

# AERI 2010

## Archival Principles and Practices Re-Examined

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**Where:** Great Lakes South

**When:** Tues, 6/22, 3:30 pm - 5:00 pm

**Abstracts:**

**Galloway, Patricia. Order As Received: A Foundational Virtual Order for Digital Records.**

The detection and restoration of the "original order" of the archival fonds by the process of physical arrangement has been an important archival task. Digital records' affordances, however, mean that in active use they may lend themselves to multiple virtual orderings, none of them representing an actual physical ordering on any medium. I will discuss experiments in archiving digital records capturing a formal "order as received" including the overt and forensically-available orderings of digital files on legacy media prepared by the creator/donor. The discussion includes the archiving process and the documentation of the set of derivative orderings available through the original operating system in which the medium was created. This practice is designed to capture a specific "raw" state of the fonds, to provide to the potential user a representation of an otherwise invisible stage in archival processing, and to create a documented basis for other derivative orderings.

**Rhee, Hea Lim. Exploring the Relationship between Archival Appraisal Practice and User Studies in U.S. State Archives and Records Management Programs**

Since the 1980s a number of archival researchers have directly or implicitly promoted the user study as an essential appraisal tool for collecting information on users and use. However, user studies in appraisal practice have been mostly approached conceptually from the archival appraisal perspective and practically from the user study perspective. There has been little research bridging the gap, which has complicated and obscured the actual relationship between appraisal practice and user studies.

This study is the first to explore empirically the relationship between appraisal practice and user studies. It employs an online survey and interviews with U.S. state archivists and records managers who conduct appraisal practice. The results will show their current utilization of user studies in appraisal practice by U.S. state archivists and records managers and their attitudes toward user studies' feasibility and value. This study has been selected to receive the LRRT Jesse H. Shera Award for the Support of Dissertation Research at the 2010 ALA annual conference.

**Zhang, Jane. The Principle of Original Order and the Organization and Representation of Digital Archives.**

This dissertation research is designed to investigate whether the archival principle of original order, originating from the nineteenth century European paper-based records tradition, continues to be the guiding principle in the organization and representation of digital archival collections in the twenty-first century. The investigation focuses on the three aspects of original order identified from the literature - its definitions, purposes, and representations, as reflected in the three key research questions: 1) What defines original order in digital environments? 2) What value does original order contribute to digital archives? 3) What role does original order play in digital archival representation? The content of the presentation will cover construction of conceptual framework, development of research questions, research design and methodology, methods of data collecting, coding and analysis, and preliminary findings.

**Eveleigh, Alexandra. 'We Think, Not I Think': Implications of User Participation for Archival Theory and Practice.**

Recent developments in web technologies and social software parallel a cultural shift which challenges the authority of the professional. Despite much argument between advocates of the 'crowd' and the 'expert', there is little understanding of the potential impact of user-generated content upon archival theory and practice. This presentation will outline the starting points for my research: To examine the utility, usage and broader value of user participation projects in archives, and to identify those factors which lead to their success or otherwise. Are such initiatives scalable to small or independent archives as well as larger, national institutions? To investigate the impact of collaborative methodologies on professionalism and professional practice, and to consider how user contributions might be incorporated within ISAD(G). To examine the extent to which these collaborative developments are new phenomena, or whether they are similar to previous 'analogue' attempts to engage with wider communities

**Convener:** Richard Cox, University of Pittsburgh

**Bios:****Richard Cox**

Richard J. Cox is Professor in Library and Information Science at the University of Pittsburgh, School of Information Sciences where he is responsible for the archives concentration in the Master's in Library Science degree and the Ph.D. degree. He was a member of the Society of American Archivists Council from 1986 through 1989. Dr. Cox also served as Editor of the *American Archivist* from 1991 through 1995 and Editor of the *Records & Information Management Report* from 2001 through 2007. He has written extensively on archival and records management topics and has published fourteen books in this area: *American Archival Analysis: The Recent Development of the Archival Profession in the United States* (1990) -- winner of the Waldo Gifford Leland Award given by the Society of American Archivists; *Managing Institutional Archives: Foundational Principles and Practices* (1992); *The First Generation of Electronic Records Archivists in the United States: A Study in Professionalization* (1994); *Documenting Localities* (1996); *Closing an Era: Historical Perspectives on Modern Archives and Records Management* (2000); *Managing Records as Evidence and Information* (2001), winner of the Waldo Gifford Leland Award in 2002; co-editor, *Archives & the Public Good: Records and Accountability in Modern Society* (2002); *Vandals in the Stacks? A Response to Nicholson Baker's Assault on Libraries* (2002); *Flowers After the Funeral: Reflections on the Post-9/11 Digital Age* (2003); *No Innocent Deposits: Forming Archives by Rethinking Appraisal* (2004), winner of the Waldo Gifford Leland Award in 2005; *Lester J. Cappon and Historical Scholarship in the Golden Age of Archival Theory* (2004); *Archives and Archivists in the Information Age* (2005); *Understanding Archives & Manuscripts* (2006) with James M. O'Toole; *Ethics, Accountability, and Recordkeeping in a Dangerous World* (2006); and *Personal Archives and a New Archival Calling: Readings, Reflections and Ruminations* (2008). A new book, *The Demise of the Library School: Personal Reflections on Professional Education in the Modern Corporate University*, will be published later in 2010. He is presently finishing books on archival ethics and policy; war, memory, and archives; and Lester J. Cappon as a pioneering public historian. Dr. Cox was elected a Fellow of the Society of American Archivists in 1989.

