



Developing Policies for Digital Preservation

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An overview

- Some observations from practice
- Scope and objectives
- What is a policy?
- Implementation issues
- Summary

What does practice tell us?

- Case studies conducted of over 60 organisations interviewed
- Different sectors (private companies, government)
- Objective: to acquire insight in what organisations are doing and what triggers them to do things

Insights gathered (1)

- Few organisations have a policy or are just starting to think about it
- Where there were policies interviewees acknowledged they were not always implemented across organisations
- Most policies not comprehensive, but fragmented
- Standards and guidelines developed by other communities often considered as not attractive

Insights gathered (2)

- Awareness still an issue, as is therefore funding
- Position of records or archives department weak
- Level of knowledge and expertise an issue
- Few organisations articulate preservation strategies as part of system and software specifications
- Often IT-driven

Insights gathered (3)

- Driver: nature of business important, re-use, economic benefits, competitive advantage, legal compliance
- Primary Business (e.g. banking, EPO, meteorological institutes, broadcasting, pharmaceuticals, news agencies)
- Bureaucratic organisations relatively slow



Preliminary conclusions

- Activity is fragmentary: practices tend to be *incomplete, ad hoc, and individual*
- Preservation not a separate issue, but an aspect of information management
- In order to be effective: integration needed
- Period of transition: requires change management



Some relevant ERPANET workshops (1)

- Policies (Fontainebleau)
 - Business-oriented, comprehensive, embedded
 - At different levels (organisation, national, international)
 - Collaboration between different actors: interdisciplinary
 - Knowledge and skills: training and research needed



Most relevant ERPANET workshops (2)

- Audit and Certification (Antwerp)
 - Powerful tool
 - Necessity of having/choosing frameworks to audit against
 - Supports continuous process of improvement (e.g. IMCC)
 - Supports transparency
 - Certification additional layer of authority

Available frameworks

- ISO 15489:2001 Records Management Standard (including ISO 23081-1:2004 Principles of RM metadata)
- Several sets of guidelines (NAA, TNA, Library and Archives Canada)
- Many sets of metadata (Austr. RKMS, DCMI, preservation metadata, METS,...)
- Open Archival Information System (OAIS; ISO 14721:2002)
- Methodologies for designing and implementation (e.g. DIRKS)

Records Management: ISO 15489:2001

- Roles and responsibilities
- Identification of requirements
 - records and record systems
- Design of procedures and systems
- RM processes and instruments
- Training
- Evaluation and Audit

THE BIG CHALLENGE

Lot of things available, **but**

How to make it work in a coherent way in relation to the requirements of an organisation (either government, commercial or cultural heritage institution)?

Understanding the IM context

- Business process
- Related activities performed on information
 - create, use, manage/organise, appraise
- Policies, people, systems, processes/ procedures and standards
- Regulatory framework, mandate, accountability

From policy to implementation

- Having a policy is one thing, but how to implement it?
 - No one starts from scratch
 - Identify where the organisation is
 - Identify where the organisation needs/ wants to be
- Information Management Capacity Check (IMCC, Canada)
 - Capacity assessment (who, what, how)
 - Levels of maturity (identifying the target)

Implementation issues (1)

- Cultural and organisational aspects
- Getting attention - acknowledgement from management
- How to get acceptance from staff?
- Training and professional development
- What is business oriented and what specifically records management?

Implementation Issues (2)

- Electronic recordkeeping: what is different?
 - More integrated
 - Invisible?
- Centralised - decentralised (opportunities enabled by IT)
- Maintaining adequacy: quality management
- Continuous monitoring and evaluation

Implementation issues (3)

- Building a business case
- Risk management (business, value of information)
- Structured approach (cf. DIRKS) starting with situation analysis (business context, internal developments, legal and business requirements)

Summary (1)

- Period of transition: organisations still in orientation phase
 - Understanding the business (and IT) in a changing context
 - Identifying business case
 - Identifying suitable approach
 - Identifying what is available and possible
 - Customising and adapting it

Summary (2)

- Change of focus needed
 - Focus on integration (awareness, business)
 - Re-positioning RM (confidence, services)
 - Need for interdisciplinary approaches
 - Training (professional development)
 - and it will be

a never ending cycle!