them

### **Digital Entity/Entities under Study**

*If the following is inapplicable to the case study at hand, or unavailable, please indicate wherever possible in the report why this is so.*

#### **General description of the activity**

- Provide the name and type of the digital entity/entities being studied
- Provide a description of the goals and functions of the digital entity/entities
- Provide a description of how the digital entity/entities relates to the creator's mandate, mission(s), policy or functions

### **Type of activities**

- Provide a description of the activities related to the creation of the digital entity/entities

### **Documents resulting from activities**

- Provide a list of documents that enable the activities related to the digital entity/entities. For example: “directives”
- Provide a list of documents that result from the activities related to the digital entity/entities. For example: “digitized images”

### **Existence of maintenance strategies**

- Provide a brief description of any methods used to maintain the digital entity/entities
- Provide a brief description of any methods used to attempt to avoid technological obsolescence

### **Legal Requirements and Constraints**

- Provide a description of how any relevant laws or by-laws impact upon the policies and procedures by which activities related to digital entity/entities are carried out
- Provide a description of how any relevant laws or by-laws impact upon the creation, form, content, identity, integrity, organization and preservation of the digital entity/entities

### **Normative Requirements and Constraints**

*The written or unwritten rules of a specific discipline or area of thought to which the creator subscribes. The written or unwritten rules may not be limited to scientific, artistic and ethical requirements and constraints.*

### **Scientific requirements and constraints**

*Scientific foundations of the discipline with which the creator uses or identifies with that require, influence or prohibit certain behaviours.*

- Provide a description of how relevant scientific requirements/constraints impact upon the policies and procedures by which activities related to digital entity/entities are carried out
- Provide a description of how relevant scientific requirements/constraints impact upon the creation, form, content, identity, integrity, organization and preservation of the digital entity/entities or of the records generated by or from them

### **Artistic requirements and constraints**

*Artistic foundations or schools of thought which the creator uses or identifies with that require, influence, or prohibit certain behaviours.*

- Provide a description of how relevant artistic requirements/constraints impact upon the policies and procedures by which activities related to digital entity/entities are carried out

- Provide a description of how relevant artistic requirements/constraints impact upon the creation, form, content, identity, integrity, organization and preservation of the records generated by the digital entity/entities or of the records generated by or from them

### **Ethical requirements and constraints**

*Propriety and rules of behaviour which the body uses or identifies with that require, influence, or prohibit certain behaviours.*

- Provide a description of how relevant ethical requirements/constraints impact upon the policies and procedures by which activities related to digital entity/entities are carried out
- Provide a description of how relevant ethical requirements/constraints impact upon the creation, form, content, identity, integrity, organization and preservation of the digital entity/entities or of the records generated by or from them

### **Technological Requirements and Constraints**

*Technology requirements and constraints related only to the administrative or management function.*

- Provide a description of the equipment used :
  - Architecture (e.g., network topology, infrastructure, hardware)
  - Creation or input tools (e.g., software, camera, microphone)
  - Processing tools (e.g., for example software, console)
- Provide a list of the types of documentary presentations created (i.e., made or received and set aside or accumulated) (e.g., graphic, textual, audio)
- Provide a list of the formats created (e.g., .pdf, .doc, .jpg)
- Provide a description of how relevant technological requirements/constraints impact upon on the policies and procedures by which activities related to digital entity/entities are carried out
- Provide a description of how relevant technological requirements/constraints impact upon the creation, form, content, identity integrity, organization and preservation of the digital entity/entities or of the records generated by or from them

## Diplomatic Analysis Template

CS[##]

[Title of Case Study] Case Study

### INTRODUCTION

Paragraph 1—Description of the case study in general.

The InterPARES case study # ...

Paragraph 2—Description of the technological environment in which the digital entity(ies) to be analyzed exist.

The ... project/program/system/database ...

Paragraph 3—Identification and general description of the digital entity(ies) to be analyzed

The following text presents the results of the diplomatic analysis on the digital entity(ies) above indicated. The purpose of this analysis is to assess the status of the identified digital entity(ies) as record(s), to determine whether preservation has to focus on the stored or manifested form, and to determine the salient characteristics that need to be protected by a preservation plan.