**Patricia Galloway**

I earned a BA in French from Millsaps College and MA and PhD in Comparative Literature from UNC-CH by 1973, at which time the world-wide oil-driven economic crisis guaranteed that I would not be able to find a job in academe. So instead I worked as a medieval archaeologist in Europe in the 1970s and then became involved with humanities-oriented computing, which I supported in the Computer Unit of Westfield College of the University of London, where my primary interest was text analysis. Returning to the US in 1979, I worked at the Mississippi Department of Archives and History (MDAH) until 2000, where I was a documentary editor, archaeological editor, historian (French colonial and southeastern native American ethnohistory), museum exhibit developer, and electronic records program director, while at the same time creating the MDAH's automation program from scratch as manager of information systems for all divisions of the institution from 1980-2000. I am the author of an extensive literature in ethnohistory and colonial history, including especially *Choctaw Genesis 1500-1700* (1995) and *Practicing Ethnohistory* (2006); I have been a consultant to Mississippi Band of Choctaw Indians since 1980 and have most recently worked with the tribal archivist on the reform of archival practices. From 1997 to 2000 I directed the NHPRC grant-funded project at MDAH to create an electronic records program for the state of Mississippi, which I think I may fairly claim was up and running before that of Washington state.

I was hired by the School of Information at the University of Texas at Austin in fall of 2000, with the brief to develop a suite of courses designed to prepare students to become what has recently been referred to as "Archival Engineers," capable of capturing, managing, and maintaining digital cultural objects indefinitely. In the past ten years I have taught almost 300 Master's students in digital archives classes and I currently chair the committees of seven PhD students. I also teach archival appraisal and a course in the UT Museum Studies portfolio program on historical museums, of which I am one of three principals. My teaching philosophy is based on respect for students and their ability to take control of their own learning, while my teaching practice attempts to draw from the best of my own experience as a student to pair skills in critical reading with demanding problem-oriented discovery to support lifelong learning in a field where change is endemic.

My research interests to underpin this work include institutionalization of digital repositories, appraisal practices for digital records, preservation of intangible cultural heritage including especially ethical considerations, and the analysis of digital records corpora, and I have published, presented, and supervised student work on all of these topics. Recently my interests as a historian have led me to begin investigating the generation of documentation by the community of practice that spans the computer industry, computer publications, and computer users, with a view to understanding archival documentation requirements to support historical studies in this field.

**Hea Lim Rhee**

Throughout my academic and professional life I have been committed to the archival and library fields in the United States and South Korea. Currently I am a doctoral candidate specializing in archives, preservation, and records management at the University of Pittsburgh. I received my Master of Science in Information (MSI) from the University of Michigan, specializing in archives and records management. Before coming to the United States, my undergraduate major was library and information science (LIS), and I continued to pursue my studies in this area in my master's program at Ewha Womans University, specializing in East Asian archival studies. At the graduate level, I have participated in research projects related to archives and/or libraries.

My major professional experience was two years as a librarian at the Central Library of Ewha Womans University. My primary task was to catalogue and classify East Asian (Korean, Chinese, and Japanese) medieval manuscripts and rare books using Korean Machine Readable Cataloging (KORMARC) and DDC 20. I also catalogued and classified Korean and German contemporary books using USMARC, KORMARC, and DDC 20. In addition, I worked for Korea Development Institute (KDI), a Korean government agency, and the

C.V. Starr East Asian Library of Columbia University in New York as an intern.

