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Authors Summary
Introduction

This year’s annual conference programme offers a balanced and rounded exploration of the main subject themes: the security and preservation of information; information, particularly civil rights information, access to it and protection from unauthorised access; and Open Data. Once again the ICA membership have demonstrated their enthusiasm for the themes and for the opportunity to come together and discuss these topical professional matters with the ICA network. Conference goers will be able to hear what the leading experts and practitioners from around the world have to say about the connection between rights and responsibilities with respect to access to government information and protection of personal data. Other topics include ensuring the reliability and authenticity of digital records and collaborative approaches to emergency situations.
Members of the ICA 2015 Programme Committee

Co-Chairs:
Eiríkur Guðmundsson, Conference Host and Henri Zuber, VP Programme

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Members of the Local Committee

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Genetics of Functions and Dysfunctions of The Brain

Kári Stefánsson

deCODE, Iceland

One of the reasons that research into the pathogenesis of the diseases of the brain has proven difficult is that we have limited understanding of the basic physiologic functions that are perturbed by these diseases. Hence, one of the ways to study the diseases of the brain is bound to go through the study of functions such as cognition. I will discuss how we have used results from studies of the genetics of diseases that affect cognition to begin to probe the nature of cognition and cognitive derivatives such as creativity and educational attainment. Another problem facing those who want to study the genetics of diseases of the brain and I will discuss is rooted in the contribution of de novo mutations in their pathogenesis. I will also discuss variants in the sequence of the germline genome that we have discovered that affect the risk of Alzheimer’s Disease and influence the course of age related cognitive decline.

Biography

Kári Stefánsson, deCODE

Kári Stefánsson, M.D., Dr. Med. has served as President, Chief Executive Officer and a Director since he founded deCODE genetics in August 1996. Dr. Stefánsson was appointed the Chairman of the Board of Directors of deCODE genetics in December 1999. From 1993 until April 1997, Dr. Stefánsson was a professor of Neurology, Neuropathology and Neuroscience at Harvard University. From 1983 to 1993, he held faculty positions in Neurology, Neuropathology and Neurosciences at the University of Chicago.

Dr. Stefánsson received his M.D. and Dr. Med. from the University of Iceland and is board-certified in neurology and neuropathology in the United States. He has published numerous articles on the genetics of common/complex diseases and has been among the leaders of the world in the discovery of variants in the sequence of the human genome that associate with the risk of common/complex traits.

Dr. Stefánsson was chosen by Time magazine as one of the 100 most influential men of the year for 2007 and by Newsweek as one of the 10 most important biologists of the 21 century. He was the recipient of the Jakobus Award 2007, The World Glaucoma Association Award for present scientific impact 2007, The European Society of Human Genetics Award 2009, and The Andre Jahre Award 2009.
The importance of archived information in cases of miscarriage of justice

Gísli Guðjónsson
Forensic Psychology at King’s College London, United Kingdom

Archived information refers to a long-term storage of files that are no longer in active use. The basic premise behind this presentation is that archived information is often crucial in correcting injustices and the author sets out to show how by reference to specific case examples. Wrongful convictions do frequently occur and since 1989 there have been 330 DNA exonerations in the USA and the convicted persons served on average 14 years in prison before their conviction was overturned. The DNA results from wrongfully convicted persons are typically dependent on archived forensic crime scene evidence for comparison purposes. DNA exonerations only represent a small proportion of cases of miscarriage of justice and in England cases that go before the Court of Appeal are often heavily dependent on archived material, such as exculpatory evidence, sometimes suppressed at trial by police and prosecution, or material that was not used at trial for a variety of reasons. This includes alibi evidence, witness statements, and medical records/reports. Sometimes crucial exculpatory material from the records goes ‘missing’ or has been destroyed. It is essential that archived material is stored in secure place, in an organized manner, and safe from interference or deterioration.

Biography

Gísli Guðjónsson, Forensic Psychology at King’s College London

Gísli Guðjónsson is an Emeritus Professor of Forensic Psychology at the Institute of Psychiatry of King’s College London and a Professor of Psychology at Reykjavík University.

Professor Guðjónsson is viewed as having developed forensic psychology as a scientific discipline and his work, including his testimony in landmark cases in Britain and elsewhere, has significantly enhanced legal practice with regards to human rights of the accused, police training and confession evidence.

He is internationally recognised for his pioneering research into the measurement and application of interrogative suggestibility, psychological vulnerabilities and false confessions, which has stimulated extensive research and been applied to forensic and legal practice worldwide. Professor Guðjónsson has also made a large contribution to the role of psychologists as expert witnesses and has contributed significantly to the training of clinical and forensic psychologists, doctors, police officers and lawyers.

Prior to his retirement from King’s College on 1st January 2012 Professor Guðjónsson was the Head of Forensic Psychology Services for Lambeth Forensic Services and Medium Secure Services at the South London and Maudsley NHS Trust (SLaM). He is a Chartered Psychologist and a Fellow of the British Psychological Society, a registered practitioner (clinical and forensic) with the Health & Care Professions Council (HCPC) and an honorary consultant clinical and forensic psychologist at Broadmoor Maximum Security Hospital.

Professor Guðjónsson was awarded an Honorary Doctorate in Medicine in 2001 by the University of Iceland for services to forensic psychiatry and psychology. In April 2009 the British Psychological Society presented him with a Lifetime Achievement Award for his exceptionally significant and sustained contribution to the practice of psychology. He was awarded the European Association of Psychology and Law (EAPL) Life Time Achievement Award for 2012. Professor Guðjónsson was appointed a Commander of the Order of the British Empire (CBE) in the Queen’s Birthday 2011 Honours List for services to clinical psychology.
Conserver à long terme et réutiliser durablement les archives électroniques de l’Etat du Valais

Alain Dubois
Archives de l’Etat du Valais, Switzerland

Les Archives de l’Etat du Valais (Suisse) mènent depuis 5 ans un projet de dématérialisation des processus administratifs et de mise en œuvre d’un système de records management électronique auprès des unités administratives de l’Etat du Valais. Parallèlement, elles ont développé une plate-forme de pérennisation et d’archivage pour la conservation à long terme des documents et des données produits par ces unités administratives et un standard d’échange entre ces deux outils (Matterhorn METS Profile). C’est ainsi qu’elles ont progressivement mis en œuvre au cours de ces dernières années des outils qui permettent de gérer l’ensemble du cycle de vie des documents électroniques, de leur création à leur archivage définitif, dans une perspective de records continuum.

Notre communication se déroulera en deux temps. Nous montrerons, dans une première partie, comment nous gérons sur le long terme les archives administratives ainsi constituées, en présentant non seulement le processus d’extraction des documents, des données et de l’information de description et de pérennisation du système de records management électronique, d’exportation dans le standard d’échange et d’ingest sur la plate-forme de pérennisation et d’archivage, mais aussi la stratégie mise en œuvre pour les gérer à travers le temps. Nous présenterons, dans une seconde partie, les résultats d’un projet en cours qui vise à améliorer la qualité de la description des archives électroniques. En nous fondant sur les réflexions actuelles au niveau international, notamment autour du concept de « Record in Context », nous nous proposons, en effet, de réviser le modèle développé dans le cadre du Matterhorn METS Profile, en mettant un accent particulier sur l’amélioration de la description du contexte de création des documents et des données. Dans ce cadre, nous étudions, entre autres, l’intégration systématique à la description des archives électroniques, en nous fondant sur les technologies du Linked Data, des ressources d’information existantes, qu’elles soient internes à l’Etat du Valais (bases de données et registres) ou externes (VIAF, Wikipedia, dhs.ch ou encore swisstopo). Au final, notre objectif est de développer un modèle d’information qui propose des archives très bien décrites du point de vue du contexte de création, nativement alignées sur différents référentiels et mises sans doute à disposition en RDF, afin de permettre leur intégration à différents portails administratifs et patrimoniaux et contribuer ainsi à leur réutilisation durable.

Biography

Alain Dubois, Archives de l’Etat du Valais

Directeur des Archives de l’Etat du Valais (Suisse), Alain Dubois a notamment été chargé de la mise en œuvre de plusieurs projets en matière de gestion de l’information sous forme électronique: plate-forme de pérennisation et d’archivage, conforme au modèle OAIS, projets de records management électronique et de dématérialisation de processus d’activité, ainsi que définition d’un standard d’échange entre les systèmes de gestion de l’information et la plate-forme de pérennisation et d’archivage (Matterhorn METS Profile). Il a également assuré la responsabilité de la cellule e-culture du Service de la culture. Cette structure, qui regroupe les Archives de l’Etat du Valais, la Médiathèque Valais et les Musées cantonaux, coordonne les pratiques et mène des projets transversaux en lien avec les technologies numériques et relatives à la collecte, à la conservation, à la mise en valeur et à la promotion du patrimoine culturel valaisan et des ressources qui lui sont associées.
Recognition for the economic contribution of archives: inclusion in EU member state law on re-use of public sector information

Malcolm Todd
The National Archives, United Kingdom

The implementation of the revised Directive on the re-use of public sector information in EU Member States in 2015 brings most public archives within the re-use regime for the first time. This creates opportunity and challenge. On the one hand it is a cognate recognition in the law of the Union of the role archives and archival collections can play in realising economic as well as social and cultural benefits through increased re-use rights for archives users. At the same time, the sector as a whole needs to be prepared for an increased level of scrutiny and, at times, challenge.

EU policy has granted cultural bodies certain defined but important derogations from the prevailing mandatory and non-discriminatory PSI regime as the model for bringing them into the PSI re-use regime.

The presentation will describe the overview of the updated PSI regime - including its relationships with access and copyright law - and how the derogations for cultural bodies such as archives are articulated, including why. It will then move on to describe recommended next steps drawing on feedback we have received from archives in the UK sector whom we have consulted to support their preparations for transposition in the preparation of guidance.

National and other large archives have, like other cultural institutions, frequently diversified into commercial ventures to raise revenue. Examples are publishing subsidiaries or spin offs and digitisation licensing partnerships. For these the changes mean little change, apart from the need to respond to likely challenge regarding any exclusive arrangements which are permitted by the Directive by exception, but denigrated in the public sector more generally.

For smaller or hitherto less developed archives, there is a choice of not permitting re-use. This is an option, but has some pay-offs.

Remaining exclusive arrangements are permitted by cultural organisations where there is a clear public interest justification. In addition, the Directive seeks to avoid creating perverse incentives not to increase access to cultural resources through digitisation partnerships by taking away what for many is an established route: a partnership with a single licensee. A future Directive may be less generous in these respects and archives should recognise the direction of travel to be better equipped for the future.

The National Archives leads on public sector information and Crown copyright policy in the UK as well as being the archives of the state and the courts.

Biography

Malcolm Todd, The National Archives

Malcolm Todd has held a number of archival and information management roles at The National Archives and the Westminster Parliament and is currently Head of Information Policy.
Improving interoperability and tool reuse through a common Information Package for archival submission

Tarvo Kärberg¹, Angela Dappert¹, Anders Bo Nielsen³

¹The National Archives of Estonia, Estonia
²University of Portsmouth, United Kingdom
³The Danish National Archives, Denmark

According to the OAIS (Open Archival Information System) reference model a Submission Information Package (SIP)¹ is ‘an Information Package that is delivered by the producer to the OAIS for use in the construction or update of one or more AIPs (Archival Information Packages) and/or the associated Descriptive Information’. ¹² Unfortunately, many different SIP formats are used all over the world and, according to the E-ARK (European Archival Records and Knowledge Preservation) Report on Available Best Practices,¹³ no common format for a SIP exists which could cover all individual national and business needs. The E-ARK project has developed an E-ARK SIP specification that defines a core structure and main metadata elements. It can be adopted and shared by institutions resulting in reusability of software modules such as an E-ARK SIP creation tool or a SIP validator. The structure of the E-ARK SIP is very flexible and it allows holding any type of data due to the modular structure of the SIP data model. The model describes the package submitted to the archive, which consists of submitted content and metadata. The metadata describes the SIP package itself, as well as descriptive, preservation, technical, and other metadata describing the submitted content. The content consists of data and additional documentation. This follows the principles that metadata should be stated explicitly in the SIP rather than be buried in the content and that submitted content requires some additional documentation to provide the necessary context.

Besides this common specification two specific implementation profiles have been created for structured content (databases) and records management applications.

The E-ARK database SIP profile is based on the SIARD format which has been extended to address some crucial scalability issues. The project will also deliver an open source tool - the Database Preservation Toolkit⁴ - to extract data from live databases, create the SIP and validate it.

The E-ARK records management SIP profile has been created based on the MoReq 2010⁵ framework and allows describing the core elements of a records management application and the records themselves in a standardised manner. To support the format a records export workflow has been developed and will be implemented on top of the open-source Alfresco⁶ content management system.

¹ D3.2 E-ARK SIP Draft Specification
² Reference Model for an Open Archival Information System
³ D3.1 E-ARK Report on Available Best Practices
⁴ KEEPS, http://keeps.github.io/db-preservation-toolkit/
⁵ MoReq 2010 Specification
⁶ Alfresco Document & Enterprise Content Management

Biography

Tarvo Kärberg, The National Archives of Estonia

Tarvo Kärberg (Master: information technology; Tartu) works as a software project manager at the National Archives of Estonia, being responsible for software projects of digital preservation software since 2007. He has passed the Estonian national certification as an archivist and is academically involved in teaching a course on digital archival holdings and electronic document management at the University of Tartu. His interest focuses on the theory and methods of collecting and preserving digital codified knowledge.
The European co-funded E-ARK project (European Archival Records and Knowledge Preservation) aims to develop an overarching methodology for curating digital assets. This methodology addresses business needs and operational issues, proposing a technical wall-to-wall reference implementation for the core OAIS flow - Ingest, Archival Storage and Access. The ambition is that this methodology becomes the international gold standard so that archival institutions can hand-pick single components, e.g. access presentation tools, or plug in the whole reference implementation and be ready to do OAIS compliant digital archiving.

The project consists of multiple partners, ranging from public sector stakeholders through software vendors to the scientific community and member organisations. The project runs for three years and ends in January 2017.

The focal point of the article is the Access part of the OAIS flow and particularly the construction of a format for Dissemination Information Packages (DIP).

To set the stage, the article initially describes the technical solution. The Archival Information Package (AIP), which is suited to long-term preservation, will for example have to be transformed via a series of automated and manual interactions into an accessible, user-friendly digital asset (the DIP), which can, for example, be designed for data mining purposes.

Unsurprisingly, before this AIP to DIP conversion can take place, the design of the DIP format is necessary.

To this end, four main iterations were undertaken to conceive the DIP format: identification of user needs; gathering of requirements from other relevant sources; assuring consistency between Submission Information Package (SIP), AIP and DIP; and development of a requirements specification that came into existence via a series of scoping activities: Illustrating the Access process; building use cases; identifying constraints and quality goals; specifying technical requirements.

The article proceeds to describe the resulting DIP and its possible uses.

This naturally leads into the discussion about the legal framework that surrounds the digital assets of the archives: However perfect the technical solution is, access rights often inhibit even minimal usage of the wonders of data mining. Consequently, our archival institutions’ end-users are not able to profit from the digital assets - which are not assets if they remain unused - and the crucial increase of their value will stay close to naught.

This is a growing challenge for the stakeholders that revolve around digital curation, because archives, funders and digital curation vendors alike will not invest as long as the legal framework prevents progressive business cases.

**Biography**

**Alex Thirifays, Danish National Archives**

Alex Thirifays is a digital preservation specialist at The Danish National Archives. He obtained his MA in history in 1999, and has been working as an IT consultant for 6 years. He is now working with digital curation, particularly on economics of digital curation, on development of methodologies for Ingest, Archival Storage and Access as well as on strategic issues. He has co-developed the Cost Model for Digital Preservation (CMDP) and published several papers and reports on this and other work pertaining to digital curation. He participated as Work Package leader in the European funded project, the Collaboration to Clarify the Costs of Digital Curation (www.curationexchange.org), and is currently Work Package leader in another European funded project, namely the E-ARK project (European Archival Records and Knowledge Preservation - http://www.eark-project.com/) on the standardisation of Information Packages and development of methodologies and tools within the archival lifecycle.
Report on a survey of archive buildings across the ICA membership

Jonathan Rhys-Lewis,1 France Belaisch,2 Saroja Wettasinghe3

1Self-employed, United Kingdom
2Service Interministériel des Archives de France, France
3The National Archives of Sri Lanka, Sri Lanka

The ICA Expert Group on Archival Buildings and Environments has carried out a survey of ICA members to gather information and data on the current standard of buildings across the membership and in addition has sought to identify the level of environmental monitoring currently being undertaken. The baseline approach of the survey has concentrated on the fact that collections care and preservation will be ineffective if buildings are not maintained. In addition, understanding the effect of environmental conditions on collection materials is vital, and this can only take place if those responsible for the long-term preservation of archival collections have appropriate levels of data to inform decisions on the management of the storage environment.

This information can then be used to develop prioritised programmes for extending protection for the collections, including packaging, remedial conservation and specialised storage of sensitive archival formats.

The survey has also included an assessment of security, storage and collection management provision. The presentation will set out the purpose of the survey; it will outline the key areas of focus, and provide information on the survey process. The main part of the presentation will focus on the data gathered and present graphs and analysis of the findings; in addition any areas of concern and/or conflict arising out of the question-based survey will be discussed. The paper will then present conclusions, suggestions for further work and seek input from any members who were not able to take part. The paper will also include a brief update on this new Expert Group and present the current work programme.

Biography

Jonathan Rhys-Lewis, Self-employed Consultant

I am a self-employed, preservation and collections management consultant with over 25 years experience. My work primarily focuses on the UK providing guidance to a range of organisations across the private, public and University sectors. I have held office on a variety of professional committees, including executive and special interest positions, and most recently have been appointed chair of the International Council on Archives Expert Group - Archive Buildings & Environments. I am also co-author, with Dr. Helen Forde, of the second edition of the successful book Preserving Archives, published by Facet in March 2013. I am an Honorary Lecturer delivering the Curation & Stewardship and Advanced Preservation modules as part of the Diploma/MA in Archive Studies and Records Management at University College London. My international work has included successful consultancy missions in France, the Netherlands, The Gambia, Uganda, Kenya, Sierra Leone, Macau and Vietnam.
Balancing Security and Access: the need to communicate across borders

Tim Harris
London Metropolitan Archives, United Kingdom

This paper seeks to discuss the fundamental challenges of security in a profession committed to providing access to archives. Drawing on the experiences of archive institutions responding to significant thefts from their collections it will seek to answer the question how do archives manage the security risks relating to their collections? The strengths and weaknesses of various approaches to managing risk will be discussed whilst recognising that there is no 'one size fits all' solution to present to archive managers.

The importance of raising awareness of security implications. How do law enforcement agencies respond to archive trafficking and theft and how can judicial authorities be better informed about the value of archives in heritage terms as well as monetary value? How well prepared are archive institutions for the harsh reality of loss? What more could be done to design better security measures?

The increasingly international crime networks using more sophisticated or non-traditional methods of theft require a more coordinated response through archive security networks and links to other heritage networks. The ways in which these could work will be explored, along with the potential development of a role for the proposed ICA Expert Panel on Archive Security and Trafficking.

The current work of the UK and Ireland’s Security and Archives Group addresses many different security issues and looks to work on identifying future challenges such as cyber security which has recently been added to the remit of the Group. The discreet way in which the Group works alongside the Metropolitan Police’s Art and Antiques Unit will be discussed as a model for effective liaison with exchange of expertise.