### IDENTIFICATION OF RECORD(S)

The current version of the InterPARES glossary defines a record as “a document made or received in the course of a practical activity as an instrument or a by-product of such activity, and set aside for action or reference.”<sup>3</sup> This definition implies that, to be considered as a record, a digital entity must present five necessary characteristics: stable content and fixed form, embedded action, archival bond, five persons, and five contexts. The application of the definition on the [digital entity] is therefore analyzed accordingly:

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<sup>3</sup> InterPARES Terminology Database, [http://www.interpares.org/ip2/ip2\\_terminology\\_db.cfm](http://www.interpares.org/ip2/ip2_terminology_db.cfm).

1. **TO BE IDENTIFIED AS A RECORD, THE DIGITAL ENTITY MUST POSSESS STABLE CONTENT AND FIXED FORM,<sup>4</sup> AND BE AFFIXED TO A STABLE MEDIUM (OR PHYSICAL CARRIER).**
  - **The content of the [digital entity] is stable or not and why**
  - **The documentary form<sup>5</sup> of the [digital entity] is fixed or not and why**
  - **The digital entity is affixed to a stable medium or not and why**
  
2. **A RECORD MUST PARTICIPATE IN AN ACTION, DEFINED AS THE CONSCIOUS EXERCISE OF WILL BY A PHYSICAL OR JURIDICAL PERSON, AIMED TO CREATE, MAINTAIN, MODIFY OR EXTINGUISH SITUATIONS. A RECORD IS A NATURAL BY-PRODUCT OF THE ACTION.**

State the name of action that caused the [digital entity] to be created and illustrate how it participates in the action.
  
3. **A RECORD MUST POSSESS AN ARCHIVAL BOND WITH OTHER RECORDS WITHIN OR OUTSIDE THE SYSTEM. THE ARCHIVAL BOND IS DEFINED AS THE RELATIONSHIP THAT LINKS EACH RECORD TO THE PREVIOUS AND SUBSEQUENT RECORD OF THE SAME ACTION AND, INCREMENTALLY, TO ALL THE RECORDS WHICH PARTICIPATE IN THE SAME ACTIVITY.**

State the name of the records or records aggregations with which the [digital entity] possesses an archival bond and the reason why. If no archival bond is identifiable, state whether it should exist or not.
  
4. **RECORD CREATION MUST INVOLVE AT LEAST THREE PERSONS, WHETHER OR NOT THEY EXPLICITLY APPEAR IN THE RECORD ITSELF. THESE PERSONS ARE AUTHOR, ADDRESSEE AND WRITER; IN THE ELECTRONIC ENVIRONMENT, ONE MUST ALSO TAKE INTO ACCOUNT TWO ADDITIONAL NECESSARY PERSONS: THE CREATOR AND THE ORIGINATOR.**
  - **The record's author is the physical or juridical person having the authority and capacity to issue the record or in whose name or by whose command the record has been issued.**

Name the author and explain why
  
  - **The writer is the physical or juridical person having the authority and capacity to articulate the content of the record.**

Name the writer and why.

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<sup>4</sup> Stable content means that the data and the message in the record are unchanged and unchangeable, meaning that data or message cannot be overwritten, altered, deleted or added to. Fixed form means that the record's binary content is stored so that the message it conveys can be rendered with the same presentation it had on the screen when first saved even if its digital presentation is different. If the same content can be presented on the screen in several different ways in a limited series of possibilities, we may have either different views of the same stored record having stable content and fix form (different documentary presentations, e.g. statistical data as a pie chart, a bar chart, or a table, from one digital presentation) or a several manifested records with stable content and fixed form derived from the same stored record. A situation of bounded variability occurs if there is no stored record but content data, form data and composition data that are quite separate and can only be connected by a query, and if changes to the form are limited and controlled by fixed rules, so that the same query or interaction always generates the same result, and we have different views of different subsets of content, due to the intention of the author or to different operating systems or applications.