My research objectives are to contribute to archival studies and introduce the Eastern and Western archival communities to each other's archival knowledge. I will conduct my research from an international perspective based on my knowledge of East Asian archival studies and North American archival studies. I intend my trans-Pacific research to provide novel and valuable archival knowledge to the worldwide archival community. My research will also cross the archival and library fields. Synergetically applying my knowledge of archival studies and LIS, I will conduct interdisciplinary research.

I intend to pursue a university faculty position, and teaching will be a new and pleasant challenge in my professional life. I believe that teaching will enrich my students and myself. While I will facilitate students' learning and keep them center stage in class, I will also learn how to be flexible in my interactions with students and their varied personalities and learning strategies. Every class will be a learning experience that will improve my teaching. My teaching style and course objectives will depend on the course, but I have two consistent main goals. The first is to motivate students toward a level of independence where they develop a desire to learn on their own. I believe that a teacher must encourage students to desire intellectual improvement. My other teaching goal is to present theories, concepts, and empirical material in a way that allows students to acquire both archival knowledge and practical skills. My most important message to them will be the significance of their role in society as information professionals.

### **Jane Zhang**

I am a PhD candidate (archival concentration) at the Graduate School of Library and Information Science, Simmons College, currently working on my dissertation entitled "the principle of original order and the organization and representation of digital archives". I graduated from the joint MAS/MLIS program, School of Library, Archival and Information Studies, University of British Columbia, Canada in 2001. After graduation, I worked at the University of Calgary Archives for about two years, and then moved to Boston in 2003. I am currently a records analyst at Harvard University Archives.

At the University of British Columbia, I participated in the InterPARES1 project as one of the graduate research assistants. While working at the University of Calgary Archives, I reviewed sample archival records to study the pattern of handwritten records in modern archives. The paper "The Lingering of Handwritten Records" was presented at I-CHORA1 at the University of Toronto in 2003. After moving to Boston to work at the Harvard University Archives, I reviewed sample colonial collections in the Boston area to study American colonial recordkeeping. The paper "The Legacy of American Colonial Recordkeeping" was presented at I-CHORA2 at the University of Amsterdam in 2005.

I started the research on digital information representation in 2006 and completed two papers so far. "Ontology and the Semantic Web" was presented at the first North American Symposium on Knowledge Organization (NASKO) at the University of Toronto in 2007. "Remembered History, Archival Discourse, and the September 11 Digital Archive" was presented at the 2008 SAA Research Forum at San Francisco. My dissertation research continues to explore the topic of archival theory and practice in the information age, and specifically, in digital archival representation.

### **Alexandra Eveleigh**

I am a first year doctoral student at University College London. I obtained an MA in Archives and Records Management, also from UCL, in 1997, and subsequently worked as an archivist at the University of Southampton and at West Yorkshire Archive Service (WYAS). My PhD, entitled "'We think, not I think' Harnessing Collaborative Creativity to Archival Practice: Implications of User Participation for Archival Theory and Practice", is funded by an Arts and Humanities Research Council Collaborative Doctoral Award, and the partners are the Department of Information Studies at University College London and The (UK) National Archives.

My interest in this subject stemmed from my role as Collections Manager at WYAS, where I introduced several new initiatives aimed at encouraging greater user participation in the generation of information about our collections. In attempting to establish a sense of strategic direction for these 'Archives2.0' developments, however, I discovered that – although there is increasing evidence of practitioner experimentation with collaborative techniques in archives in the UK - there is as yet scarce analysis concerning the potential impact and challenges that such initiatives pose for professional archival thinking, training and practice. There is very little discussion regarding the resources required to sustain successful collaborative initiatives, and even less debate on how best to manage the ensuing dialogue with users, and the implications this might have for notions of archival trust and authenticity. There is also little consideration of the tensions between archives' potentially global audiences and the localised community-based performance frameworks which are the reality for the majority of UK archives outside of the national repositories.

Coming from a practitioner background, I was attracted by opportunity the partnership with The National Archives presents to derive the research questions directly from 'real world' challenges and possibilities. I believe that the practitioner community is looking for leadership in the area of collaborative engagement methodologies, and and I hope that one of the outcomes of the research will be to strengthen the theoretical underpinnings of archival practice in the UK.

The objectives of the research are:

- to distinguish between and evaluate different approaches to user engagement with the professional world
- to identify attributes which enable 'success' or lead to 'failure' in user participation in archival activities
- to develop a conceptual model of user collaboration in archives
- to understand better the implications in terms of resources, technology and professional practice of seeking to implement successful

models of user interaction with archive services

- to evaluate whether, in this light, user contribution has a role within the formal process for archival description determined by the international standard ISAD(G)



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