The paper will be illustrated by real examples of archive thefts and dilemmas facing archives in trying to restore stolen items to their collections with some practical guidelines as to what principles should be followed when working with fellow professionals and stakeholders.

Overall the paper will seek to raise awareness of security issues affecting all archives and ways in which risks can be minimised and mechanisms like security networks can be used to counteract an increasingly international activity in archive theft and trafficking.

Tim Harris, Chair of ARA UK and Ireland, Security and Access Group

Biography

Tim Harris is Head of Access and Buildings at London Metropolitan Archives. A graduate of Oxford University he undertook an M.A. in Archive Studies at University College London. He has worked in City archives for 30 years with a specialism in buildings. He is Secretary of ICA/SLMT and a founder member of the ICA Expert Group on Archive Buildings and Environments. For the Archives and Records Association UK and Ireland he is Chair of the Security and Access Group which runs security roadshows to raise awareness of security issues in archives.
The UNESCO PERSIST Project

Fred van Kan
Gelders Archief, Nederland

The UNESCO PERSIST Project started in 2013 and aims to foster a high-level policy dialogue between heritage institutions (in the broadest sense of the term), government and ICT-industry on digital preservation under the aegis of UNESCO’s Memory of the World Programme. Heritage institutions feel overwhelmed by the problems of digital preservation when documents come into their custody at the end of their life cycle. They want the voice of archives and libraries to be taken into account much earlier, when the industry creates the digital formats of the future. UNESCO is uniquely placed to bring all stakeholders for this policy dialogue together.

This lecture provides an overview of the current developments within the project.

Biography

Fred van Kan, Gelders Archief

Fred van Kan (The Hague, 1957) studied history. He obtained his Ph.D. on a study of the elite of Leiden in the Middle Ages. Since 1991 he works in the archival sector, currently as managing director of the Gelders Archief in Arnhem, The Netherlands. This archives has moved in 2013 to a brand new building with repositories for 45 linear kilometers of archives and facilities for the storage of digital records. Fred van Kan was president of the KVAN, the Royal Dutch Association of Archivists (2006-2014). Currently he is president of ICA SPA, the Section of Professional Associations of the International Council on Archives and deputy chair of the technology task force of UNESCO PERSIST.
Developing professional supervision in Faroese risk society

Sámal Tróndur F. Johansen
Faroese National Archives, Faroese Cultural Heritage, Faroe Islands

During the last 20 years or more the Faroese National Archives has been faced with several new challenges, threats or risks, which have forced the archives to change their modus operandi. Many of these challenges are connected to fundamental changes in society as a whole and in particular changes in government and technology. Due to these changes in society the traditional role of the archives as a ‘passive receiver’ of governmental records are over and instead the archives have become a pro-active supervisor of the government. This transformation has not been easy and it’s not finished yet, but it’s a fundamentally necessary transformation if we are to preserve the records of today for the future. Through concrete examples this paper presents how the Faroese National Archives, an archives with limited resources, tries to develop in order to meet the threats of the new risk society.

Biography

Sámal Tróndur F. Johansen, Faroese National Archives, Faroese Cultural Heritage, Faroe Islands

Sámal Tróndur Finnsson Johansen has been the National Archivist of the Faroes since 2003. Since 2011 he has been the executive director of the Faroese National Archives and a member of the direction of Faroese National Heritage. He is also the manager of ‘The Faroese Genealogy Register’ as well as the web-master of www.history.fo.

His work, since he became the National Archivist, has mainly been to modernize the National Archives. The major task has been to bring the Archives out of its traditional role as a ‘passive receiver’ of records and instead become a ‘pro-active supervisor’ of government. One of the features of this modernization process has been to establish a systematic supervision of governmental authorities. Sámal Tróndur Finnsson Johansen is a historian and a geographer. His main research areas are ‘Faroese Cold War History’, ‘Urban History and Planning’, ‘Sports History’ and the ‘Faroes during the late 18th century’.
In 2000, World leaders promised to halve poverty by 2015 with a global plan called the Millennium Development Goals (MDGs). Real progress has been made: the number of people living in poverty has fallen to half the level in 1990. Yet 1.4 billion people still live in extreme poverty. Much remains to be done to eradicate poverty and boost shared prosperity, so world leaders are again gathering to consider the goals for the coming 15 years. Seventeen new post-2015 Strategic Development Goals have now been set. Among them is Goal 16, which is to ‘Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions.’ This paper considers how progress on Goal 16 will depend upon the availability of trustworthy records, reflects upon the recordkeeping challenges, and emerging policy responses, especially arising from a changing global technology and communications landscape, and calls for development of a rigorous approach to benchmarking archival and recordkeeping practice and tracking progress in this important area of global development.

Biography

Victoria Lemieux, University of British Columbia/The World Bank

Dr. Victoria Lemieux is an Associate Professor of Archival Science at the University of British Columbia. She is currently on leave at the World Bank advising it on issues of transparency and information management.
The role of business archives in dealing with serious human rights violations

Briony Jones, Elisabeth Baumgartner, Lisa Ott
Swisspeace, Switzerland

While respecting and promoting human rights is primarily the responsibility of states, the role and responsibility of companies to uphold human rights has received increasing attention in recent years. Understanding how businesses can play a more proactive role in respecting and protecting human rights is promoted in the UN Guiding Principles on Business and Human Rights (UNGPs) that were spearheaded by Professor John Ruggie. Archives are central to the ability of corporations to comply with the UNGPs as they provide important information on the ways in which companies uphold human rights. Yet the UNGPs remain relatively silent on the issue of documentation and access to and preservation of business archives. Despite its importance, the role of archives and archivists in business settings with regard to the fight against impunity and the prevention of future atrocities has not been researched, nor discussed in relevant professional fields.

We address this gap by focuses on access to business archives in the context of human rights violations. This topic raises certain questions. While business archives often hold crucial information for dealing with the past processes, they are often not made accessible, thus hampering these processes. Challenges occur when these archives are considered to be ‘private’ and thus not publicly accessible. Further, if the archives are not held in the country where the human rights violations take place, issues of jurisdiction often emerge. This paper presents the finds of the first stage of a yearlong research project conducted by swisspeace in collaboration with Trudy Huskamp Peterson. This project is motivated by the question “What is the role of business archives in dealing with the past processes and how could it be strengthened”? Drawing on desk-based research and interviews with archivists, businesses and human rights practitioners from a variety of country contexts, our reflections are relevant for academic debates in the field of business and human rights, as well as for practitioners in terms of sharing best practice in the clarification and promotion of the role of business archives in dealing with the past processes.

Biography

Lisa Ott, Swisspeace

Holds a MA and a PhD in Law from the University of Lucerne, as well as a Certificat de Droit Transnational from the University of Geneva. She worked as a research and teaching assistant with the Chair for Constitutional and Public International Law at the University of Lucerne and completed her PhD thesis on enforced disappearance in international criminal, humanitarian and human rights law. In 2010, she joined the Field Monitoring and Reporting Unit of the Office of the High Commissioner for Human Rights (OHCHR) in Nepal. In 2011-2014, she worked as a human rights officer with OHCHR in Colombia, mainly on issues related to human rights defenders at risk, public policies on human rights, national human rights institutions and land restitution. She has also worked with NGOs in El Salvador on indigenous rights and the rights of migrants. Lisa joined the Dealing with the Past Program at swisspeace in 2014.

Briony Jones, Swisspeace and University of Basel

Briony Jones was awarded her PhD in 2009 in Development Studies. Following this she worked as a Teaching Fellow and Lecturer at the University of Manchester in Development Studies and now holds the post of Senior Researcher in Dealing with the Past at swisspeace and lectures at the University of Basel. Her current work focuses on qualitative methodologies, transitional justice, truth commission archives, citizenship, and the politics of intervention in transitional contexts.
Ethical Issues in Recording and Providing Access to Holocaust Video Testimonies (Joanne Rudof)

Activist / Archivist: A Post-custodial Approach to Human Rights Video Archiving (Yvonne Ng)

Joanne W. Rudof ¹, Yvonne Ng²

¹Fortunoff Video Archive for Holocaust Testimonies, Yale University, United States of America
²WITNESS, United States of America

The proposed long panel features two organizations addressing the creation of human rights media and metadata, and associated management and access challenges. The speakers hope to spark discussion about the importance of managing content throughout its lifecycle -- including pre-production, recording, acquisition, post-production, delivery, use and re-use -- to preserve its authenticity and usability. Decisions made in the capturing and handling of human rights video are examined so that practitioners, stakeholders, and informed users can better steward, interact with, and leverage this essential content. The Fortunoff Video Archive for Holocaust Testimonies provides a case study of a non-traditional archive that has created or directed the creation of videotaped Holocaust witness accounts. WITNESS employs a post-custodial approach, disseminating archival skills and resources to a human rights community of video content creators and users through outreach, advocacy, and training.

Joanne W. Rudof, who has been at Fortunoff for over thirty years, will discuss an ongoing initiative to provide controlled remote access to videotaped Holocaust witness testimonies recorded since 1979 and managed at Yale over the past thirty-four years, including logistical, legal, and ethical issues manifest in the planning, design, and implementation of security protocols and technology decisions related to this unique collection.

Yvonne will discuss WITNESS’s ongoing initiative to empower video activists and citizen journalists to establish their own effective archival workflows. Rather than serving primarily as a repository for human rights video content, WITNESS develops resources (like the Video as Evidence Field Guide and the Activists’ Guide to Archiving Video), conducts outreach and leads in-person trainings on archiving for activists. She will discuss the ways that this approach addresses the challenges of preserving authenticity, metadata capture, large volumes of media, and access.

The panel will explore the relationship between the needs of creators and users of media related to human rights and the requirements of archivists, preservationists, and specialists in generating and managing it.

Biography

Joanne W. Rudof, Fortunoff Video Archive for Holocaust Testimonies, Yale University

Joanne Weiner Rudof is the archivist at the Fortunoff Video Archive for Holocaust Testimonies, Yale University and has been at Fortunoff for over thirty-one years. She has written numerous articles, book chapters, and conference papers on Holocaust testimonies and been editor and producer of documentaries including Voices from the Yugoslav Holocaust, Remembering Częstochowa, Parallel Paths, and the award winning national PBS broadcast, Witness: Voices from the Holocaust for which she was co-editor of the book with the same title. She has coordinated over twenty Holocaust testimony projects in North and South America, Europe, and Israel and advised others in initiating video testimony projects documenting genocide, oppression, and human rights violations.

Yvonne Ng, WITNESS

Yvonne Ng is the Senior Archivist at WITNESS, where she manages a collection of human rights video and develops training materials on video archiving for human rights activists. She also leads trainings and workshops on activist video archiving locally and internationally. Before joining WITNESS in 2009, Yvonne worked on the U.S. National Digital Information Infrastructure and Preservation Program’s Preserving Digital Public Television project, and at NYU Libraries, New York Public Library, and Canadian Filmmakers’ Distribution Centre. She holds an M.A in Moving Image Archiving and Preservation from New York University.
Emergency Management and Disaster Preparedness:
From the eye of the storm: Ten years of disaster recovery in New Orleans
Emilie Gagnet Leumas
Archdiocese of New Orleans, United States of America

One of the most daunting challenges faced by archivists and custodians of cultural history is preparing for, surviving from and recovering after a natural or human-made disaster. On August 29, 2005, Hurricane Katrina made landfall on the Louisiana/Mississippi Gulf Coast of the United States of America, flooding 80% of the city of New Orleans. The Archdiocese of New Orleans has an estimated 500,000 Catholics in an area that encompassed 4,208 square miles in 8 civil counties. Ten years have passed since this monumental disaster. This paper will look back on the disaster, its impact to the region, the recovery effort as well as the commitment and the changes made to the policies and procedures of the organization. It will focus on the proactive response of the Archdiocese of New Orleans in relation to its archives and records, with specific attention to the implementation of an enterprise-wide document management program to insure the records of the organization and to safeguard 300 years of archival material currently in its care.

Biography
Emilie Gagnet Leumas, Archdiocese of New Orleans

Emilie Gagnet Leumas, Ph.D., a certified archivist and certified records manager, is the Director of Archives and Records for the Archdiocese of New Orleans. She currently serves as chair of the International Council on Archives’ Section for Archives of Faith Traditions and chairs the Expert Group for Emergency Management and Disaster Preparedness. She has served as president of the Association of Catholic Diocesan Archivists. Her publications include Managing Diocesan Archives and Records: A Guide for Bishops, Chancellors and Archivists (2012) and Roots of Faith: History of the Diocese of Baton Rouge (2009). Emilie received national and international recognition for her efforts in disaster recovery after Hurricane Katrina. She has presented conference papers and guest lectured at local, state, national and international meetings on subjects including Louisiana French, Louisiana Catholic Church records, archival research methods, archives management, records management and disaster recovery.
Emergency Management and Disaster Preparedness: 
COSTEP MA: Working together to protect cultural resources in Massachusetts

Gregor Trinkaus-Randall
Massachusetts Board of Library Commissioners, United States of America

COSTEP MA (Coordinated Statewide Emergency Preparedness in Massachusetts) is an organization dedicated to building and fostering a statewide disaster preparedness planning process that serves the cultural and emergency management communities and addresses disaster prevention, preparedness, response, recovery, and mitigation. The process will ensure an ongoing dialogue that promotes mutual understanding and coordination between these communities. To achieve this mission, COSTEP MA has been working with numerous communities to educate both the cultural and emergency management communities on the importance of collaborating in planning for, mitigating for, and responding to disasters. During and following Hurricanes Katrina, Rita, and Wilma and again following Hurricane Sandy, a significant quantity of cultural heritage was lost due to lack of knowledge on how to protect collections and how to respond, limited or no communication with the emergency management community, and lack of collaborative effort on everyone’s part. The results were catastrophic. One answer to this situation is collaboration. In Massachusetts, COSTEP MA is working towards that goal. Institutions need to break out of their silos and work together. No one can do it alone. By bringing together as many potential players as possible and forging relationships, it is hoped that institutions and municipalities will be better prepared to face a disaster and to recover from one if it does occur.
Disaster Preparedness and Response: a Collaborative approach

Emilie Gagnet Leumas for Annie Peterson

1 Tulane University, United States of America
2 Archdiocese of New Orleans, United States of America

The paper will discuss the process and outcomes of the grant-funded ‘Strategic Planning for Collaborative Preservation.’ The purpose of the project is to investigate opportunities for establishing collaborative preservation services in the New Orleans, Louisiana area, including disaster preparedness and response, conservation, audiovisual preservation, and fundraising for collections care activities. The paper will focus especially on the collaborative disaster preparedness steps taken by the institutions that participated in the planning process.

The planning process was initiated to address the great preservation needs of cultural heritage institutions in the New Orleans area. There are many notable collections in the city, yet few institutions with dedicated collections care staff. In challenging funding climate for cultural heritage institutions, it is difficult for any single institution to establish a preservation department on its own, so there is a need, not only in New Orleans but in other regions as well, to investigate opportunities for pooling resources and collaborating to address needs across institutions.

Disaster planning and preparedness is an area of special concern within the New Orleans area, as it is a hurricane-prone coastal region that has experienced extensive hurricane-related damage to cultural heritage institutions in the past. The planning team is investigating opportunities for collaboration in disaster preparedness and response, and those discussions and the products and outcomes of them will be detailed further in this paper.

The planning activities are funded by the Institute for Museum and Library Service’s National Leadership Grant program, in anticipation that the New Orleans area can serve as a model for other regional, collaborative approaches to preservation. The planning process brings together individuals from cultural heritage institutions in New Orleans, as well as expert consultants from outside of the area. The team is currently in the planning process, which is a one year project that will conclude in August 2015. More details on the direction and content of the strategic plan will be included in the paper after further planning has been completed, with a specific focus on the outcomes, already being discussed with consultants and the planning team, of the disaster preparedness and response related aspects of the strategic plan.

Note: I selected ‘long panel’ as the type of session for this paper because Lee Leumas brought to my attention that this topic would fit well with the paper that she and Gregor Trinkaus-Randall have proposed.

Biography

Annie Peterson, Tulane University

Annie Peterson is the Preservation Librarian at Howard-Tilton Memorial Library, Tulane University in New Orleans, LA, a position she has held since July 2012. Her interests include collaborative preservation activities, data driven decision making for preservation, and preservation outreach and education. As Preservation Librarian at Tulane she was the project manager for “Strategic Planning for Collaborative Preservation,” an IMLS-funded project to explore opportunities for collaboration in cultural heritage preservation in the New Orleans area.
Panel discussion on Emergency Management and Disaster Preparedness

Emilie Gagnet Leumas and ICA Expert Group on Emergency Management and Disaster Preparedness

Archdiocese of New Orleans, United States of America

In every geographical area of the world, there are disasters created by man and nature. While each organization plans for evacuating buildings, protecting people and property, the same care and attention to planning should be placed on the records and cultural history. If information is an important asset, the planning for the protection of the records prior to a disaster is paramount. We are all aware of the destruction created by Hurricane Katrina, the Southeast Asia Tsunami, the earthquakes in Haiti, China and Japan, and terrorist attacks on countries throughout the world. These disasters created by nature and man are regional, affecting large areas of land, property and people. This panel discussion will highlight the efforts of the newly formed ICA Expert Group on Emergency Management. With open audience participation, the panel will seek ways to further the efforts of ICA in assisting those in emergency situations.
Droits civiques et droit à l’information : le rôle de l’archiviste dans la responsabilité de l’Etat

Anouk Dunant Gonzenbach, Pierre Flückiger
Archives d’Etat de Genève, Switzerland

Les archivistes vivent désormais au quotidien la tension entre le droit à l’information et la protection des données. Le débat européen sur la destruction des données personnelles est un élément révélateur dans lequel se reflète la volonté de transparence affichée il y a quelques années par les autorités politiques. A cela s’ajoute le spectre de Big Brother, qui entre également en conflit avec le principe du droit à l’oubli. Enfin, à travers les réseaux sociaux, la différence entre la sphère privée et le domaine public se révèle de plus en plus fluctuante. Dans cet environnement, le rôle de l’archiviste devient plus difficile à définir, dont le périmètre d’actions ou de missions peut paraître sans limite. La contribution présente vise à offrir, en partant de quelques expériences concrètes récemment vécues en Suisse, le fruit de réflexions relatives à l’importance des archives publiques et, conséquemment, à la responsabilité que l’Etat doit assumer face à ses citoyens.

La finalité première des archives publiques réside en la conservation des décisions politiques et la preuve des activités de l’administration. Comment et avec quelles difficultés ce principe élémentaire s’est appliqué ou non en Suisse ? Le débat sur les enfants placés à des fins d’assistance illustre avec une particulière acuité cette problématique. Au XXe siècle, les autorités suisses ont appliqué leurs législations respectives en matière d’assistance en retirant parfois l’autorité parentale à des personnes qui, pour plusieurs raisons, étaient déclarées incapables d’élever leurs enfants. Souvent, ces derniers, placés dans des institutions ou des familles d’accueil, ont été maltraités, sans que les autorités ne semblent réagir. Aujourd’hui, ces personnes demandent explications et réparations à l’Etat. Se basant sur cette expérience et sur quelques autres, la communication permettra de se poser plusieurs questions.

Quel est le rôle aujourd’hui assigné aux archivistes dans le traitement des demandes de renseignements et d’indemnisations ? Quelles sont limites de leurs fonctions ? Quelle est la place de l’archiviste dans la préservation et l’utilisation des données personnelles ? Quels sont les enjeux pour la profession et comment tirer des conclusions pour permettre aux autorités publiques d’assumer leurs responsabilités à l’avenir ? Comment concilier le principe de la protection des données avec celui du droit à l’oubli ? Nous pensons qu’il appartient aux archivistes de convaincre les décideurs que la conservation des données personnelles sont utiles, y compris pour les personnes concernées, dans le respect évidemment absolu de la protection de la vie privée.