<sup>5</sup> In the InterPARES Terminology Database, cit., the definition of documentary form reads: The rules of representation according to which the content of a record, its administrative and documentary context, and its authority are communicated. Documentary form possesses both extrinsic and intrinsic elements.



- **The addressee is the physical or juridical person(s) to whom the record is directed or for whom the record is intended.**

Name the addressee and why.

- **The creator is the person in whose fonds the record exists.**

Name the creator and why.

- **The originator is the person to whom the Internet account issuing or the server holding the record belongs.**

Name the originator and why.

**5. A RECORD MUST POSSESS AN IDENTIFIABLE CONTEXT, DEFINED AS THE FRAMEWORK IN WHICH THE ACTION IN WHICH THE RECORD PARTICIPATES TAKES PLACE. THE TYPES OF CONTEXT ARE: JURIDICAL-ADMINISTRATIVE, PROVENANCIAL, PROCEDURAL, DOCUMENTARY, AND TECHNOLOGICAL.**

- **The juridical-administrative context is the legal and organizational system in which the creating body belongs.**

- Juridical context:
- Administrative context:

- **The provenancial context refers to the creating body, its mandate, structure and functions.**

Provenancial context:

- **The procedural context comprises the business procedure in the course of which the record is created.**

*Note that, to describe this context, it might be necessary to model the activities that generate the digital entity(ies) in question.*

- Procedures:
- Diplomatic analysis of Procedural Phases in the Creation of the [digital entity]

a) **Initiative:** The introductory phase of any procedure is “constituted by those acts, written and/ or oral, which start the mechanism of the procedure.”<sup>6</sup>

b) **Inquiry:** This preliminary phase “is constituted by the collection of the elements necessary to evaluate the situation.”<sup>7</sup>

c) **Consultation:** This phase is “constituted by the collection of opinions and advice after all the relevant data has been assembled.”<sup>8</sup>

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<sup>6</sup> Luciana Duranti, *Diplomatics: New Uses for an Old Science*, 115.

<sup>7</sup> Ibid.

- d) **Deliberation:** This phase is “constituted by the final decision-making.”<sup>9</sup>
- e) **Deliberation control:** This phase is “constituted by the control exercised by a physical or juridical person different from the author of the document embodying the transaction, on the substance of the deliberation and / or on its forms.”<sup>10</sup>
- f) **Execution:** “The documents created in this phase are the originals of those embodying the transactions.”<sup>11</sup> In other words, the execution phase results in the issuing of the first record capable of producing the consequences intended by its author.

- **The documentary context is defined as the archival fonds to which a record belongs and its internal structure.**

Documentary context:

- **The technological context is defined as the characteristics of the technological components of an electronic computing system in which records are created.**

Technological context:

## CONCLUSIONS

Overall conclusions of the status of the digital entity under examination:

### If the [digital entity] is not a record:

- Illustrate and explain the status of the digital entity(ies) as either data, a publication or a potential record.
- If preservation is required, describe the salient characteristics that need to be protected by a preservation plan.

### If the [digital entity] is a record:

- Recommend and explain whether preservation has to focus on its stored or manifested form.
- Describe the salient characteristics that need to be protected by a preservation plan.

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<sup>8</sup> Ibid.

<sup>9</sup> Ibid.

<sup>10</sup> Ibid.

<sup>11</sup> Ibid., 116.