Biography

Pierre Flückiger, Archives d’Etat de Genève


Anouk Dunant Gonzenbach, Archives d’Etat de Genève

Anouk Dunant Gonzenbach travaille depuis 13 ans comme archiviste aux Archives d’Etat de Genève, où elle est responsable du pôle numérique (archivage électronique; gouvernance des documents et données électroniques; outils numériques et médiation numérique). Elle est membre du groupe Records Management de l’Association des archivistes suisses.
"The gulf between us and our data, the datachasm, could be said to be a new type of alienation in the world."

- Jacob Stringer, 'Please mind the datachasm' Open Society, January 26 2015 https://www.opendemocracy.net/can-europe-make-it/jacob-stringer/please-mind-datachasm

The transition to digital and online modes of business and government brings with it significant benefits but it has also brought a growing sense of mistrust and unease for the individual. Data recording our lives flows from private companies to governments and is perhaps shared with other states without our knowledge; our requests for access to government information are refused on the grounds that there is ‘too much data’ to process; and governments too often remain opaque with regard to their data retention and destruction practices. There are solutions to these problems but they require a rethinking of the old tools and frameworks of records and archives management, to better suit the age of big data, government in the cloud and mass online surveillance.

Digital recordkeeping strategies that embrace the complexity of the contemporary information landscape are urgently needed. This means appraisal processes that are based on an understanding of the whole of the business context, not just the long term or custodial needs of archives, and which accommodate the expectations of the subjects of the data that is captured and used. It also means better use of recordkeeping metadata for more granular and accountable execution of access rules and permissions and disposal. Finally, it means a reconfiguration of the access regimes to favour disclosure and an understanding of the shared stake in the data – for both government and citizen.

Archivists and other recordkeepers have a critical role to play in creating new systems keeping traceable, evidential and accessible data - recordkeeping systems - to help to combat the growing alienation of the citizenry from the governments that serve them. This is not a new role but rather one that requires a refreshed connection with our mission, and one that needs to navigate the political pressures associated with information rights and management in the digital age.

**Biography**

Cassie Findlay, *Recordkeeping Innovation*

Cassie Findlay is a recordkeeping consultant. Previously, she was the Project Manager, Digital Archives at the State Records Authority of NSW (Sydney, Australia), leading a team responsible for the development and implementation of the NSW Government’s first digital archive. Prior to this she worked in government recordkeeping policy, advice and training, and for the Westpac Banking Corporation group archives. She has a BA in history from the University of Sydney and a Master of Information Management (Records / Archives) from the University of New South Wales. Cassie has served on the National Council of the Australian Society of Archivists and as Project Lead on the review of the international standard for records management, ISO 15489. She is a co-founder of The Recordkeeping Roundtable (rkroundtable.org) and tweets as @CassPF.
Academic Archives and Public Engagement: Connecting Collections with the Communities they Serve

Joshua Youngblood
University of Arkansas Libraries, United States of America

This presentation will address the essential work of making archives accessible in regions that may remain culturally and geographically isolated from larger centers of research in their respective countries. Such a separation between archival resources and the public they serve can occur even in places of relative economic and political stability. The presentation will address the responsibility of archives to ameliorate discrepancies in awareness or access through an examination of the professional experience, credentialing, and the real-world work of an archivist seeking to make information on social change and civil rights available for researchers of varying backgrounds and interests.

It is the duty of all citizens to be informed of the pressing issues confronting their societies. It is also their responsibility to act, when called to, in as informed a manner as possible. That is where archives play an essential role: facilitating democratic citizenship and preserving cultural memory. Archivists from different backgrounds than many of their peers can bring new approaches to outreach that help overcome separations between collections and the affiliated and non-affiliated constituents of their institutions. That is true at public universities in the United States, where varying backgrounds and training can lead to different priorities and innovations by archivists working with patrons and other stakeholders. Graduate education in fields outside of library science and diverse professional experience in other sectors has proven beneficial to archivists charged with working with the broad range of researchers reliant on their resources. Among these may include strong commitment to making access and research services available in a region with significantly lower levels of academic achievement and economic opportunity than much of the United States.

The preparation and commitment to join the Academy of Certified Archivists adds confidence in representing the archival discipline to the public. An academic special collections and archives, such as the Special Collections of the University of Arkansas Libraries to be discussed in detail, has diverse holdings representing numerous areas of knowledge. Some collections are vitally important to understanding the sometimes contentious history and cultural development of the state and region in the southern United States where the university resides. This includes significant collections of materials related to the long civil rights struggle in Arkansas. Unique experience coupled with professional dedication empowers archivists to advocate for access and ensure the university and its libraries have an active and engaged relationship with all the citizens they serve.

Biography

Joshua Youngblood, University of Arkansas Libraries

Joshua Youngblood joined the Special Collections of the University of Arkansas Libraries as the Research and Outreach Services Librarian in July 2011. Before that he was the Archives Historian for the Florida Memory Program of the State Library and Archives of Florida. He also served the Florida Department of State in the Bureau of Historic Preservation and the Division of Cultural Affairs. Joshua holds a M.A. in history from Florida State University, a B.A. in history with a minor and in music performance from the University of Louisiana Monroe, and has completed coursework for a Ph.D. in history and post graduate study in historic preservation and museum studies. He is a member of the Academy of Certified Archivists, the Society of American Archivists, and the American Library Association.
Les commissions vérité et les archives de l’Etat en Afrique

Adama Aly Pam
Banque Centrale des Etats de l’Afrique de l’Ouest, Senegal

Se réconcilier avec un passé douloureux constitue le premier motif de la mise en place des Commissions vérité. Il y a une dynamique intéressante entre la société et la façon dont elle dialogue avec son passé. Les archivistes rendent ce dialogue possible et veillent de ce point de vue à l’adoption d’une approche globale et systématique dans la préservation des archives.

C’est ainsi que les commissions vérités se trouvent confrontées à la problématique histoire/mémoire au moins à trois niveaux.

1- d’établir la vérité sur les violations graves des droits de l’Homme afin de satisfaire le droit à la vérité due aux victimes et à leurs ayants droit;
2- d’expliquer le contexte des dites violations, c’est-à-dire d’expliciter les causes qui sont à l’origine de ces violations, en vue de réfléchir sur les garanties de non répétition;
3- de préserver la mémoire, cette préservation étant considérée comme une des composantes de la réparation mais aussi comme une des modalités d’éducation à la citoyenneté.


Biography

Adama Aly Pam, Banque Centrale des Etats de l’Afrique de l’Ouest

Le rôle des documents d’activité dans la divulgation de la vérité
(le cas de l’instance vérité et dignité en Tunisie: problèmes des archives de la présidence)

Adel Maizi
Instance vérité et dignité, Tunisie

L’IVD est en train de dresser l’état des fonds des archives publiques et privées pertinentes pour l’exercice de son mandat et de les localiser. Cette mandat qui est prévue entre 2014 et 2019.

Les archives de la Présidence pour la période des présidents Bourguiba et Ben Ali sont essentielles pour comprendre de l’intérieur le fonctionnement de l’appareil d’État au plus haut sommet. Leur examen permettra de mettre à jour les politiques menées, ainsi que les mécanismes et les modes opératoires de la surveillance et de la répression. En analysant le système de prise de décision, l’IVD pourra établir et décrire le fonctionnement des structures de la dictature. La compréhension de ces mécanismes est essentielle pour éviter le renouvellement des violations dans le futur.

Ce travail est indispensable aussi pour replacer les plaintes individuelles dans leur contexte et, éventuellement, les corroborer.

Mais la question qui se pose est de savoir si ces archives sont devenues des documents définitives et par-là ont perdu toute valeur primaire ou est-ce qu’elles sont devenus des documents d’activité dès lors la promulgation de la loi sur la justice transitionnelle qui couvre une période allant de 1955 jusqu’au 2013.

Une autre question se pose lorsque l’instance n’a pas pu accéder à ces archives à cause de son caractère public et inhérent à l’exercice des fonctions de la présidence prétendues est-ce que les archives de la dictature peuvent être considérées comme des archives publiques ?

La problématique envisagée est que l’IVD peut détenir ces archives et les déménager chez ses locaux pour faciliter son travail et son accès à ces documents et pour respecter les principes archivistiques surtout que cette instance est une institution indépendante ?

Dans l’absence d’un cadre juridique clair et dans l’absence des principes de base relatifs au rôle des documents d’activité dans la justice transitionnelle le problème devient sérieux et l’instance risque de ne pouvoir accomplir sa mission.

Différents modèles ont été retenus dans les pays qui ont été confrontés à des expériences similaires.

La Tunisie est en train d’élaborer son propre modèle en considérant que les archives peuvent être couvert par les principes et les règles de défense des droits de l’Homme puisqu’elles sont la traduction et la traçabilité de toute activité humaine.

Un groupe de travail sur la justice transitionnelle au sein de l’IC devient nécessaire.

Biography

Adel Maizi, Instance de vérité et dignité

ICA/PCOM sessions

Session 2.2 - ICA Programme Commission Showcase part 2

S21

**FIDA Projects**

Sarah Tyacke and FIDA Board

ICA, United Kingdom

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**New Professionals**

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**ICA's Africa Strategy**

Justus Wamukoya

Moi University, Kenya
Les organisations sont actuellement confrontées à des enjeux multiples portant sur les notions de risque, de sécurité, de protection de l’information, d’intégrité et de disponibilité des contenus informationnels et des systèmes d’information organisationnels. Ces enjeux se sont considérablement accrus avec le numérique par la dématérialisation de l’information qu’il entraîne et les risques de perte, de fuite et d’altération des contenus informationnels qui en découlent. Ils deviennent critiques dans un contexte où ces contenus informationnels sont essentiels pour documenter les processus d’affaires et les prises de décisions des organisations dans un esprit de transparence.

Les organisations doivent ainsi se doter d’une gouvernance de l’information, c’est-à-dire d’un cadre de responsabilité précisant les principes et règles de base, la structure de direction, de même que les modalités de gestion et d’accessibilité de l’information pour que celle-ci puisse être utilisée de manière efficace et efficiente dans l’organisation. Ce système de gouvernance informationnelle doit pouvoir répondre à des exigences de nature juridique, politique, économique et éthique.

Ces enjeux, et le besoin de mettre en place une gouvernance informationnelle, amènent entre autres une redéfinition des rôles et responsabilités des gestionnaires de documents et des archivistes ainsi que de leurs interactions avec d’autres professionnels impliqués dans la gouvernance de l’information dans les organisations (informaticiens, avocats, etc.). La perception des archivistes, dans les organisations, semble souvent être un rôle de soutien plutôt qu’un rôle de décision. Aucune étude empirique ne s’est attardée, à notre connaissance, à cette question. Il est pourtant important, pour les archivistes, de pouvoir s’assurer d’un positionnement stratégique dans l’organisation par rapport aux autres gouvernances en place.

Cette communication vise à présenter les résultats d’une enquête descriptive ponctuelle sur la situation de la gouvernance informationnelle dans les organisations canadiennes des secteurs public, parapublic et privé. Elle abordera les aspects suivants : la compréhension du concept de gouvernance informationnelle dans les organisations à l’étude; les activités de gouvernance informationnelle mises en place dans ces organisations; les mécanismes mis en place pour opérationnaliser la gouvernance informationnelle; les acteurs de la gouvernance informationnelle; les freins et les facilitateurs à l’implantation de la gouvernance informationnelle. Ce projet viendra ainsi contribuer à mieux connaître le rôle des archivistes et des gestionnaires de documents au sein de la gouvernance informationnelle dans les organisations. Les recommandations qui en découleront leur permettront de renforcer leur positionnement et leur participation aux stratégies de contrôle des risques informationnels.

Biography

Natasha Zwarich, Université du Québec à Montréal

Natasha Zwarich est professeure en archivistique au département d’histoire de l’Université du Québec à Montréal depuis 2012. Elle détient un doctorat en sciences de l’information de la School of Information Studies de l’Université McGill. Ses intérêts de recherche portent sur la gestion électronique des documents, notamment les problématiques de gestion touchant le courrier électronique, les métadonnées, les compétences informationnelles ainsi que la gouvernance de l’information, plus spécifiquement les indicateurs de performance normalisés en archivistique. Elle a occupé différents postes d’archiviste dans des organismes publics durant près de dix ans.
Assessing risks in digital preservation using a generic model

Jan Dalsten Sørensen

Danish National Archives, Danmark

Acquisition and preservation of digital records from public authorities involves a number of risks. In order to counter those risks, archives that work with digital preservation must detect and describe as many risks as possible. Based on this risk identification, a risk management program must be set up in order to prevent unwanted events, or at least mitigate their consequences.

This paper is a case study that will present the experiences of the Danish National Archives in the field of risk assessment based on the generic risk assessment model that is used throughout the Danish administration. Thus it is not a model that is tailored specifically to the domain of digital preservation but to it-security as such, based on the relevant ISO standards for risk management.

The paper will briefly present the generic risk assessment guidelines of the Danish Agency for Digitization, and discuss how the guidelines have been used by the National Archives to assess risks in the workflows of digital preservation from ingest to preservation.

The model requires risk identification, risk analysis and risk evaluation as necessary inputs to the risk management process. The paper will discuss how the identified risks can be categorized in risks pertaining to confidentiality, to accessibility and to integrity. Furthermore, we will look at the process of assessing risks based on their likelihood and severity, and discuss some of the challenges involved in this assessment as well as the process of defining ways to avoid the risks or mitigate their consequences.

Biography

Jan Dalsten Sørensen, Danish National Archives

Jan Dalsten Sørensen is Divisional Head of Digital Preservation at the Danish National Archives, where he has been employed since 1999. He has participated in the development of Danish regulations, standards and procedures for digital records in their entire life-cycle and has written articles and made several presentations on the work of the Danish National Archives in the field of digital preservation. He has been involved in a number of tasks with regard to information security in the workflows of ingest, preservation and dissemination of digital records. He is committed to international cooperation and represents the Danish National Archives in European fora for records management and digital preservation such as the DLM Forum Foundation and the Open Preservation Foundation.
A new approach to risk management within digital preservation

Rune Bjerkestrand, Ole Liabø
Piql AS, Norge

Information security is a key issue when building a preservation strategy for digital objects. Available storage medium all involve a risk of loss of data; online storage opens for amendments or theft of data, whilst the usage of storage mediums such as optical discs or tape requires repetitive migrations or emulations. Migration-based strategies do not only involve an endless spiral of increasing investments, but for each migration there is a threat of data being lost or corrupted.

The “Archivator” R&D project was started by a pan-European industrial consortium in 2009 with the objective of creating a solution that truly matches the needs of digital preservation by taking a holistic approach. After 25 million euros in investments, funded by the EU and the Norwegian Research Council, the result is a solution that drastically reduces the risks and improves data security compared with alternative technologies.

The solution converts 35 mm film into a digital preservation medium. Analogue microfilm is well-known for its preservation qualities, but is not suitable for preservation of digital objects. The “Archivator” project made it possible to write digital data onto film. The project ‘MiLoS’ developed a new film optimized for binary data, and a special packaging tested together with the film for a longevity of 500 years when stored below 21° and 50%RH. Longevity-tested labelling ensures metadata can be restored if needed.

The solution allows offline preservation of digital objects with online search and access to metadata. A true WORM medium is used to make the data unalterable and permanent. The preservation medium is self-contained; all data needed for retrieval is written in human readable format on the film. This includes the source code to the software needed for decoding the data, as well as the source code to the file formats, provided recommended non-proprietary file formats are used.

Checksums and algorithms are applied to ensure the data can be fully recovered, even in case of scratches to the film. By combining binary codes with visual previews (human readable text or images) one can check that the recovered information is identical with what was originally preserved on the film.

The project has resulted in a new way of preserving data that eliminates many of the technological risk factors. An ongoing research project (PreservIA) with the Norwegian Defense Research Establishment will look closer into external risk factors such as natural disasters and cyber-attacks, and how these can be reduced.

Biography

Ole Liabø, Piql AS

Ole Liabø, R&D Director, Piql: As head of Piql’s R&D Department, Ole Liabø is responsible for the management and execution of the company’s research and product development projects. Ole joined Piql in 2006, and has nearly 20 years of experience as a Senior Software Developer. He has been involved in the development of award winning products ranging from Playstation and Xbox computer games to Piql’s own Cinevator, the premier film recorder in the world. Managing a range of R&D projects involving European research institutions and companies, Ole Liabø is dedicated to develop cutting-edge technology for the preservation of our digital heritage.

Rune Bjerkestrand, Piql AS

Rune Bjerkestrand is an Engineer of Cybernetics and has a Bachelor of Business Administration and a Master of Management from the Norwegian School of Management. He has held senior management positions in both Norwegian based and global companies within a wide range of sophisticated technologies and applications. Rune is one of the founders of Piql, where he holds the position of Managing Director.
Managing digital archives in the open government context in Canada

Sharon Smith, Bruno Lemay
Library and Archives Canada, Canada

Open Information, Open Data, and Open Dialogue: these are the three pillars in the federal government’s commitment to Open Government in Canada. As a key participant in this commitment, Library and Archives Canada (LAC) is proposing a session entitled: Managing digital archives in the open government context in Canada.

This session will provide an overview of the Government of Canada’s (GC) Open Government Action Plans; examine LAC open government projects; and focus on initiatives related to the management of digital archives at LAC and digital records in the federal government.

As a keeper of Canada’s documentary heritage, LAC must consider the challenges and opportunities in managing digital archives in an era of increasing expectations: citizens expect more information, more self-service options, and faster access. This session will discuss and juxtapose our digital approach against open government initiatives, examining how LAC can foster greater transparency and accountability, increase citizen engagement, and drive innovation and economic opportunities while respecting our core mandate.

The acquisition and preservation of government digital archives is dependent on individual federal institutions. If institutions are not able to manage their information, we will not be able to preserve it and make it accessible to Canadians. This session will discuss the crucial link between promoting effective digital recordkeeping and ensuring that records of enduring value will be available for future generations.

Finally, there is a clear direction in the GC to create and manage information exclusively in digital format. In line with this approach, LAC has announced that any digital information resources created after April 1, 2017, that are deemed of archival value, must be preserved and transferred to LAC in digital format, once their business use has ceased. This session will conclude with an examination of LAC’s work in developing tools and guidance to ensure departments are able to meet this requirement.

Biography

Bruno Lemay, Library and Archives Canada

Bruno Lemay is manager within Library and Archives Canada. He is presently manager of the Strategic Initiatives team. He also assumed the director responsible for governmental archives position within Library and National Archives of Québec. As political archivist, he occupied archivist positions to the National Assembly of Quebec, in the Right Honorable Jean Chrétien Archives Project and within the section of the political archives of Library and Archives Canada. He detains a master’s degrees in library science and information sciences; in public administration; and in history.

Sharon Smith, Library and Archives Canada

Sharon Smith has worked in information management at Library and Archives Canada (LAC) for 15 years. She is currently a Senior Project Manager, focused primarily on government recordkeeping. She is involved in developing recordkeeping strategies, plans, policies, and guidelines (both for LAC and external clients), and on program delivery of LAC’s mandate to facilitate the management of information by government institutions. Previously, Sharon was an Archival Standards Officer in the private records area of LAC, responsible for developing and revising corporate policies and standards for the description of archival material, as well as reviewing and providing feedback on national and international standards. As well, she was involved in systems analysis, development, and training. Currently, she is a Canadian expert for ISO TC46/SC11 (Archives/records management), and a member of the ICA Records Management Expert Group.
Outsourcing service by third party is sometimes the only alternative for digitizing archives and records, and should be taken into account by archivists or records managers as one of the vital points for risk control during the processes of information management. This paper introduced the project and subsequent findings named ‘risk management in digitizing archives by outsourcing services’ (RMDAOS) supervised and sponsored by the State Archives Administration of China (SAAC). One of the main outputs - “risk control guidelines for digitizing records by outsourcing services” drafted by the project team was adopted and disseminated by SAAC in the end of last year.