## Appendix B – Research Questions

### Policy Case Study Questions

1. How are policies generally developed, and what is the context within which they are being developed (e.g., accountability)?
2. What collaborative efforts (either internal, among units of the organization, or external, in collaboration with other organizations or teams of experts) are made to design and establish a policy?
3. Who is responsible for issuing a records/archives policy?
4. Who is responsible for implementing a records/archives policy?
5. What are the procedures for ensuring that all the concerned parties are aware of, comprehend and apply the records/archives policy?
6. Who is responsible for auditing the implementation of the records/archives policy?
7. What is the relationship between the archives and the records creator(s)? (e.g., are they collaborating in records creation and management? If not, does the archives issue a retention and disposition schedule?)
8. What is the relationship between units that are involved with records/archives creation and management (e.g., archival and IT personnel, records creating departments and IT)? Do they collaborate? If so, by what means? How frequently?
9. To what extent do existing policies, procedures, and standards currently control or influence records creation, maintenance, preservation or use? Do they need to be modified or augmented?
10. What legal, moral (e.g., control over artistic expression) or ethical obligations, concerns or issues exist regarding the creation, maintenance, preservation or use of the records?
11. Does the archives have a record/archives policy for traditional records? If yes, when was it issued and how often is it revisited? If yes, is it fully implemented? If yes, does it fulfill the archives needs and purposes?
12. If the archives does not have a records/archives policy, what procedures or informal processes does it carry out to handle transfers of records, to process and preserve them?
13. How many staff members does the archives have? What are their qualifications and competences?
14. Who are the primary or exclusive users of the archives?
15. How many records does the archives receive each year?
16. Does the archives already hold digital material? If yes, what type of material, and how has it been processed and preserved? If not, what digital material does the archives expect to receive and when?

17. If the archives currently preserves digital material, what is its primary method for this preservation (e.g., copying, migration, emulation, etc.)? How frequently does the archives attend to these digital materials?
18. What are the knowledge and financial resources of the archives? What are its technological capabilities, if any? What are the future expectations for resources and technical capabilities?

## Recordkeeping Systems Case Study Questions

1. Does the creating body have a recordkeeping system in place for its traditional records? If yes, what are its components (e.g., classification system, retention and disposition schedule)? If not, does it have specific control instruments, such as indexes?
2. Does the creating body want to establish an integrated and centralized digital recordkeeping system, controlling all records of the organization in all media and form? If yes, what are the separate records creating units that would share the system? If not, does the creator want separate records systems for digital and traditional records, or does it want separate recordkeeping systems for each unit?
3. What are the system(s) within which the records are presently created (e.g., functionality, software, hardware, peripherals, etc.)?
4. From what applications would the recordkeeping system(s) inherit or capture the digital records and the related metadata (e.g., e-mail, tracking systems, workflow systems, office systems, databases, etc.)?
5. Are the digital records that will be captured in the recordkeeping system already organized in a way that reflects the creation processes? What is the framework (e.g., functional classification), if any, for organising them?
6. Who needs to have access to the records controlled by the recordkeeping system and their metadata?
7. Has the creating body, with or without the archives, already defined the intellectual and technological components and/or functional requirements for the recordkeeping system? If yes, what are they? If not, what are the fundamental requirements and the necessary components that would have to be implemented in such a system?
8. What descriptive or other metadata schema or standards are currently being used in the creation, maintenance, use of the digital records?
9. What are the financial resources and technical capabilities of the creating body?
10. What are the issues specific to the records of this creating body in relation to accessibility, security, data privacy, and FOIA?
11. With respect to the recordkeeping system represented in the InterPARES 2 Chain of Preservation model, what level of complexity is needed by the creating body

## Records Research Questions

1. Which activities generate these digital records?
2. For what purpose(s) are these digital records created?
3. Who are the intended users of these digital records?
4. What are the key formal elements, attributes, and behavior (if any) of these digital records?
5. What metadata is manually added to the records by their author and their creator? What metadata is automatically generated and attached to the record?
6. In what formats do the digital records exist (e.g., Word or Excel files, .TIFF images, .wav files, etc.)?
7. What are the digital components of these digital records?
8. How are these digital records identified (e.g., is there a [persistent] unique identifier)?
9. What measures does the creator take to ensure the accuracy, reliability and authenticity of the digital records and their documentation?
10. Once a digital record is created, how is it handled? That is, where is the record stored (e.g., the creator's desktop, sent to an information system, printed, etc.)?
11. How are changes to these digital records made and recorded?
12. Are these digital records linked by an archival bond to records on other media? If yes, what records? How is their relationships made explicit?
13. If the archives has the records in custody, when and how were they acquired? How were they processed? How are they preserved?
14. If the archives does not have the records in custody, when does it expect to receive them?