Project RMDAOS had been carried out for about one and a half years and involved a group of personnel from archival institutions, academic establishments and outsourcing service vendors. The project team investigated systematically the workflow of digitization processes, conducted nodal analysis and identified possible risks and their causes. Based on a comprehensive investigation of measurements throughout scheme design, project management, technical specifications, equipment maintenance, process control and storage examination, a risk control framework for archives digitization outsourcing service was proposed, and a lifecycle and multidimensional risk management model for archives digitization processes was established, either for records or for digital information.

The Guidelines endorsed and disseminated by SAAC provided, in some extent, practical guidance and references for risk control of digitizing archives and records by outsourcing service, which refers to both archival institutions and outsourcing service providers. Apart from the general principles and regulations, the Guidelines involves in a series of requirements targeting entities such as processing workplaces and facilities, network environment and storage media, data transformation and follow-up auditing.

Biography

Lihua Huang, State Archives Administration of China

Huang Lihua, deputy director for Technique Division, Central Archives of China (CAC). Graduated from Beijing Normal University in 1987, and joined CAC in 1991. Engaged in conservation and then project management, and assigned to the present position in 2007. Professional interests have been concentrated on archival preservation and risk management. Published around 20 papers such as “scientific management processes for salvaging and restoring vital records” and “risk analysis and strategies for records digitization by outsourcing services”.
Information in Modern Society: Open Data and Partnership

Session 2.4 - Relationship between Digital Recordkeeping and Open Data, Big Data, metadata management for interoperability, Linked Open Data

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Made Down Under: the International Portability of Australian Data Tools

Katharine Stuart
National Archives of Australia, Australia

Like their US, UK and European counterparts, the Australian Government is fast becoming a digital government. In line with this transition, the concept of what constitutes a record is also rapidly evolving and the definition of data management, information management and records management is blurring. This means that archival institutions not only have to consider their relevance in the greater data world, they also have to be able to provide tools that fit the new landscape.

The National Archives of Australia is currently undertaking an ambitious program to ensure the relevance of archives and records management in all aspects of digital government. Begun in 2014, this program included creating a flexible metadata model that covers the continuum of records management, including archival business requirements, while remaining sufficiently flexible to accommodate all records in Australian Government agencies.

Offering a flexible model and supporting products, the National Archives has anticipated the pressure points for interactions between records management professionals and ICT professionals in regard to metadata management. We believe we have created a model that can be implemented across Australia and adopted around the world.

In 2014, the Archives also instigated a project to create the first interactive thesaurus of government functions offered as a linked data service. Building on the recently updated Australian Governments’ Interactive Functions Thesaurus (AGIFT), this project ensures the usability of AGIFT in datasets and machine readable applications across the web.

AGIFT, originally launched in 1999 with the aim to making it easier to find Australian Government information and services on the web, is a thesaurus that combines plain English terms with terms used by governments to describe their functions.

Offering AGIFT as a linked data service will enable computer process-able meanings of government functions to be available on the web and usable by government datasets such as those found on data.gov.au. Publishing AGIFT as a linked data service helps standardise descriptions and assists with the interoperability of government datasets. The Archives understand this to be a ‘world first’ that could benefit all governments due to their similarity in functions. The Archives has also mapped similar thesauri, including the United Nation’s Classification of Functions of Government to AGIFT and is publishing the mappings on the same platform as AGIFT.

The National Archives believes its latest tools can make a vast contribution to solving universal problems of description, systems and data management in an increasingly linked data environment.

Biography

Katharine Stuart, National Archives of Australia

Katharine Stuart is an acting Director in the Government Information Assurance and Policy branch of the National Archives of Australia where she contributes to the development of information and records management standards, policies and digital transformation solutions. Prior to joining the National Archives of Australia, Katharine worked as a records manager for a state organisation, a school archivist, and a project officer for the State Records Authority of New South Wales. Katharine has broad experience in records management policy, digital records transition implementation, digitisation programs as well as management of paper-based and digital records systems. Katharine is a PhD candidate at the University of Canberra where her thesis focuses on the role and perception of records and information management in digital government. Katharine also has previous degrees from the University of Canberra and Macquarie University including a Master of Knowledge Management and Master of Museum Management.
Geodata is (digital) information that identifies the geographical location and characteristics of natural or constructed features and boundaries on the earth’s surface, typically represented by points, lines, polygons, and/or other complex features (vector data) or pixels (raster data). These points and polygons are not understandable if they are not linked to geospatial reference data (e.g., topographical maps). The combination of spatial orientation with other thematic geodatasets or with geospatial reference data creates geoinformation. In today’s modern society, geoinformation is the basis for planning, measuring and decision-making at private and federal level. It is an integral part of state action and has to be preserved. Thus, the Swiss Federal Archives together with the Federal Office of Topography are developing a geodata archiving solution (Ellipse).

Digital Recordkeeping of geodata deviates widely from any other kind of classical archiving. The characteristics of the records demand a combination of different types of data. Points, lines and polygons only make sense if linked to geoinformation in any number of ways. However, the producers of the maps are rarely the producers of the thematic layers. How can the provenance principle[1] be applied in this context? Moreover, since geodata needs to be linked to other (geo-)data of different origin, not all of the necessary information will be archived at the same time: a thematic layer (points and polygons) can be transferred to the archive, while the geospatial reference data is still in use. Therefore, technical and organizational interfaces between archival and geographical information systems have to be established. The challenge of archiving geoinformation is further increased by the huge amount of data coming from heterogeneous sources that have to be linked and processed. According to a 2015 report, the amount of all Swiss Federal geodata is estimated to be 18’000TB. There is an increasing practical need of technical and organizational capacity to handle this high volume as well as the high variety of geodata.

Ellipse shows a Swiss approach where government agencies share knowledge with each other in order to build a sustainable solution of digital preservation of geodata. Ellipse tries to find a path to a new practice of Digital Recordkeeping, able to integrate data that are Linked as well as Big.


Biography

Chiara Marciani, Swiss Federal Archives

Chiara Marciani holds a Master degree in « Sociology, Communication and Politics ». She is a scientific collaborator at the Swiss Federal Archives since 2012 and is involved in the Ellipse Project since 2014. She currently manages different WP of the Ellipse Project, where she is responsible for the communication, the developing of a policy for distributed archives and the consolidation of different metadata sets.

Carla Sieber, Swiss Federal Archives

After my studies of Information Science in Geneva I took up my work at the Swiss Federal Archives (SFA) in 2010. In addition to my studies, I enrolled for a CAS in the discipline of geographic information systems (GIS) which I finished in 2013. That same year I started working for the Federal Office of Topography, swisstopo, which collaborates with the SFA in terms of archiving geodata.
Archival-Linked Open Data: practical and technical approach -- A swiss collaborative project

Jean-Luc Cochard 1, Alain Dubois2, Anouk Dunant Gonzenbach1, Adrian Gschwend3, Lambert Kansy4, Stefan Kwasnitza5, Michael Luggen6, Urs Meyer1, Frédéric Noyer6, Tobias Wildi7

1Swiss Federal Archives, Switzerland
2Archives de l’Etat du Valais, Switzerland
3Archives d’Etat de Genève, Switzerland
4Zazuko GmbH, Switzerland
5Staatsarchiv Basel-Stadt, Switzerland
6Archives de l’Etat de Neuchâtel, Switzerland
7Docuteam GmbH, Switzerland

To unlock the power of existing finding aids in archives, an informal group of interest around Linked Data (LD) has formed in Switzerland mid 2014. Archival practitioners of five public archives on state and municipal level and the Swiss federal archives met in a grassroots initiative to find a suitable approach to identify the potential of this technology. This initiate was given the name of Archival Linked Open Data (A-LOD / http://data.alod.ch).

The main objectives of A-LOD are the following: a) Update the mission of archival institutions concerning access services in accordance with LD; b) configure a state of the art LD infrastructure to the requirements of historical archives; c) develop a best practice process to transform existing finding aids into LD formats (RDF); d) apply this process to an historical topic covered by all participating archives (Helvetic Republic, Act of Mediation); e) make accessible the transformed data interlinked on the common platform; f) provide use cases that emphasize the added value of this approach, by linking external data to the archives data and also by offering the generated data to other consumers and finally g) disseminate the outcome of the project - approach and lessons learned - in order to rally the archival community behind LD.

This contribution introduces the basic principles of LD in the scope of historical archives in Switzerland and enlightens the difference between classic dissemination strategies compared to LD.

Then we show how to develop best practices on tackling the LD transition for archives in a collaborative manner; we identify the added value of LD in archives on the following dimensions (DESCRIPTION: metadata creation and a defined way of publishing; DISSEMINATION: allow external resources to create end user applications; QUERYING: enable novel ways to discover; ENRICHMENT: implicitly allow to enrich information through external resources); we pioneer Linked Open Data as proof of concept in the Swiss GLAM community.

Finally we demonstrated how to unify finding aid structures issued from a heterogeneous archival environment (non uniform formats and differing products in use) with the platform http://data.alod.ch.

Through this paper we hope to demystify the dangling web around Linked Data and encourage other archives to embrace this new paradigm.

Biography

Stefan Kwasnitza, Swiss Federal Archives

Stefan Kwasnitza works as head of the Information Access Division at the Swiss Federal Archives. Previously, he was engaged as head of the Library- and Archives-Systems Department at the Swiss National Library. He graduated from the universities of Zurich and St. Gall, holds a diploma in webprogramming and is the head of Access and Outreach Working Group of the Association of Swiss Archivists.

Frédéric Noyer works as a Digital Archivist for Docuteam GmbH. He was previously engaged during 3 years in a similar position at the Archives of the State of Neuchâtel, Switzerland. He graduated from the University of Fribourg where he received master degrees in History and in Information Management. He is a member of the Access and Outreach Working Group of the Association of Swiss Archivists as well as the OpenGLAM.ch Working Group.

Jean-Luc Cochard, Swiss Federal Archives

Jean-Luc Cochard travaille depuis 2 ans aux Archives fédérales suisses. Il est en charge de la gestion informatique des AFS et est directement impliqué dans la mise en place de la stratégie des données publiques libres (OGD) de l’administration fédérale suisse. Il s’occupe aussi de l’évaluation du potentiel de nouvelles technologies telles que Linked Data pour la valorisation du contenu des données d’archives. Avant cela, il a occupé différents postes en recherche informatique et dans le management de PME.
Information provides the basis for many business activities, including visions, strategies, investment decision-making, appropriation of government funds and determination of the archival resources of the nation. In today’s digital environment, protection of information and the systems upon which it resides are of key concern. For organisations to receive future economic benefits from their information, it needs to be available in such a way that it provides value. Following the decisions of what records to keep as vital evidence of the past, the value then comes when information is accessed, shared, used and re-used.

There is a strong movement towards open data, linked data and information sharing. Gruen et al. (2014) suggest that more vigorous open data policies could provide an estimated impact and contribution to Australia’s cumulative GDP growth in the order of $16 billion per annum. This would represent about 1 per cent of GDP over the next five years, and about half the G20 growth rate target[1]. With this in mind, the challenge is to provide access to open data to those with legitimate need, while ensuring its integrity and provenance for the future.

In scientific organisations such as Geoscience Australia (GA), information quality has profound effect when considering open data. When using scientific data, the error margin must remain low, as potential impact and reputational risk are high. Measures of information trust and provenance (including adherence to standards) for open and linked data are needed to mitigate risks.

GA has implemented a significant multi-jurisdictional project with strong information sharing capabilities, taking into consideration the information management advice from the National Archives of Australia (NAA). A key outcome was that metadata enables interoperability, when based on appropriate standards and tools.

Using GA’s project as a case study, this paper highlights the role of metadata when trusting and sharing open data, and the challenges and opportunities in establishing measures for interoperability. As a contrast, the paper also discusses the challenge of retro-fitting information management capability in a whole-of-government business system to automatically select permanent records for transfer to NAA. The paper provides a link between metrics and interoperability on the path towards trusting and ensuring the value of information when sharing open data.


The author acknowledges the assistance of Geoscience Australia when writing this paper.

Biography

Jo Hanisch, National Archives of Australia

Dr Jo Hanisch holds an undergraduate degree in science from the University of Adelaide, an undergraduate degree in business and a Master of Business (Professional Accounting) from the University of South Australia, and PhD in information systems from Deakin University. She has numerous publications in scholarly journals and international conferences, and her research interests include metrics and the value of digital information and communities of practice. Since leaving her career in academia, Jo has been employed at the National Archives of Australia. She is currently Director of Digital Business Development and is project manager of a major project to advance the future of digital information management in the Australian Government.
Practical experiences with open data and linked data

Mikko Lampi, Liisa Uosukainen
Mamk University of Applied Sciences, Finland

This proposal presents a stand-alone paper on practical experiences and developments in utilizing open data and linked data in digital archives. In this context, open data and linked data are discussed as a pragmatic approach but also reflected based on the terminology.

Digital archives can both publish and exploit open and linked data. Publishing open data can be problematic if materials are affected by privacy, copyright or other legal restrictions. Some materials can be confidential due to security reasons. However, lots of materials would actually benefit from being opened by increased availability and utilization rate. Linked data is very useful for adding value, enriching metadata and enable new ways of utilizing archival materials. Geographical information, controlled vocabularies and ontologies are well-known examples of linked data. Publishing linked data as open data is very beneficial for the ecosystem. Using standardized linked data increases interoperability. In addition to industry standards, technology standards such as W3C RDF needs to be taken into consideration. Archival use requires open data to be reliable, trustworthy and technical usable.

The paper presents three projects carried out by Mamk University of Applied Sciences. These use cases demonstrate the practical benefits in using open data, linked data and open linked data. Briefly, they are used to provide context information, enrich metadata and connect related entities and find logical relations between archived materials.

1) Capture was a specification and design project. Its objective was to identify the core processes in a pilot archive and define linked metadata model which would support lean archival processes and minimize redundancy. The challenge was to keep the model compatible with OAIS model and other archival principles. The model was based on multiple national and international metadata standards.

2) OSA project produced a web-based digital repository and archive platform which would enable ingest, management, preservation and distribution of digital contents. The platform can be configured to be used as a digital archive supporting linked data. OSA supports using multiple metadata models, including Capture, as well as different ontologies and vocabularies. Finnish thesaurus and ontology service Finto is used to demonstrate these features.

3) Digitalization of Society Archives piloted OSA project results in a new environment. The objective was to find out how digital archive system could be implemented with OSA platform for the civil sector organizations and societies. The project had different requirements for metadata models and standards than OSA or Capture.

Biography

Mikko Lampi, Mamk University of Applied Sciences

Mikko Lampi is the research manager in information management and digital archiving at Mamk University of Applied Sciences. He has a B.Eng. in information technology. Mikko is interested in data, hacker culture, open movement and development of the information society.
Let’s build trustful archives: preserving the authenticity of hybrid records

Fiona Aranguren Celorrio
Archives de l’Etat, Belgium

Paper-based and digital-based environments have been coexisting for a good while and not as peacefully as we wished. The context of ‘hybrid records management and archiving’ spawns from this coexistence. For instance, a record is created by means of an online application, and is subsequently printed, signed and pushed to the next step of the workflow.

Two scenarios shape the context of this article: the HECTOR research project financed by Belspo as part of the BRAIN programme and the legal missions of the State Archives of Belgium.

On the one hand, the HECTOR research project (promoters: UNamur, ULB, AGR and UdeMontreal) aims at developing a model for the transformation, organization and curation of hybrid records in the Belgian federal administrations so as to facilitate the transition towards a trustful, secure and effective electronic government. In the course of the on-going analysis, we have identified various major issues regarding hybrid records management and archiving, one being the exchange and preservation of trustful digital records.

On the other hand, the legal missions of the State Archives of Belgium consist in supervising, collecting, preserving and giving access to paper and digital records from the Belgian public authorities, taking care of both their legal and historical value in the long term.

In theory and according to archival diplomatics, this hybrid situation means that there are many copies of the same record, with a different degree of reliability, authenticity and accuracy in the eyes of the law. However, in practice, whilst the record may change its form, format or support, its content remains the same. The question concerning authenticity for specialists like records managers and archivists is clear: what it is that confers a digital record its trustworthiness? How do we preserve it in the long term?

The analysed organisations often raise these questions, sometimes proposing their own solution, such as an electronic signature generated with the Belgian e-ID, by using the XAdES standard (XML Advanced Electronic Signatures). However, these solutions do not address preservation issues. When digital records are no longer active, an archiving service will take care of them and their metadata... including their e-signature, if applicable. Are we ready for this? Do we really need to preserve the e-signature itself for historical purposes? And for legal reasons? If yes, are we prepared to do so? This paper looks forward to answering these questions and proposing some reasonable solutions.

Biography

Fiona Aranguren Celorrio, State Archives Belgium

Graduated in History from the University of the Basque Country and postgraduated in Archival studies from the University Carlos III in Madrid (2010), she has done several internships in Spanish archives and in the Central Archives of the Council of the European Union (2011). After working for two years in a private company in the Industrial Property sector, she joined the State Archives of Belgium as a research assistant for the HECTOR research project.
La sécurisation du processus de dématérialisation : les apports de la diplomatique

Céline Guyon
Conseil général de l’Aube, France

La dématérialisation représente un enjeu majeur dans les domaines économiques, sociaux et technologiques. Elle est aujourd’hui une réalité pour les administrations et les usagers, en France.

Communément comprise comme la transformation du papier en fichiers électroniques, la dématérialisation est un processus complexe avec une dimension juridique très forte, à côté des aspects informatique, métier et organisation. Le changement de support est en effet de nature à entraîner des ruptures dans la chaîne de confiance et d’authenticité. Ruptures parfois complexes à gérer en raison notamment de la multiplication des exemplaires similaires du document sur des supports différents.

Tous les acteurs s’accordent pour dire que la confiance est le carburant de l’innovation numérique alors même que l’authenticité et l’intégrité sont menacées dans l’espace, à chaque transmission du document et dans le temps, à chaque cycle technologique.

Dans ce contexte d’instabilité et de fragilité des supports et des contenus, l’intervention se propose d’étudier, à l’appui d’exemples concrets, quelles sont les conditions nécessaires à la préservation de l’authenticité des documents, à toutes les étapes de leur cycle de vie (au moment de leur création, de leur numérisation le cas échéant et de leur diffusion) et jusqu’à leur archivage. Ces conditions passent par la définition et la mise en œuvre de mécanismes de déclaration d’authenticité avec l’identification, la description et la collecte des marques d’authenticité des documents. Ces marques sont de plusieurs types : marques d’intégrité du contenu (attributs de date du contenu, attributs de non altération du contenu), marques d’origine (attributs d’identité de l’auteur, d’identité des acteurs du processus de validation), marques laissées par l’auteur et le processus décisionnel, de transmission (attributs de contextualisation), marques de fiabilité (attributs de confiance).

L’intervention soulignera qu’une approche archivistique de la dématérialisation combinée à une approche diplomatique du document sont essentielles et participent de la sécurisation du processus de dématérialisation dans son ensemble.

Biography

Céline Guyon, Conseil général de l’Aube

Data preservation, Open Data and protection of personal data: concurrent strategies at the Girona City Council

Lluís-Esteve Casellas
City Council of Girona, Spain

The evolution of business management of the organizations at the last years has produced and produces an exponential amount of data. While these data merely were the basis to create records, the preservation of data from databases systems was only an optional decision for the records managers. When the databases systems started to stop the generating of records, in paper medium or digitally in PDF format, to keep the records in a structured way, the issue not could be avoided for the records managers. Therefore, the data preservation of databases systems became a significant challenge to be considered.

The mapping of data in the systems and its appraisal to identify records based on a linked and coherent set of data constitutes an important role from the professional perspective. However, to preserve data as records is not enough if we can not ensure their authenticity. Thus, this is another aspect to be considered. At the same time, Open Data projects need to identify the datasets to be published, but the reliability of these datasets is also indispensable. In this sense, to ensure the authenticity of the source is absolutely needed. In the same way, personal data must be protected. Consequently, it is really essential to identify in what databases systems personal data are. On the other hand, this identification and mapping facilitate the dissociation task to open datasets.

The objective of this proposal is to show the strategies of the City Council of Girona to preserve records managed in databases that also include the authenticity angle. This has been achieved through the periodic and systematic extraction of data in different formats, but also securing database systems that contain digital records, from their creation to their fixation, and from their fixation to their incorporation into a Records Management System. This strategy is reinforced by the requirements of Open Data project and besides by the legal obligations to protect personal data, especially in the databases systems.

In conclusion, the strategies of records preservation in databases make the data selection easier for Open Data projects. At the same time, Open Data and protection of personal data projects can be an important incentive to develop or reinforce these strategies. The presentation of this work in progress will show some results of this linking of strategies.

Biography

Lluís-Esteve Casellas, City Council of Girona (Catalonia)

Lluís-Esteve CASELLAS is an archivist, Head of Department of Records Management and Manager Data Privacy at City Council of Girona. He’s member of the National Commission on Records Access and Appraisal (CNAATD) of Catalonia, and coordinator of the Working Group on Appraisal for the Municipal Records in Catalonia. He have participated and participates on university formative as the ESAGED (High School of Archives and Records Management, of Universitat Autònoma de Barcelona), International University of Andalucia, propagation meetings, working groups and projects, such as Latin American Forum of Appraisal Records (FIED), of ICA, TEAM Catalonia of the InterPARES 3 Project and, currently, InterPARES TRUST. He also worked as a private consultant for several public administrations on Records Management, and he has published works on those subjects, Archaeology and History.
Desperate times calls for creative measures: efforts for preservation of records created in networked environment in a water utility company in South Africa

Mpho Ngoepe
University of South Africa, South Africa

Rand Water is the largest bulk water utility institution in South Africa that supplies city and municipal utility companies with water. It has been in existence since early 1900s. Rand Water is one of the earliest public institutions in South Africa to introduce electronic document and records management system (EDRMS) applications in the early 1990s. Over the period of two and a half decades there have been numerous changes at the institution and within the South African legal framework there is a need to transfer the digital records into archival custody. However, there is a consensus among researchers that there is no infrastructure to ingest electronic records into archival custody. This poses serious challenges to organisations such as Rand Water as they are forced to create an interim solution for electronic records. The challenge is compounded by the fact that since implementing EDRMS in the early 1990s, Rand Water has migrated to two EDRMS products from the original one. There is a danger that some records might have been lost during migration or trust in records compromised. This paper qualitatively assesses the recordkeeping environment within Rand Water from both legal, as well as technical perspectives in order to recommend the appropriate archival environment for the preservation of the institution’s electronic records in the absence of national archival infrastructure. The key finding suggests that organisations such as Rand Water can apply for exemption from archival legislation to be able to develop interim solution for preservation of electronic records.

Biography

Mpho Ngoepe, University of South Africa

Mpho Ngoepe is an associate professor in the Department of Information Science at the University of South Africa. Prior to his current position at Unisa, Prof Ngoepe has worked for the United Nations Children’s Fund, Auditor-General South Africa and the National Archives of South Africa (Cape Town and Pretoria). Prof Ngoepe is serving in the national committee of the South African Society of Archivists (2009-2015) and the board of Eastern and Southern Regional Branch of the International Council on Archives (2009-2015) as the editor of the journals.
Documenting the North where international cooperation meets national priorities!

Chantal Marin 1, Meg Phillips2
1 Bibliothèque et archives Canada, Canada  
2 National Archives and Records Administration, United States of America

The North, or Circumpolar region, is, for many nations, a priority. Governments worldwide have committed to fostering sustainable development in the North; supporting Arctic peoples through economic development and improved health conditions and cultural well-being; combating climate change; and protecting the ocean and the Arctic’s biodiversity. Documenting these aspects of Arctic life is an international priority for Northern countries. At the same time, there is a need for increased collaboration amongst nations to address northern issues and ensure that the changes affecting the North are documented, preserved and made accessible for generations.

Library and Archives Canada (LAC) and the National Archives and Records Administration (NARA) are committed to preserving the memory of the North.

This presentation will first delve into the multi-faceted and innovative approach LAC and NARA have embraced to document the North as a priority. This includes building, preserving and making accessible government and private sector data, information, archives, web (through extensive web harvesting), social media and other documentary heritage. The presentation will also provide some insight into the importance of collaboration amongst governments at all levels and the private sector in building national collections in areas that are important to citizens such as the North.

The presentation will also provide an overview of LAC and NARA’s involvement with the Arctic Council, a leading intergovernmental forum of Arctic States for international cooperation on Arctic issues. 2015 marks the end of the Canada’s two-year chairmanship of the Arctic Council and the beginning of the US Chairmanship. From 2013 to 2015, LAC supported the Council in the development of the Arctic Council Archiving project. LAC assisted the Council in developing a digital records management system in areas of records creation, archiving and access. Approval by all member states of the proposed archival approach and tools is testimony to the success this initiative has had internationally. The presentation will demonstrate the importance of advocating for an archival and information management program in order to hold international organizations accountable and make their records accessible to the global community.

The presentation will then turn to the current US Chairmanship of the Arctic Council and provide a glimpse into the political landscape of an international consortium. The presentation will then provide a synopsis of the proposed action and the important role NARA will play in the Council over the coming two years.

Biography

Chantal Marin, Library and Archives Canada

Chantal Marin-Comeau is the Director General of the Evaluation and Acquisitions at Library and Archives Canada. As such, she oversees the evaluation and acquisition of documentary heritage for LAC. This includes Government of Canada records of enduring value, private archives, published documents through legal deposit for commercial and government publications as well as web and social media content. She directs the issuance of records disposition authorities to government Canada institutions. Her portfolio includes supporting and leading Government of Canada strategic information management and recordkeeping initiatives such as Open Government and has a leadership role in the setting of government information management policy. Prior to joining LAC, Ms. Marin-Comeau held a number of executive positions in a variety of government institutions and in the private sector. She holds a degree in Nursing Sciences and a Masters in Health Administration.
The New Zealand public sector is looking to remove barriers to forming an integrated, cohesive system approach to managing information. There are clear desires to open Government data and information further, at the same time as ensuring privacy and security of personal information.

Under the umbrella of the Department of Internal Affairs (DIA), the Chief Archivist sits alongside the Government Chief Information Officer (GCIO) and the Government Chief Privacy Officer (GCPO). These three roles have cross-government functional responsibilities. The GCIO role guides investment in, and the management of, information and communications technology in order to open up government information and data and establish foundations for improving service delivery. The GCPO role is charged with assisting the entire public sector to improve its appreciation of privacy issues and information management and providing advice to agencies to help them build capability. The Chief Archivist has statutory responsibility to ensure appropriate management of government recordkeeping and long term access to the national archive.

DIA therefore houses a range of functions and roles that set expectations and build capability to encourage good information management practices across government. There are a large number of strategic programmes and projects being led, or supported by, the Department that will enable more effective management and use of data and information.

The GCIO-led Government ICT Strategy and Action Plan to 2017 has placed an emphasis on managing information as an asset as one of four focus areas. DIA is expected to be a change leader in the online and information management space across public offices. The action plan recognises the need to unlock the value of information and build capability and good governance around information management. 2012 was a year of major public sector data breaches and so trust and security issues are highlighted in the plan.

How does Archives NZ maintain an overview and influence strategic developments and initiatives so that an archival lens is placed over initiatives that are informing the shape of future infrastructure, tools and functions? Furthermore how can the Chief Archivist, in partnership with others, successfully contribute to a step-change improvement in valuing and managing information assets?

This paper will examine the opportunities for influencing the public information system by bringing together the mandates for privacy, record-keeping, and information management system as a whole across government.

Biography

Marilyn Little, Department of Internal Affairs

Marilyn Little is Chief Archivist and General Manager of Archives New Zealand. Marilyn has over 18 years’ experience in senior public policy management roles. As General Manager of Policy at the Department of Internal Affairs (DIA), she led a policy group delivering policy advice, legislative programmes and research & information across the sectors of internal affairs, local government, community & voluntary portfolios. Prior to that, from 2006 to 2011, Marilyn was Director of Policy at DIA. As Sector Manager at the Office of the Auditor-General, she was responsible for engagement with transport and social sector agencies. In her nine years at the Department of Labour, Marilyn managed several policy portfolios, including immigration and employment service. During that time, Marilyn was responsible for policy advice to support major changes in Government direction on immigration and border security policy. Marilyn holds a BA (Hons) in History and a Masters of Public Policy.
Advocacy for archives by using UDA: The 'Catalan Way' towards Transparence and Access to Public Information.

Joan Soler Jiménez, Vicenç Ruiz Gómez
Catalan Association of Archivists, Spain

According to the Universal Declaration on Archives, “they are authoritative sources of information underpinning accountable and transparent administrative action” and an open access to them “promotes democracy, protects citizens’ rights and enhances the quality of life.”

Nowadays, due to the huge economic, social and mistrust crisis Catalonia is through, words such as “accountability”, “transparency” or “open government” occupy a central part of the present mainstream political and media discourse. The Catalan Parliament was also the first legislative chamber in the world that has adopted the UDA in 2013. This adoption was promoted for the Catalan Association of Archivists and Records Managers (AAC) as the first step of our advocacy program. Actually, a real advocacy program needs a clear and continued set of activities to transform the UDA in something strongly assumed by organizations.

We want to present our advocacy plan started in 2013 and based in two main goals and three strategic lines.

Our two main goals are:

a) To insert the UDA Principles into the programs of political parties on next elections (Spring and Autumn 2015) and

b) To promote the UDA Principles encouraging public and private organizations, and individuals as well, to officially adopt the UDA

Our three strategic lines are:

1) “Getting archives political, not politicized”: to prevent “politicization” we should include all political parties and we should explain the same message inserting the UDA principles in their programs to strengthen the regeneration of democracy, the achievement of real transparency and the return of people trust in political institutions.

2) “Making other key agents spread your message for you”: AAC must address also to civil society to emphasize the importance of implementing a proper policy of records management in public administration to light the burden of bureaucracy, to create solid evidences in e-government, and also in private sector.

3) “Conquering the last frontier: the media”: although the major part of users come to archives for administrative and legal reasons, the image of cultural and historical institutions prevails in the media. It is essential to change this common imaginary about by acquiring a more constant presence in traditional and 2.0 newspapers, radio and TV channels.

Finally, we present some results of two years of intensive work. How many organizations have adopted UDA in Catalonia? How political parties have understood UDA principles? How they have implemented these principles? And how the imaginary of archivists and records managers have changed?

Biography

Joan Soler Jiménez, Catalan Association of Archivists

Since 2013, Joan Soler Jiménez has been the president of the Catalan Association of Archivists and Records Managers. He is also the director of the Historical Archives of Terrassa near Barcelona. He received a degree in Medieval History in 1997. Later he went to Rome to study Diplomatics and Archivistics and Latin language in the Vatican School of Palaeography and in the Università Pontificia Gregoriana. In 2002 he Workshop Proposal returned to Catalonia and studied, for his postgraduate degree, managing electronic records and implementing EDRMS in public organizations. From 2003 to 2009 he worked in a team to implement successfully an EDRMS in the City Hall of Terrassa. In 2009 he started to work for the Historical Archives. He is currently managing records from the Xth to the XXIth century. In addition, he is representing the Catalan Association of Archivists and Records Managers on the SPA Bureau.
To collaborate or not to collaborate that is the question- raising awareness about public archives in the national archives of east and southern Africa

Nampombe Saurombe, Patrick Ngulube
University of South Africa, South Africa

For a long time public archival institutions have felt that it is the public’s responsibility to approach these institutions to address their information needs. Fortunately this trend has changed, and over the years more public archival institutions utilise public programmes to encourage more societal engagement with the archives in their care (ICA Principles of Access 2012; Nesmith 2010). Research in the East and Southern Africa Regional Branch of the International Council on Archives (ESARBICA) seems to indicate that more effort is required to make archives a part of the daily lives of citizens from this part of the world (Kamatula 2011; Kamatula, Mnkeni-Saurombe and Mosweu 2013; Kemoni, Wamukoya and Kiplang’at 2003; Ngulube 1999; Ngulube and Ngoepe 2011; Ngulube, Sibanda, Makoni 2014; Ngulube and Tafor 2006; Njobvu, Hamooya and Mwila 2012).

Public archives in east and southern Africa function in a competitive information environment. Institutions such as libraries and museums, like public archives offer information. Not only do public archives, libraries and museums compete for the same clientele, but also limited funding from their governing authorities. In light of this fact, the paper seeks to explore whether public archives should collaborate with other information providers or not in their mission to increase societal engagement with the archives. As an exploratory study, questionnaires were administered to all the Directors of the National Archives in the ESARBICA region, while archivists and ESARBICA Board members were interviewed. Findings indicate that collaboration in outreach initiatives were evident to a certain extent in the region, however there was rare collaboration with libraries and museums. Therefore this paper argues that there is need for public archives to play a stronger role in collaborative efforts in order to improve their visibility and widen their reach to the public in east and southern Africa.

[1]. This study is part of an extensive doctoral study on public programming in ESARBICA.

Biography

Nampombe Saurombe, University of South Africa

Ms. Nampombe Saurombe is a lecturer at the Department of Information Science, University of South Africa. This paper is part of her doctoral or PHD study on public programming in east and Southern Africa.
Information and Civil Rights

Session 3.3 - The rights of citizens & governments, legislation, principles of access, processes in denying access (1)

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Access to the SIC archive in connection to special provisions on confidentiality

Rögnvaldur G. Gunnarsson
Nation Archives of Iceland, Iceland

Foreword on the SIC and its archive:
The Special Investigation Commission (SIC) was a commission set up by the Icelandic legislative authority (Althingi) in relation to the Icelandic financial crisis 2008. The Commission got extensive authority for collecting information; e.g. questioning bankers and politicians and gathering information on financial affairs of vast numbers of people and financial institutions. This included financial information from the Icelandic banks on their customers and the financial and economic information of the banks. The SIC delivered its report to the Icelandic parliament in the spring of 2010. During the 16 months investigation an extensive archive of the Special Commission was created. Under the law of the Commission the archive was transferred to the National Archives of Iceland when the SIC’s work was completed in 2010.

The presentation and access to the SIC archive:
The presentation is set up as follows: first I will focus my attention on the Icelandic information act no. 140/2014 and its general principles on access and restriction concerning the public’s right to information. From there I detail the restriction on access concerning special provisions of confidentiality. I explain these provisions in general in connection to access to the SIC archive. Analogous to the second point I review the process of denying access to the SIC archive and I revise at least two cases from the National Archives of Iceland concerning limits on access to information as a result of special provisions of confidentiality. This case study involves cases from the governmental Information Committee and The Supreme Court of Iceland.

Relevance to the programme theme:
The presentation is in agreement with programme theme 2. b. and d. As stated in the summary of the presentation I review the rights of the citizens to information, and overall the presentation concerns the rights of the citizens to access information. To be more specific there will be a review on the general principles on access according to the Icelandic information act no. 140/2012 and on the process in denying access with an emphasis on special provisions on confidentiality. The process will be detailed from the refusal of access from the National Archives to case appeal to the Information Committee or a summon to The Supreme Court of Iceland.

Biography
Rögnvaldur G. Gunnarsson, National Archives of Iceland

Rögnvaldur G. Gunnarsson (b. 1987). B.A. in law from the University of Iceland, Mag.Jur. in law from the University of Iceland, currently an undergraduate student in philosophy and an advisor at the National Archives of Iceland since 2013. Former chairman of the board of Orator, law student association of the University of Iceland, former assistant teacher in a foundation course in philosophy and philosophy of law, academic years 2011 and 2012 (taught as a first year course in the Department of law, University of Iceland).
Providing Access to Social Case Files

Svanhildur Bogadóttir
Reykjavík Municipal Archives, Iceland

The social case files and other documents relating to the lives of individuals are important series of documents relating to the rights of the citizens. It is important that they are created and arranged in orderly fashion and kept for the future.

There is much discussion about the right of individuals to be forgotten and that documents relating to difficulties in the younger age should not be kept for the future. The social case files can be quite bulky and take up space in the storage rooms. They are considered private matters and in most countries closed to others than the individual that the case relates to.

How long should the social case files and other private information about individuals be kept? Can they be used for research in the future? The speaker has analysed the requests for own case files in the past 7 years at one archives to see at which age people come to the archives to look for their cases. The speaker present the result of the analysis, as well as talk about methods in providing access to sensitive information which the citizen has right to see, about denying access and ethical issues relating to the matter.

Biography

Svanhildur Bogadóttir, Reykjavik Municipal Archives

Svanhildur Bogadottir has been city archivist and director of the Reykjavík Municipal Archives Reykjavík since 1987. She graduated from New York University with MA degree in History and Certificate in Archival Management in 1987 and with MBA from The University of the Hague in 2002. Svanhildur has been active within the ICA, including serving on the Steering Committee of the Section of Municipal Archives (SMA) from 2000 to 2008. Svanhildur has been on editorial boards and written several articles in magazines and journals, taught courses on record management and given presentations both in Iceland and abroad on various subjects. She was a founder of the Icelandic Records Management Association (IRMA) in 1988 and it’s president 1989-1991, vice-president 1997-1998. Svanhildur Bogadottir was made an honorary member of IRMA in December 2013 for her life work in archives for 25 years. Recently, Svanhildur has been doing research and presentations on the preservation of women’s archives in Iceland, as well as research on outcome of promotions efforts of archives and study of users and non-users of archives.
Challenges and Prospects in revitalising memory institutions in the digital age: Case of Zimbabwe

Collence Chisita, Forbes Chinyemba

Harare Polytechnic School of Information Sciences, Zimbabwe

The world over National archives plays a critical role in preserving society’s national intellectual and cultural heritage so that it prevents the catastrophic disaster in the form of national amnesia. A national cultural heritage is significant in determining the future and this is why it is crucial to invest in the development of memory institutions. This paper will highlight the role of the memory institutions in capturing the nation’s collective memory, for example, oral history. It will also explore the role of the Archives in Social Advocacy. The writer will also explore the various programmes the memory institutions have embarked upon for example, ‘Capturing a fading memory Programme’. It will also highlight the extent to which memory institutions have been useful in sustaining Zimbabwe’s cultural heritage. It will explore information management strategies for libraries and archives. The paper will examine community engagement strategies. The writer will explore the strategies that are in place to enhance the value of archives amongst the local people. It will explore how libraries and archives are utilising linkages through partnerships to enhance the value of service delivery. The paper will explore the extent to which the memory institutions have adapted a market oriented approach to make the institution more useful and relevant to everyone irrespective of status. The writer will also examine the role of memory institutions in promoting culture, research and education in the digital age. It will also highlight the challenges and opportunities of providing services as the country gears for the technology driven knowledge economy. The writer will also seek to explain how memory institutions can exploit modern technology like Information and Communication Technology (ICT’s) to provide value added services and engage communities to realise inclusive development, for example, e-inclusion and e-democracy.

Key words: Knowledge economy; Information and Communication Technology; National Memory; Cultural Heritage; Advocacy; Social advocacy; development

Biography

Collence Chisita, Harare Polytechnic School of Information Sciences

I am a Principal Lecturer/Researcher holding MSC.LIS. I am based at Harare Polytechnic and do teach and conduct research in various subjects including Records Management, Management of Heritage Centres, Libraries among others.
Information and Civil Rights

Session 3.4 - Records and archives in the Open Government era

Making Archives Available under Canada’s Open Government Initiative
- Library and Archives Canada’s Block Review Project

Paulette Dozois
Library and Archives Canada, Canada

Library and Archives Canada is an important player in The Open Government Partnership - a multilateral initiative aiming to secure concrete commitments from governments to promote transparency, empower citizens, fight corruption and harness new technologies to strengthen governance. In March 2014 the Canadian Government launched its Open Government 2.0 Action Plan. Library and Archives Canada is responding to this undertaking with a number of important initiatives.

One of its most successful responses is the Block Review Project. Its purpose is to open as much previously restricted government records as possible and make them available to the researching public. LAC began this project in 2010 and by the end of December 2014 the project has opened over 10 million pages.

One of the main themes of ICA 2015 is described as ‘records and archives in the Open Government era’. This LAC proposal strongly contributes to this theme and will be valuable to other national archival institutions who operate under a variety of access and privacy laws.

What is Block Review and why has it been so successful? It is a methodology that systematically reviews blocks of government records in LAC’s archival holdings and is based on a risk-based approach analyzing both the age of the record and its subject. Block Review is completed by using various sampling strategies in order to determine whether the records can be opened under Canada’s access and privacy legislation. This paper will summarize the LAC Block Review project since its inception in 2010. The paper will explain the methodology, how it developed, review its successes and highlight its potential applicability to other jurisdictions.

The new Block Review methodology integrates both archival and access precepts into a single coherent approach. The methodology applies specific exempt subject criteria covering international affairs, intelligence and defence subjects. It integrates traditional methods of inquiry and practices with new risk-based concepts and logically and consistently unites the age and contextual nature of an archival record with its access status. The risk based assessment sampling analysis is at the heart of the methodology. Sampling techniques available to the project - both quantitative and qualitative - substantially decrease the risk involved.

The paper will explore the Block Review methodology and analyses of this Library and Archives project as it directly contributes to the international Open Government Partnership.

Biography

Paulette Dozois, Library and Archives Canada

Paulette Dozois is a Senior Archivist at Library and Archives Canada currently directing LAC’s Block Review Team researching, assessing and making LAC holdings available through this risk assessment process. Ms. Dozois’ career began as a private records archivist working on the Prime Ministers and Political Fonds Records Team and later, as a government records archivist, was LAC’s lead International Affairs Archivist. Her career also included time spent in LAC’s Policy Division and as Head of the Department of National Defence Directorate of History’s Archives and Library Section. Ms. Dozois has published widely in Archivaria and other journals on such diverse subjects as Canadian regional records, Canadian international affairs records and on the implementation of Canada’s Access to Information and Privacy legislation. Ms. Dozois has also been active in presenting numerous conference papers at the Association of Canadian Archivists’ Annual Conferences and at other historical and archival associations meetings.
Lessons from Hillary: The Challenge of Ensuring A Complete Public Record of the Activities of Government (And Access To It) In the Digital Era

Jason R Baron
Drinker Biddle & Reath LLP, USA

In March 2015, the New York Times first reported that former Secretary of State Hillary Clinton exclusively used a private email network for the conduct of diplomatic business via email during the four years she served at the US Department of State. In the ensuing days and weeks, it was revealed that out of 60,000 email records residing on the private server, approximately half had been returned into the custody of the State Department, with the remaining half deleted after determinations were made in secret that they constituted personal records, rather than public records.

The controversy that has followed galvanized world attention (at least for a while) with respect to the importance of maintaining complete documentation of the public record of high-level officials carrying out important missions on behalf of their country, as well as questions of transparency, security, and access.

With respect to adequate documentation, to what extent is it realistically possible to ensure a complete record in our digital era? What strategies should public institutions employ to best ensure capture of email and other forms of electronic communications? What is the role of the archivist in these public policy decisions?

With respect to open government, how can we be assured that public officials are acting with due diligence to comply with requests for access to government information? How can institutions do a better job in ensuring access by citizens to government information, including with respect to greater reliance on technology?

Finally, with respect to security, is it ever legitimate to maintain records relating to government business outside the custody of public institutions, and what is the risk involved, in light of constant threats from hackers and other hostile agents of foreign governments? How can email archives in particular be better protected?

This proposed paper is not aimed at re-capping the particulars of one set of incidents at the Department of State. Rather, discussing the implications of Secretary Clinton’s use of a private email account may help serve to better inform archivists and decisionmakers on their duties and responsibilities in our digital age.

Biography

Jason R Baron, Drinker Biddle & Reath LLP

Jason R. Baron is an attorney at Drinker Biddle in Washington, D.C., and former director of litigation at the National Archives. He is the 2011 recipient of the Emmett Leahy Award for his work in advancing the cause of electronic recordkeeping and e-discovery through innovative uses of automation and technology.
The crowd or the machine - who should feed the archive?
The value of crowdsourcing compared to automatic generated metadata

Søren Bitsch Christensen
Aarhus City Archives, Denmark

The paper demonstrates how datasets and tags provided by crowdsourcing can enrich the registration of the municipal records in order to provide an integrated digital communication.

This paper invites to a discussion of the possibilities of crowdsourcing as a tool to indexing digital collections in comparison with pure digital techniques. The paper discusses how we can lift data from crowdsourcing out of an isolated communication context and into an integrated digital solution.

It focuses on methods to include full-text digital collections with the registration system. The aim is to create a coherent, appealing and modern digital service to the general public that in an innovative way consists of metadata of official records and digitized private and public data. In doing so, the paper also calls for a discussion of the value of automatically or semi-automatically generated metadata compared to classic recording practices.

The paper evaluates three projects at the Aarhus City Archives.

On the basis of the digitized collections of www.sejrssedler.dk and Aarhus City Council Minutes 1867-1997 (unpublished), the paper discusses methods and experiences from crowdsourcing of retro-digitalization of systematic extracts from the local press 1794-1940 and printed records of the City Council from 1867 to 1997. In both projects crowdsourcing has been used for proofreading and indexing (markup indicators) of OCR scans and also for manual transcriptions. Sejrssedler.dk holds more than 125,000 extracts, while the City Council minutes contain 61,000 agenda items; the latter alone has been qualified with a quarter of a million markup indicators.

The purpose of inserting markup indicators it to prepare the material for integration with the general registration system of the Aarhus City Archives, called AarhusArkivet.dk. The indicators are normalised from a variety of standards - a time-consuming process that, however, is a necessary prerequisite for extracting authority lists (keywords / tags).

The authority lists will then later be used for computer generated recognition of tags in future digital collections. The authority lists will furthermore be used for archive registration as a supplement to standard registration standards. The basic principle of AarhusArkivet.dk is an enhanced understanding of the archival document as something that next to the paper document and born-digital document also includes the retro-digitized document and other digital resources. AarhusArkivet.dk is based on a continuous digital workflow for both private digital documents - for instance received from the digital reception system Smartarkivering.dk - and municipal records, finally made available in a digital universe.

Biography

Søren Bitsch Christensen, Aarhus City Archives

City Archivist, Aarhus, Denmark. Historian with a PhD in history, 2001. Director of the Danish Centre for Urban History and Ass. Professor in Urban History, Aarhus University, 2001-2011. Member of the Committee of European Association for Urban History. The first director of the new City Archives in Denmark's second city, Aarhus 2011. At the city archives – and on the basis of substantial private funding – he is presently engaged in system development of a new digital archive registration system that integrates both back-end and front-end, municipal and privates records, born-digital and digitized files.
Who was Where? A geo-referenced history of ‘everything’

Peer Boselie
De Domijnen / city of Sittard-Geleen, Netherlands

In the province of Limburg (NL) an innovative project is being undertaken in which digitally the history of the city is excavated, starting from vectorized cadastral information, enriching it, adding genealogical information, using only authentic material and information, making all information traceable, open source programs, using simple formats only, and keeping the project low-budget… The project is undertaken by the archives of the Sittard-Geleen region, together with several historical societies, in collaboration with other archives in Limburg.

This ‘Aezelprojek’ is being undertaken by a small staff of professionals and (meanwhile) more than 60 volunteers. In this growing ‘family’ there are (next to the principle that hardly any money is available) seven main principles:

a) starting from volunteers, their interests and capacities
b) digitally excavating the history of the city
c) doing that starting from vectorized cadastral information
d) connecting history of people and society itself with cadastral information
e) using only authentic information (archives, museum-objects, photo’s, oral history, video, archeological finds…)
f) making every part of information traceable to its source
g) making use of open source programs and simple formats

The results are stunning. We are working together with social organizations, so volunteers are partly people with ‘a spot’ like autism or reintegration after burn-out. People, who never showed interest in history are now working with historical information with fun and high quality results. Next to archival information, also museum-objects, photo’s, oral history, video and archeological data is added as enriching data. Many new insights have seen the light. The city’s history is growing fast (even in 3D, so that multimedia students now do their internship with us). Interesting is to see that sometimes even money can be earned (or saved) by integrating the project in municipal policy. Side-effects are that because the information is being presented in a very accessible way it causes a lot of social (and political) support, and that vulnerable people, by being volunteers, become more self-confident. Some of them even got a paid job as spin-off.

The project as such was not intended as a scientific project. However, already new insights in the history of the city have seen the light.

Biography

Peer Boselie, De Domijnen / City of Sittard-Geleen

drs Peer Boselie (*23-12-1958, Eindhoven Netherlands) has studied history, archival science and theology in Heerlen (UTP) Nijmegen (Radbouduniversity) and Den Haag (Rijksarchiefschool). He is the Sittard-Geleen city-archivist since 1999. He was founder and director of the Euregional Historisch Centrum (EHC) from 2010 till 2015 and of the Stichting Cultuur- en Grensgeschiedenis (2012-). The EHC is now part of cultuurbedrijf De Domijnen. He publishes mainly on Euregional subjects, church-history and mediaeval recipes.
Repenser l’accès aux archives: la mue des Archives nationales de France, partenariats innovants et salle des inventaires virtuelles.

Rosine Lheureux, Claire Bechu

Archives nationales, France

Dans le cadre de leur refondation, grâce à l’ouverture de leur nouveau centre, les Archives nationales ont été récemment conduites à repenser leurs modes de collaboration avec les opérateurs de la recherche. A un moment où ceux-ci doivent opérer des rapprochements, sous la forme de projets partagés, la diversité des partenaires des Archives nationales, conjuguée à la stabilité et à l’indépendance de celles-ci, établissement culturel et non de recherche, accroît véritablement leur attractivité. Il s’agit donc pour les Archives nationales, outre le fait de diversifier leur sources de financement, dans le cadre des réponses aux appels à projets, de prendre autant que possible l’initiative de croisements qui intéresseraient le champ archivistique, sur des thèmes transverses et ouverts à de nouvelles disciplines (création artistique, robotique, etc.), abordé sous des angles différents par l’ensemble des partenaires. Les fonds d’archives deviennent ainsi terrain d’expérimentation et d’innovation. Au terme de trois ans de projets conduits dans un cadre interdisciplinaire, avec des professionnels totalement étrangers au monde des archives, nous nous proposons de présenter quelques-unes de ces utilisations, à des fins de recherche, en physique-chimie, dans le champ mémoriel comme des neurosciences, ou encore en vue de l’amélioration de l’accessibilité au savoir et au patrimoine matériel, utilisations toutes sous tendues par le devoir de faire ainsi œuvre citoyenne et de service public.

Par ailleurs, les Archives nationales ont ouvert une nouvelle page de leur longue tradition de mise en valeur éditoriale des fonds dont elles ont la garde. Les dernières décennies, diverses collections avaient alimenté cette politique de mise à disposition des clés d’accès aux archives, la plus emblématique demeurant la publication de l’État général des fonds en 5 volumes à l’aube des années 1990. A présent, la publication d’instruments de recherche vient d’être profondément repensée : une salle des inventaires virtuelle, accessible en ligne sur Internet, a été ouverte, afin de recevoir tous les instruments de recherche sous forme dématérialisée. Pour ce faire, près de 25 000 inventaires de forme très diverses ont été dématérialisés en vue de leur mise en ligne. Parallèlement, les Archives nationales ont mis au point un programme qui permet de produire des inventaires directement créés dans le système d’information archivistique. De cette manière, elles ont profondément renouvelé leur offre en direction du grand public comme de la communauté scientifique.

Biography

Rosine Lheureux, Archives nationales

Conservateur en chef du patrimoine, j’ai exercé diverses responsabilités aux Archives nationales, aux Archives de Paris, en administration centrale et à l’Assistance publique-Hôpitaux de Paris. J’ai été chargée il y a deux ans de mettre en place les partenariats scientifiques des Archives nationales en lien avec les universités et organismes de recherche, poste que j’occupe encore actuellement.
Measures and practices of the Republic of Korea for ensuring the reliability of digital records

Jiyoung Lee  
National Archives of Korea, South-Korea

The Republic of Korea established 'Public Records Management Act' in 1999 and set policies and systems for records management of public sector. According to these policies and systems, records are created and managed in originating office using 'Records Creation System' and then transferred to 'Records Management System'. In last phase, 10 years after records are retained in 'Records Management System' they are transferred to and preserved in 'Archives Management System'. In order to secure authenticity, integrity, reliability, and availability of digital records, the Republic of Korea has introduced essential functions and infrastructure in line with standards of meta-data and functional requirements. In particular, long-term preservation is realized using long-term preservation format which capsulates digital document file format (PDF/A), meta-data, administration electronic signature, and hash value in XML. Also, a security measure has been in place in order to prevent records leakage which might take place in the process of digital records transfer. However, preservation measures for other types of records such as dataset are still being considered. So, it is meaningful not only to share current policies, standards, and system of Korea, but to discuss issues Korea faces and direction in respect to digital records.

Biography

Jiyoung Lee, National Archives of Korea

I took B.A and M.A in computer science. Working in an IT company from 2000 to 2007, I had been in developing system. After entering the National Archives of Korea in 2007, I have been submerged in the development of standards, central archives management system operation, and strategy development for digital records to transfer records from a records center to archives. Now I have interest on dataset.
The Data Exchange Model for Archiving (MEDONA): a key standard for the digital archiving policy of the Archives de France

Claire Sibille
Service interministériel des archives de France, France

Data processing and office automation, already present in public services, in enterprises and in households for several decades, continue to develop. However, far from the aim of ‘zero paper’ that the emergence of micro-computers had promised us, now we look into the objectives of efficiency, productivity improvement or services of better efficiency and better quality that data processing could bring. The administration and the public services are taking an active part in this evolution of our society. A typical example is the take-off of electronic administration, which is constantly accelerating nowadays with different governmental programs. Electronic exchange plays an important role within a context where mainly the organisation efficiency and the exchange facilitation are looked for. The Data Exchange Model for Archiving or MEDONA is placed at this strategic level of the information system (for more information, see: http://www.archivesdefrance.culture.gouv.fr/seda/). It aims at facilitating the interoperability between the information system of an archival agency and the information systems of its partners: Originating Agency, Access Requester, Control Authority, and Transferring Agency. It provides a framework for the various specific transactions which may occur: transfer; delivery; modification notification; destruction notification; withdrawal). Each transaction is modelled as a scenario for exchange of messages. These messages are formally defined as XML schema. MEDONA has been incorporated into the general interoperability framework established by the order n° 2005-1516 of 8 December 2005 relating to electronic exchanges between users and administrative authorities and between administrative authorities. Moreover, it has been used to enable public agencies to export data but also to develop tools that can import data exported in the SEDA format and that run according the transactions defined by the model. Thus, we can say that the standard plays a pivotal role for the French public administration. Lastly, it is being standardised by the French Association of Standardisation and the future national standard should be released by the end of the year.

Biography

Claire Sibille, Service interministériel des archives de France

Claire Sibille de Grimoüard, archiviste paléographe, est conservateur général du patrimoine au Service interministériel des Archives de France (Ministère de la Culture et de la Communication-Département des patrimoines) où elle a occupé différents postes, des politiques de normalisation pour le traitement et la conservation des archives au développement de politiques sur l’archivage numérique, et enfin à la définition de la politique archivistique dans son poste actuel.
Evidence, security, and civil rights all depend on authentic records. But proving authenticity in the digital environment can be difficult. Records professionals have a pressing need for measures to ensure and assess authenticity as our financial, governmental, health, critical infrastructure, and social network systems increasingly rely on complex integrated, interdependent (although not necessarily interoperable), distributed networked systems. Much research has been conducted on the preservation of authentic records and many recommendations and guidelines have been produced, but despite the wealth of past and current research findings, recommendations, and tools, authenticity is still discussed as an urgent problem to be solved. Are these recommendations being implemented in practice, and if so, how and to what extent? This paper presents the author’s doctoral research into the practice and beliefs of records professionals with respect to the authenticity of the digital records and data they manage and preserve. The hypotheses of the study are that, despite clear guidance from archival science on the means of ensuring, managing, and assessing record authenticity, a guidance reflected in digital preservation research, this theoretical knowledge is not being consistently applied in practice, and records professionals are often unclear about how to define authenticity, how to protect it, and how to assess it (i.e. how to authenticate records and data). The author conducted a web-based survey of records professionals and subsequent semi-structured interviews to measure how records professionals ensure, manage, and continuously assess record authenticity and to what extent their practices reflect the results of available research. The survey and interview findings support the hypotheses, and show that records professionals rely heavily on traditional heuristics in the practice of ensuring authenticity of records but believe in the greater value of technological mechanisms for assessing authenticity and authenticating records. The results further show that the standard archival definition of authenticity is not uniformly accepted or implemented in practice, and terms such as authenticity, reliability, integrity, and provenance are often used interchangeably and with little precision. They also reveal that experience plays a major role, in that professionals who are not required to authenticate records in the course of their work tend to have more confidence in technical mechanisms that those who are. Records professionals, traditionally the trusted agents of record control (trustees), have frequently become the trustors, placing their trust in technology of which they may have little understanding and even less control.

Biography

Corinne Rogers, University of British Columbia

Corinne Rogers is an adjunct professor in the iSchool at UBC. She has completed her doctoral research on contemporary concepts on authenticity of digital records and data in theory and practice. Her research interests include privacy and identity, provenance, and ethics of metadata.
Information and Civil Rights

Session 4.3 - The rights of citizens & governments, legislation, principles of access, processes in denying access (2)

Classification and declassification policy and oversight from the US National Archives

John Fitzpatrick
National Archives and Records Administration, USA

By order and regulation, the President governs the national security classification system in the United States. The National Archives, on the President’s behalf, supports and directly oversees the design and implementation of the security classification system. The Information Security Oversight Office, as part of the National Archives, is a respected and neutral authority supporting open government and accountability by improving access to government records containing national security information. It works in support of this national commitment to transparency while balancing the need for secrecy as a national security imperative.

In this presentation, the Director of the Information Security Oversight Office will outline the interagency process for the development of information security policy, the role of his office in overseeing implementation of that policy, and the unique roles of the Interagency Security Classification Appeals Panel and the Public Interest Declassification Board as bodies promoting public engagement in the classification system. This presentation will describe the policies and processes of the classification system. It will explore the advantages (and challenges) of a classification system based on executive, rather than legislative or judicial, authority. It will discuss classification categories, the original classification process, classification challenges, and the implementation of the declassification milestones of 25, 50, and 75 years established by executive order. It will include a discussion of the Interagency Security Classification Appeals Panel and its role in approving agencies’ requests to extend the classification of specific information beyond those milestones and that panel’s role as the ultimate appellate authority for requests for the declassification of government records.

In recognition of the public’s role as a stakeholder in the classification system, this presentation will describe the role of the Public Interest Declassification Board, which actively solicits input from the public and makes recommendations for the improvement of the classification and declassification systems to increase access to government records. The President adopted several of the board’s recommendations from the 2012 Report, Transforming the Security Classification System. Most recently the board has been evaluating emerging technologies to enable future access to the growing universe of classified electronic records.

In summary, this presentation will explain how the National Archives, through the Information Security Oversight Office, helps ensure the security of sensitive information and the declassification of no longer sensitive information. Both are integral parts to ensure security, transparency, accountability, and the documentation of history in the United States.

Biography

John Fitzpatrick, US National Archives and Records Administration

Mr. Fitzpatrick was appointed the Director of the Information Security Oversight Office (ISOO) at the US National Archives, with the approval of the President, on 1 August 2011. He leads ISOO in carrying out the President’s programs to improve transparency, openness, and access to information while ensuring that classified national security information is properly protected. These programs include oversight of the nation’s security classification and declassification programs, the Controlled Unclassified Information program, the Public Interest Declassification Board, the Interagency Security Classification Appeals Panel, and the National Industrial Security Program. Before joining ISOO, Mr. Fitzpatrick served as the Assistant Deputy Director of National Intelligence for Security, the principal advisor to the Director of National Intelligence on matters regarding the protection of national intelligence and intelligence sources and methods. He previously served in the Senior Intelligence Service at the Central Intelligence Agency (CIA) and the National Reconnaissance Office (NRO).
The new Archives Act in Iceland

Eiríkur Guðmundsson
National Archives of Iceland, Iceland

Since 2012 two fundamental laws concerning public rights have been renewed in Iceland; the Information Act in 2012, and in 2014 a new Archives Act was passed.

These laws are two sides of the same coin. The Information Act applies to documents younger than 30 years old, and the Archives Act applies to documents 30 years old and older.

The objectives of the Information Act is to guarantee transparency in government administration and strengthen the right to information and the freedom of expression. It is also to support the possibilities for the public to participate in a democratic society, and strengthen the restraints exercised by the media, and finally it is to increase the public confidence in government authorities. Which is much needed.

The new Archives Act was 6 years in the making and is very detailed in comparison to the old law from 1985, which at the time was considered very modern. The new act is divided into 12 chapters, and has in all 50 paragraphs, twice as many as the old law. That fact indicates the scale of the changes made. Although the new law is detailed, there will be issued regulations on certain aspects of the law. The Act has many innovations, and it starts a new era in the field of archiving in Iceland. Overall it strengthens the role and position of the archives. The main changes made in the new law are on (1) access. The rights of the general public and researchers to access official archives, are clearer in the new law. Access is greater than before, it applies to all archival material, both paper and database information. There are extended possibilities regarding conditioned access to sensitive data. Regulations regarding time limits have been made clearer.

The new Archives Act also states more clearly than the old law who is obligated to transfer records to an official archives. Those are, all state and municipal agencies and institutions, administrative committees, private sector bodies which have been assigned public service roles, and corporations which are 51% or more in public ownership. Lastly it should be mentioned the the new act has increased the responsibility of the administrators in charge of the recordkeeping at the institutions, it can now be punishable, be fine or imprisonment, to disregard the Archives Act.

Biography

Eiríkur Guðmundsson, National Archives of Iceland

Eiríkur G. Gudmundsson became National archivist of Iceland in 2011, at first on a preliminary basis, but since 1. December 2012 he was permanently hired. Before that he headed the department of IT- and public services in the National Archives of Iceland since 2001. One of his main tasks was preparing the receiving of electronic records for long-term preservation. Eiríkur was also responsible for the websites and other publications and public services in NAIS. For many years he represented his archives in various fields of Nordic co-operative projects. Eiríkur has a Cand. Mag. degree history and is a certificated teacher. He studied history both in Reykjavik and Copenhagen. Before Eiríkur joined NAIS he had 25 years experience as a teacher and a school leader. For some year he was a headmaster for a secondary school in Reykjavik. Eiríkur main interests is 18th century Icelandic history.
Making public records and archives available as an intellectual resource for independent use by current and future generations

Naka Sasaki
National Archives of Japan, Japan

This session will discuss achievements and problems of Japanese public records management reform with the enforcement of the Public Records and Archives Management Act (PRAMA) in 2011 as its highlight. Subsequent efforts for enhanced functions and facilities of the National Archives of Japan (NAJ) will be also covered.

Certain results have been accomplished by the reform. For example, Japanese version of the records schedule system, which was newly introduced by PRAMA and sets out disposition of administrative documents as soon as possible before expiration of their retention period, began to take root; and catalog information of official documents transferred to NAJ is made open to the public online within a year of their transfer. Given these circumstances, taking the opportunity of fifth-year review of PRAMA, the Cabinet Office, the agency responsible for public records management, has made a beginning to revise the overall reform plan.

On the other hand, there is a growing need to enhance the functions of NAJ particularly in exhibition and education. One of NAJ’s roles is considered to provide younger generations with an opportunity to think about their own history through public records. In response to this, the Cabinet Office, Diet members and NAJ have started to work cooperatively on a project to build a new facility in the area around the Diet building and to spur organizational improvement. In parallel, NAJ has been undertaking independent efforts to expand the number of its supporters through challenging activities such as a first-ever international exhibit jointly held with a foreign archival institution in March, 2015.

Biography

Naka Sasaki, National Archives of Japan

Mr. Naka SASAKI joined the National Archives of Japan (NAJ) as Vice-President for Administration in April, 2015. As a key member of the management team, he is responsible for daily operation of NAJ.

Mr. Sasaki began his public career in the Management and Coordination Agency in 1992 and has served in a variety of positions in the fields such as the public service personnel system, the administrative decentralization reform, youth affairs, Okinawa-promotion and government publicity. He recently worked for the Secretariat of the Environmental Dispute Coordination Commission (2013-2015) and the Northern Territories Issue Association (2012-2013).
Land Registration Records Protect Farmers’ Rights and Interests

Bing Wang
State Archives Administration of China, China

With the construction of the rule of law, China has increased the recognition and protection of individual rights. Since the reform and opening up, through the implementation of rural policy, the vast majority of the land have been contracted to individual farmers by the collective for cultivation, and a registration system that the individuals declare land in rural areas to the government has been gradually implemented, and the government issues management rights of contracted rural land to farmers to further clarify the management rights of contracted farmland and forests. The registration system produced a large number of land registration records of family and individual farmers, which provide a basis for farmers to manage the land - subcontract leasing or mortgage financing, protecting farmers’ individual rights and interests in a market economy.

China’s lands belong to the state and the collective, so the ownership of lands cannot be traded. Farmers only contract for the right to use the lands with the collective. The uncertainty of the right to use means risk in production, operation, rights and interests for farmers; for example, if the government, the collective or other organizations propose amendments to the contract relationship and the right to use, the farmers’ rights and interests may be directly harmed. In a market economy, such risks occur in all aspects of land management. Land registration records are the most important documents and evidence for lands and forests in economic activities, and with the legal authorization, farmers and individuals can avoid systemic risk in market economic activities and protect their rights and interests.

Land registration records, including individual registration application materials, land surveying and investigation reports, land contracts, land register, and land management rights records, are not identical in nearly 3,000 counties in China. The government’s archival departments issued the Administrative Measures for Registration Records of Management Rights of Rural Contracted Lands, making provisions to the most important records, classifying the range of records that must be archived, and stipulating their retention period.

Biography

Bing Wang, State Archives Administration of China

Information and Civil Rights

Session 5.1 - Relationship between human rights and records management

Accountability, Integrity and the Future of Rwanda’s Genocide Archives

Stuart Wilkinson  
National Air Traffic Services, United Kingdom

Archives play a key role in the official memory of an event. The archive helps shape what is remembered and what is forgotten, whilst they influence future interpretations and re-imagining of events long past. Randall Jimerson has spoken eloquently of the power of archives to work as a force for good within society and to help hold society to account. Archives hold the key to accountability and social justice. They hold a truth that can challenge individual and collective decision-making and ensure accountability and justice throughout society.

However, in acknowledging ‘archive power’, it is important to consider the actions and influences that undoubtedly shape the archive. To what extent are archives open to manipulation and exploitation during their lifecycle? How do acts of targeted destruction affect the archive’s ability to represent the past? Such questions can cast doubt on the integrity of the archive.

These themes can be explored in the context of the 1994 Rwandan genocide. Over a period of one hundred days, around one million people were killed. As Rwanda moves forward under President Kagame, his vision of a unified Rwanda encourages remembrance and commemoration of the genocide. The commemorations of 2010 saw the establishment of the Kigali Genocide Archive as a means to capture the memory of the event and to help educate future generations to prevent further atrocities.

Whilst Rwanda has undoubtedly made great economic and political progress, commentators have raised concerns about Kagame’s own role in the genocide and alleged suppression of dissenting voices. In the context of the Kigali Genocide Archive, how does this impact upon the memory of the genocide that is being captured?

This paper will consider the role of the formal, captured memory of the genocide within the Kigali Genocide Archive and other collections, (particularly the United Nation’s International Criminal Tribunal for Rwanda), and contrast with the memories held by those involved in the genocide. It will explore how archives can be used to bring accountability to society, before moving onto analyse how archival collections are shaped by a multitude of competing influences that can threaten the integrity of the archive itself, such as the deliberate destruction of records, the lack of an archival strategy and political manipulation of the archive.

Biography

Stuart Wilkinson, National Air Traffic Services

Stuart has worked in a variety of archival and records management roles in both the UK and overseas, including a spell as Archivist for Manukau City Council in Auckland, New Zealand. He has also worked for the European Bank for Reconstruction and Development and Wessex Archaeology. Stuart currently works in a Records Management role for the UK’s National Air Traffic Services (NATS) where he continues to implement a corporate-wide archives and records management programme. In 2012, Stuart gained an MA in Records Management and Digital Preservation, which included a dissertation exploring the themes of memory and identity in the archives of the Rwandan genocide. Stuart remains interested in understanding how the formal archive of an event as divisive as genocide can reflect and represent the memories of those involved. He is hoping to commence work towards a PhD in September.
Archiving Collections Of Trauma: Responsibilities and Obligations to Support Citizens’ Rights

Elizabeth Shaffer, Lisa Nathan, Maggie Castor, Richard Arias Hernandez, Sheena Campbell

University of British Columbia, Canada

Globally, archivists collect materials related to human atrocities with aspirations to facilitate access to collections in support of acknowledging, learning from and perhaps lessening the probability of further harm. Trust in archival systems and the records they contain is often predicated on discourses of transparency and accountability. However, understandings of the potential of materials within collections and the preservation and access systems that hold them are shifting. Archival scholars are challenging the profession to recognize its obligations to account for pluralistic understandings of materials and the ways in which they are framed (e.g. Caswell, 2013).

Over a decade ago archival scholars Cook and Schwartz stressed the need to develop more representative collections to challenge dominant accounts of history and include materials that have been neglected or misrepresented by mainstream repositories (2002). A range of projects (e.g., Kumbier, 2014) have sought to document and preserve marginalized historical narratives that fall outside Western European approaches to archival appraisal and acquisition, which can perpetuate dominant power structures and negate alternative socio-political narratives (e.g. Caswell, 2014; Flinn & Stevens 2009). Yet regardless of how many perspectives are taken into account, there is recognition that unbiased information systems are impossible (Bowker and Star, 1999; Durant et al., 2014).

How do archivists who are tasked with stewarding collections that document extreme abuses, material capable of further harm, acknowledge the limitations of bias, shifting socio-technical systems and their own agency, while taking ethically informed action? What are archivists’ responsibilities and obligations (Johnson & Michaelis, 2013) in support of citizens’ rights when acknowledging the pluralities and inequalities of citizens’ experiences?

Our research is situated in the context of the National Research Centre for Truth and Reconciliation at the University of Manitoba (CTR) being created to hold records related to Canada’s ongoing Truth and Reconciliation Commission (TRC) (Milloy, 2014). We focus our inquiry on the institutional and policy infrastructures that influence the archival system, recognizing that these non-human actors are critical forces in an ever-shifting information ecosystem wherein tools and socio-political infrastructures evolve and cycles of ethical interpretation are necessary (Braman, 2007). We identify and discuss areas of tension that create possible spaces for new understandings as the CTR progresses in its development to document unjust events in an inequitable national landscape. We seek to open a discussion of agency amongst archivists who are tasked with stewarding collections bounded by problematic juridical frameworks and standardized technological infrastructures.


Biography

Elizabeth Shaffer, University of British Columbia

Elizabeth Shaffer is a doctoral candidate at the University of British Columbia’s School of Library, Archival and Information Studies in Vancouver, Canada. She is a researcher on the InterPARES Trust Project working to investigate the role of plurality and policy in facilitating access to collections that house traumatic and/or contentious materials. Her research includes record creation and information practices in social media/networking environments, recordkeeping and archival theory, e-government and information policy. She is currently the Director of Collections at the Vancouver Holocaust Education Centre where she is the co-investigator on Citizenship and Immigration Canada and Heller Foundation grant funded projects that focus on the digitization, preservation and pedagogical use of Holocaust survivor testimonies and collections.
Cooperation and Transparency: The Records and Archives Management Model for the Transparency and Access to Public Information Network in Latin America

Beatriz Franco Espiño, Ricard Pérez Alcázar
General Subdirection of States Archives. Ministry of Culture, Spain

The purpose of this paper is to explain the process of development of the Records and Archives Management Model (MGD) that has been developed in the framework of the Transparency and Access to Public Information Network (RTA) in Latin America. The use of this Model seeks to contribute to the proper implementation of records management systems and generate the conditions that promote and facilitate the development of records management as one of the basic supports for the implementation of the laws on transparency and access to public information. It is essential, therefore, to ensure that the records management’s policy is in line with the policies of access to public information, transparency, open Government and open data.

With the implementation of the model, the records management’s processes will be more homogeneous and standardized, which constitutes a guarantee and contribution to the successful creation, processing, storage, access and control of records.

The establishment of this model seeks to strengthen the effective exercise of the right to information as an indispensable tool for facilitating access to civil and political rights and duties, human rights and the right to historical memory, as well as a necessary tool to ensure implementation of the policy of transparency of public administration in Latin America. Therefore, archives becomes a basic tool for democratic and law States.

The model is composed of 1 Document frame, 8 Implementation guides, 26 Guidelines and 3 Annexes (Glossary; Self-assessment survey; Diagnostic report: results of surveys). Available online: http://mgd.redrta.org/mgd/site/edic/base/port/inicio.html.

The paper will detail the methodology used in the project, with special emphasis on cooperation among the ten countries involved in it (Brazil, Colombia, Chile, Ecuador, El Salvador, Guatemala, Mexico, Peru, Santa Fe (Argentina) and Uruguay) and the importance of the relationship between policies of transparency and access to public information and an appropriate records and archives management.

Biography
Beatriz Franco Espiño, General Subdirection of States Archives. Ministry of Culture, Spain

Information in Modern Society: Open Data and Partnership

Session 5.2 - Accountability and Cultural Heritage: Two Sides of the Same Archival Coin

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Between Shadow and Light: Collecting Documents and Giving Access to Information at Paris Diderot University

Charlotte Maday
University Paris 7 Denis Diderot, France

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Putting the Horse before the Cart: Cultural Heritage Enables Accountability

William J Maher
University of Illinois at Urbana-Champaign, United States of America
Heritage and Justice at Risk: Challenges of Preserving Institutional Administrative Records in an Era of Widespread demand for Transparency

William Maher 1, Charlotte Maday2, Megan Sniffen-Marinoff3, Heather Briston4

1University of Illinois at Urbana-Champaign, United States of America
2Université Paris Diderot-Paris 7, France
3Harvard University, United States of America
4UCLA, United States of America

This year’s conference theme seems to be archives’ accountability mission. No doubt, archives and records play a role in civil rights accountability. Yet, freedom of information laws leave archives of many jurisdictions and institutions outside this mission. For them, over-emphasis on accountability or civil rights can actually diminish the equally important mandate to capture and preserve cultural heritage, which sometimes is the best method of assuring accountability. These tensions are most clear in university and research institutions, whose missions are not to organize and administer public life, but to advance knowledge, learning, and discovery. Their archivists must advocate for their programs in terms of values that permeate everything their institutions do—namely, education and heritage. Today, the viability of records systems and future archival holdings requires early archival intervention, but in the educational and scientific sector, it has become increasingly difficult to secure support for capturing, retaining, and promoting access to the documents necessary for holding administrators accountable. In these institutions, accountability may not just fall on deaf ears, but even alarm administrators. Because of recent national and international controversies, some have even become reluctant to document anything officially. That’s why, in such institutions, cultural heritage may be the archivist’s best tool to obtain a record of enduring value. In fact, accountability and cultural heritage are really two sides of the same coin, as seen by scholars who regularly use institutional records for studies of cultural changes and cultural records to hold institutions to account. In this session, three university archivists will explore how accountability and cultural heritage are inextricably linked. Archival research at Harvard will be explored to show how records from the institution’s beginnings, saved largely for cultural reasons, have enabled the study and possible redress of past social and cultural issues. The University of Illinois’s archivist will discuss how its cultural heritage mission has enabled a proactive social-media and news-harvesting effort regarding a controversy over denial of employment to a Palestinian-American professor. In this case, the institution’s involvement in a lawsuit precludes formal archival engagement with the institution’s leaders. The archivist who initiated electronic records preservation at a major public university will explore how collections and access, originally justified on cultural heritage grounds, may be at risk when freedom of information activists clash with concerns of records creators. All three cases illustrate the indispensability of the cultural mission in supporting the mandate for accountability.

Biography

Heather Briston, UCLA

Heather Briston is the University Archivist for UCLA. Previously, she was the Head of Public Services for UCLA Library Special Collections, the Corrigan Solari University Historian and Archivist at the University of Oregon from 2001-2011, and also an archivist at the University of California, Berkeley. She received an M.S. in Information, (Archives and Records Management) from the University of Michigan, and a J.D. from Syracuse University, with a focus on intellectual property law. She is a current member and the past chair of the Society of American Archivists’ Intellectual Property Working Group, and teaches three different SAA workshops on legal issues for archivists. She is the author of “Understanding Copyright Law” in Trends in Archives Practice: Rights in the Digital Era. Her research explores legal issues and archives, and teaching with primary sources.

William Maher, University of Illinois at Urbana-Champaign

William Maher is University Archivist and Professor of Library Administration (1995-) and previously Assistant University Archivist (1977-85 & 1985-95) at the University of Illinois at Urbana-Champaign (UIUC). He served as Program Officer at the U.S. National Endowment for the Humanities (1985-86). He was President (1997-88) and Treasurer (1991-94) of the Society of American Archivists; and President (1987-89) and Secretary-Treasurer (1981-85) of the Midwest Archives Conference. He is Chair/Président of the International Council on Archives’ Section on the Archives of Universities and Research Institutions (ICA/SUV). He holds degrees from Case Western Reserve University, Washington University, and UIUC. As the author of one book and 27 articles, he is a regular speaker on archives and history, cultural heritage, university archival administration, and copyright law. He has taught over 600 students in the SAA’s workshop on Copyright for Archivists since 2000.

Charlotte Maday, Université Paris Diderot-Paris 7

Archivist and records manager of Paris Diderot University since 2009- vice president of the French Association of Archivists since 2014- president of the section of research and education archives of the French association of archivists since 2010- french expert for ISO/TC46/ SC11 “records management and archives” since 2010
Accountability and University Archives: Addressing Injustices as an Outgrowth of Collecting Academic Cultural Heritage

Megan Sniffin-Marinoff

Harvard University, United States of America
Since the French revolution we have regarded archivists as advocates for public access, transparency and democracy. Nowadays many governments claim to have adopted the same goals and are actively informing the public about their policies. One of the consequences of this open government approach is that these governments are bringing their records under archival control much sooner than they used to do. And the archival institutions are faced with collections containing very recent information.

These relatively young records contain many personal details. Only a hundred years ago, when we were all to fend for ourselves, our government hardly knew anything about us. These days however local and national administrations continuously collect information on all of us. And this information is ending up in archival institutions.

While our governments strive toward more transparency, another development is making public access more difficult. Although we willingly give away our personal details to online companies, we also ask our politicians to protect our privacy. This is now leading to new European privacy laws, which will be binding for all EU members. The right to be forgotten might be extended beyond just the unwanted search results on Google. May we expect our governments to delete information if we ask them to?

These strict privacy laws are also affecting the archives. What if governments will be legally obliged to delete personal information when it is no longer needed? That would mean that the right to privacy, that only lasts a few years, will supercede historical significance. If information is deleted, can we as archivists still claim the integrity of the record? And if the personal information is not deleted, are we still allowed to make a decision on access? Our Code of Ethics prescribes us to protect the privacy of those named in the archives, but leaves it to us how we do so. New privacy laws may take this decision away from us.

And if this decision is no longer up to us, will that be a pity? At the National Archives of the Netherlands we are struggling with these questions more and more. To whom do we grant access? Only historians or also those with a personal interest? Should the decision be up to us? Are we still the advocates of public access or will our main job be to protect privacy and prevent misuse of the information under our control?

Biography

Maartje van de Kamp, National Archives of the Netherlands

Maartje van de Kamp is a historian studying for her Masters degree in Archivistics. For the last six years she has been working at the National Archives of the Netherlands. First as a member of the Public Services department, handling requests for restricted documents and since 2014 as an advisor on public and restricted access to the archival collection of the National Archives. How the growing number of privacy laws and regulations is influencing the archive is a central question in both her work and her studies.
A citizen-oriented classification of personal information for their adequate protection and use in networked public services: A Chinese Perspective

Shuyang Sun 1, Xiaomi An 1, Wenlin Bai 2, Yu Dong 1, Hepu Deng 1, Haiyue Yang 1, Rui Zhao 1, Wenrui Zhong 1

1 Renmin University of China, China
2 Business School, Nankai University, China

There are many classifications of personal information with respect to the purpose of specific applications in the endeavor to adequately protect and effectively utilize personal information in networked public services in the literature. The general view and perception of individual citizens on the protection and use of their personal information is usually ignored. To effectively address this issue, this study presents a citizen-oriented classification of personal information for their adequate protection and use in networked public services in China.

 Appropriately classifying personal information is the foundation for adequately protecting and effectively utilizing them. Numerous laws and regulations with specific merits and purposes have been formulated for the protection and use of personal information in China. A majority of these laws and regulations, however, do not provide a set of adoptable guidelines for the adequate protection and use of personal information. Furthermore, the view and perception of individual citizens on the protection and use of their personal information is often ignored. As a result, there is a lack of well-developed guidelines based on a commonly accepted classification for the adequate protection and use of personal information. A review of existing laws and regulations about personal information protection suggests that the classification of personal information should be determined in accordance with the industry’s unique characteristics and the desires of the citizens who are the owners of their personal information. This study aims to investigate the classification of personal information from the perspective of citizens for their adequate protection and use.

The study adopts a multi-methods approach for exploring the issues related to the personal information protection and use. A review of the related literature is carried out for demonstrating the need to classify the personal information into general and sensitive based on existing classifications. Several categories of personal information in common use are screened from the perspective of existing laws and regulations in China. A web based survey with respect to those categories of personal information is conducted in Beijing, in which respondents are asked to choose whether each category of personal information is general or sensitive and whether they are protected or not in their workplace. Interviews are carried out to identify the perception of citizens on the classification of personal information for their protection and use. This leads to the development of a citizen-oriented classification of personal information for their adequate protection and use in a networked Chinese environment.

Biography

Shuyang Sun, Renmin University of China

Shuyang Sun is a PhD candidate of the School of Information Resources Management at Renmin University of China. She has published 7 academic papers, and participated in 8 research projects. Her research experiences involves electronic records management, terminology, standardization, and personal information protection. Now she is interested in studies of utilization and protection of personal information, especially in Internet environment.
Does improved data security for government administrative data lead to trustworthy policy research outcomes?

Alexandra Eveleigh, Elizabeth Shepherd, Oliver Duke-Williams
University College London, United Kingdom

This paper will report on research carried out in UCL's Department of Information Studies as part of the Administrative Data Research Service for England (ADRC-E). ADRC-E is funded by the Economic and Social Research Council to promote wider research access to, and innovative linkage between, datasets held by UK government departments and agencies, thereby transforming the way data are currently converted into evidence for public and economic policy. ADRC-E aims to be at the forefront of an historic shift in the social contract between the citizen and data held about them. We maintain that archivists' long experience in providing access to government records should be reflected in ADRC-E's information governance frameworks.

Early findings from case studies focusing on educational data and motor vehicle licensing will be discussed. Our research draws upon interviews with academic researchers across multiple social scientific disciplines, data collection agents, civil servants responsible for assessing access requests, and representatives from charitable foundations who commission or archive research using government administrative data. Focus groups were also held to gather data subjects' opinions about the use of such datasets for research (as opposed to administrative) purposes, and a detailed content analysis of publicly available application guidance and licensing documentation was undertaken.

Our initial results suggest that an increasing concern within government to protect the rights of citizen data subjects, by restricting access to personal and other sensitive variables, may unintentionally have had an adverse impact upon academia's capacity to generate trustworthy, evidence-based research which in turn benefits government policy-making. Researchers frequently express a view that data security stipulations for accessing government data are disproportionate to the disclosure risk involved. Differing data subject consent mechanisms and the tangle of legislation governing administrative data may inhibit dataset linkage or even prohibit use of the data for certain research purposes. But simultaneously, a rhetoric of open and accountable government is propelling the release of quantities of government data which are of questionable utility for academic research, not least because the provenance and integrity of such data are often unclear - how the data were collected, normalised, and validated; changes to the variables collected or the data structure over time.

We conclude that contemporary debates in the field of archives and records management concerning the multiple contexts of information creation, interpretation and use suggest some novel but practical avenues to explore in seeking to overcome these barriers to research use of government data.

Biography

Alexandra Eveleigh, University College London

Alexandra Eveleigh is a research associate in the Department of Information Studies at University College London (UCL) and a Lecturer in Digital Humanities at the University of Westminster. Her current work at UCL contributes to the Administrative Data Centre for England (ADRC-E), a partnership between academia and the UK government which aims to facilitate research use and linkage of government administrative datasets. Digital technologies in an archival context represent the core focus of all her research interests: Alexandra's PhD (2015) examined the impact of user participation on archival theory and practice, and in 2008 she was awarded a Winston Churchill Fellowship in connection to her work on local born-digital archives.
ICA/PCOM sessions

Session 5.4 - ICA-AtoM project update and demonstration

ICA-AtoM project update and demonstration

Evelyn McLellan
Artefactual Systems, Canada

ICA-AtoM is a free and open-source software tool designed to provide online access to archival descriptions and digital objects. The project started in 2006 with a grant from UNESCO and was then financed by the former Dutch Archives School, the Archives of France and the National Archives of the United Arab Emirates. Development of the software was originally coordinated and guided by the International Council on Archives to provide archival institutions with a means of publishing descriptions using ICA standards - ISAD(G), ISAAR-CPF, ISDIAH and ISDF. The software continues to provide this functionality for hundreds of archives around the world in more than 30 languages.

This session will describe the history of the project, its current status and plans for further development; the nature of open-source software development; and the underlying principles of the software and its implementation of ICA descriptive standards. A brief demonstration will be provided.

Biography

Evelyn McLellan, Artefactual Systems

Evelyn McLellan graduated from the Master of Archival Studies program at the University of British Columbia, Canada, in 1997. She worked as an archivist and records manager for several organizations prior to joining Artefactual Systems in 2008. Evelyn started at Artefactual as the first ICA-AtoM Community Manager, then became the lead analyst for Archimatica, an open-source digital preservation system. In 2012 she assumed responsibility for managing Artefactual’s implementation and digital preservation strategy projects, and in September 2013 she took on the role of President when Artefactual founder Peter Van Garderen stepped aside to work full-time on archives systems research.

Evelyn has served as a co-investigator on the International Research on Permanent Authentic Records in Electronic Systems (InterPARES) Project and as Adjunct Professor at the University of British Columbia’s School of Library, Archival and Information Studies. She is currently a member of the PREMIS (Preservation Metadata Implementation Strategies) Editorial Committee.

Australian National University Archives Case Study

Maggie Shapley
Australian National University, Australia
Poster sessions
Session 4.4 - Poster sessions

P01

**Automating Archives: Opening up Digital Records at the National Archives of Australia**

Jo Hanisch, Helen Walker, Zoe D’Arcy  
National Archives of Australia, Australia

National Archives of Australia staff are required to examine all collection records before they are opened to the public. Most records (about 98%) are wholly released, while 1.75% are released with some exempt information deleted. Only 0.25% of records are wholly withheld because they consist entirely of sensitive information.

Every year, the number of requests to open up records increases, and it is expected that this trend will continue. Over the last couple of years the Archives has extensively reviewed its processes in order to get greater efficiencies and meet public demand. SI

However, a new project underway at the National Archives of Australia could completely transform the organisation’s current processes and minimise the number of records needing to be individually reviewed by our staff. Using the current access examination guidelines developed to enable our (human) staff make decisions, Project Chrysalis aims to automate much of the examination process of digital records - even make decisions - something that would have been unthinkable before the digital era.

This poster will explore how digital records, while undoubtedly a major challenge for archives, also offer the potential to reimagine labour-intensive business process.

**Biography**

**Jo Hanisch, National Archives of Australia**

Dr Jo Hanisch holds an undergraduate degree in science from the University of Adelaide, an undergraduate degree in business and a Master of Business (Professional Accounting) from the University of South Australia, and PhD in information systems from Deakin University. She has numerous publications in scholarly journals and international conferences, and her research interests include metrics and value of digital information and communities of practice. Since leaving her career in academia, Jo has been employed at the National Archives of Australia. She is currently Director of Digital Business Development and is project manager of a major project to advance the future of digital information management in the Australian Government.

**Zoe D’Arcy, National Archives of Australia**

As Director of Business Systems and Online Services at the National Archives of Australia, Zoe D’Arcy leads the teams that support the Archives’ online presence as well as the specialised business systems used for the Archives’ collection management and client service delivery. Over a career with the National Archives that spans many years, Zoe has been involved in many projects that present the collection to the public - from publications, to touring exhibitions, to interactive websites. She believes that the digital environment presents as-yet untapped opportunities for archives, and is enjoying the opportunity to explore this theory by reviewing and improving the National Archives’ digital environment.
Implications of organizational policies on data security and trustworthiness.

Kari Smith
Massachusetts Institute of Technology, United States of America

Biography

Kari Smith, Massachusetts Institute of Technology, Institute Archives and Special Collections

Kari R. Smith joined the staff of the MIT IASC in December 2011 as Digital Archivist where she is establishing process and procedures for acquiring and managing born-digital content. Prior to MIT, she worked at the University of Michigan, Department of the History of Art as Head of the Visual Resource Collections and at Cornell University Library as a digital project archivist. Since 2008 she has been an instructor for the Digital Preservation Management workshops. She is a member of the ArchivesSpace Technical Advisory Council and the BitCurator Access Advisory Board. This year, she is the Technical Program Chair for IS&T Archiving 2015, and is on the program committee for the SAA Research forum. She contributes to the digital archives and preservation community through her blog and participation in several community forums.
Digital Traces as Sources of Evidence and Memory

Jessica Bushey
University of British Columbia, Canada

The proposed poster will explore the impact of mobile devices and social media platforms on the creation, use and preservation of records, with a specific focus on the legal environment. Drawing upon the research findings of The Law of Evidence in the Digital Environment (LEDE) Project, a 4-year collaboration between the Faculty of Law and the School of Library, Archival and Information Studies (SLAIS) at the University of British Columbia, Canada, the proposed poster highlights key issues in contemporary record-making and recordkeeping activities that challenge existing rules governing the admissibility of evidence at trial in the common law system. Of particular interest are the results of a survey of professionals working with digital evidence in legal proceedings and follow-up semi-structured interviews conducted by the LEDE Project.

A review of the literature and relevant case law reveals significant concern regarding the lack of established procedures and policies aimed at ensuring and protecting the trustworthiness (i.e., accuracy, reliability and authenticity) of records created, shared and stored in social media platforms (Bushey 2015; Bushey 2014). At this stage, legal challenges to the authenticity of business and personal records accessed and stored in social media platforms are inconsistent and in some situations - contradictory. Archivists and information professionals are uniquely positioned to influence the record-making activities of individuals and organizations, as well as the creation of recordkeeping systems. Their legacy as trusted custodians of social memory is central to a re-examination of postcustodial approaches involving third-party providers utilizing cloud-based services (Duranti 2015).

The aims of the proposed poster are to alert archivists and information professionals to specific issues inherent to social media platforms, such as protection of personal information, data retention and jurisdiction, copyright and use, and account termination; and to engage them in discussion about information governance frameworks that recognize the role of social media platforms and cloud-based services. Ultimately, archival institutions need to consider the increasingly complex network of creators, providers and preservers that contribute to digital traces and transform them into sources of evidence and memory.

Biography

Jessica Bushey, University of British Columbia

A doctoral candidate at the University of British Columbia, Jessica Bushey studies contemporary photographic practices that involve mobile devices and social media platforms, with a focus on ensuring ongoing access to personal digital archives and the preservation of trustworthy digital photographs for future generations. Jessica is currently a graduate research assistant with the InterPARES Trust Project <www.interparestrust.org> and the Law of Evidence in the Digital Environment Project <www.lawofevidence.org>, as well as a Sessional Instructor in the iSchool at UBC. Her most recent article entitled, “Social Media Photography: Ephemera or Personal Archives,” was published in TABULA no.17 (2014). Jessica is also actively engaged in a collaborative art practice with Cam Andrews <http://www.thruethetrapdoor.onmaingallery.com/cam-andrew-jessica-bushey/>. 
Predominant archival cataloguing standards were developed in tandem with the personal computer. These standards have their roots in the paper paradigm and emphasise hierarchical description to facilitate intellectual and physical access, and to preserve context. To date, publications concerning archival standards have concentrated on: tracking their uptake through single implementation case studies; software compliancy developments; and comparisons between different standards. Objective critique of their content and use in practice has been minimal. The case for rethinking archival description for the digital age, in terms of web access to catalogues and cataloguing back-logs, was presented by the authors at ICA2014.

This paper, the second in a series, will present the research design and initial results of a study which aims to prove the hypothesis that in the age of web based access, current descriptive standards do not facilitate intellectual and physical access to archival material, while preserving context. Should the hypothesis prove true, the study aims to establish where the insufficiencies lie.

The hypothesis will be tested through a three stage mixed methods approach using a UK lens and a professional viewpoint. Firstly, documentary analysis of web-accessible and collected material will establish the cataloguing policies and processes of archives repositories and aggregators including: the uptake of archival standards, how they have been implemented, and the online presence of archives (catalogues, digital facsimiles and born-digital material). Secondly, quantitative research methods will establish how much resource is available for cataloguing tasks, what percentage of catalogues has been retro-converted to current standards and the processing backlog. Thirdly, qualitative research, comprising structured interviews with a sample of archive practitioners and aggregators, will identify how collections are selected for processing, and how providing online access to archival descriptions and digitised resources is impacting on established cataloguing practice. Research will further investigate how the implementation of standards is helping or hindering this process and whether practitioners believe that both context and discovery are supported, particularly in the light of new technologies such as: automated metadata capture, Web 3.0 and linked data.

The outcomes of the study should provide: an overview of current archival descriptive practice and the methods and assumptions governing this in the UK. An exploration of the implications of these findings for future developments will provide the foundations of a third paper in this series, exploring alternative cataloguing paradigms through the prism of reader discovery and access.

Biography

Sarah Higgins, Information Studies, Aberystwyth University

Sarah Higgins is the director of the MSc in Digital Curation at Aberystwyth University where she lectures across the Information Studies Programmes. Her research focuses on the lifecycle management of digital materials by archives services, libraries and other information professionals, and the role of metadata in enabling access to archives and digital materials. She was formerly an advisor with the Digital Curation Centre where she led the DCC Curation Lifecycle Model Project and the standards advisory function.
Is the Original Record King? A National Archives of Australia Digital Initiative

Linda Macfarlane, Katharine Stuart
National Archives of Australia, Australia

The Australian Government’s Digital Transition Policy requires agencies to move to digital information and records management for business efficiency purposes. This includes the digitisation of existing records where it supports efficiencies or other benefits. As the lead agency for this Policy, the National Archives of Australia (the Archives) has set an example by developing a strategy to dispose of some original records after digitisation. The strategy applies to all records of continuing value in the Archives’ custody, with the exclusion of those which have intrinsic value in their original medium, or a legal requirement to be kept as evidence.

Once digitised, the strategy authorises the disposal of the original record, generally via destruction although transfer of custody and ownership are also supported. What implications does this have for the authenticity of the record which is no longer in the format in which it was created? Does this impact on the civil rights of citizens for access to the decisions of government, or is it only the informational content that matters? How does this support a sustainable approach to archival management and data re-use? And does it challenge Jenkinson’s principles of the moral and physical defence of archives?

This poster session will examine the issues which were considered in the development of the strategy, as well as the foundations which were adopted to ensure the Archives could continue to fulfil its role of caring for, preserving and providing access to the nation’s archival heritage.

Biography

Katharine Stuart, National Archives of Australia

Katharine Stuart is an acting Director in the Government Information Assurance and Policy branch of the National Archives of Australia where she contributes to the development of information and records management standards, policies and digital transformation solutions. Prior to joining the National Archives of Australia, Katharine worked as a records manager for a state organisation, a school archivist, and a project officer for the State Records Authority of New South Wales. Katharine has broad experience in records management policy, digital records transition implementation, digitisation programs as well as management of paper-based and digital records systems. Katharine is a PhD candidate at the University of Canberra where her thesis focusses on the role and perception of records and information management in digital government. Katharine also has previous degrees from the University of Canberra and Macquarie University including a Master of Knowledge Management and Master of Museum Management.

Linda Macfarlane, National Archives of Australia

Linda Macfarlane works in the Government Information Assurance and Policy branch of the National Archives of Australia in Canberra. She is responsible for guiding strategic initiatives relating to information management in the Australian government sector. Linda has spent almost 20 years working in the archival and cultural sectors and brings a public access focus to her role in information management.
## Authors Summary

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