



**Expert Group on Appraisal**

Groupe d'Experts sur l'Évaluation des Archives

# *The ICA Expert Group on Appraisal: Recent Initiatives and New Directions*

*Rob Fisher, Library and Archives Canada, Canada*

*Basma Makhoulf Shabou, University of Applied Sciences and Arts Western  
Switzerland, Switzerland*

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# Agenda

- **ICA- PCOM Expert Groups**
- **ICA Expert Group on Appraisal (EGA)**
- **EGA & UNESCO PERSIST Project**
- **EGA & [ISO/TR 21946:2018](#)**
- **EGA New Directions and Initiatives**

# ICA- PCOM Expert Groups

# ICA- PCOM Expert Groups

## - 12 Expert Groups

### - Expert Groups are supervised by Programme Commission (ICA\_PCOM), they ...

- produce and carry out a workplan, as agreed with PCOM
- plan and identify projects to encourage and sponsor for PCOM endorsement or funding
- take responsibility for creating and maintaining web pages aimed to provide resources on its field of expertise for ICA members
- And act as liaison with partners and groups external to ICA in the same field of expertise

- [AEG - Advocacy](#)
- [EGA - Appraisal](#)
- [EGABE - Archive Buildings and Environments](#)
- [EGAD - Archival Description](#)
- [EG EMDP - Emergency Management and Disaster Preparedness](#)
- [EGLM - Legal Matters](#)
- [EGMDPR - Digital and Physical Records](#)
- [EGRSO - Research Services and Outreach](#)
- [EGSAH - Shared Archival Heritage](#)
- [HRWG - Human Rights Working Group](#)
- [PAAG - Photographic and Audiovisual Archives](#)
- [EGATTT - Theft, Trafficking and Tampering](#)

<https://www.ica.org/en/our-professional-programme/expert-groups>

# ICA Expert Group on Appraisal (EGA)

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## Why an EGA is needed?

- We provide a forum for the **high-level discussion** of trends, challenges, developments and issues related to archival appraisal;
- Provide **expert advice** on appraisal to the ICA and its members;
- Create **tools and resources** to assist archivists in performing appraisal and selection; and
- **Liaise** on behalf of the **ICA with external entities** (partners, groups, projects, etc.) on issues related to appraisal.

# ICA Expert Group on Appraisal (EGA)

## Who we are: EGA Members

- **Rob Fisher** (chair), Library and Archives Canada (Canada)
- **Lluís-Esteve Casellas**, Arxiu Municipal de Girona - Centre de Recerca i Difusió de la Imatge (CRDI) (Spain)
- **Sarah Choy**, Legislative Council Archives, Hong Kong SAR (China)
- **Mark Crookston**, Archives New Zealand (New Zealand)
- **Norma Catalina Fenoglio**, National University of Córdoba (Argentina)
- **Gro Kathrine Hendriksen**, Riksarkivet (Norway)
- **Charles Jeurgens**, University of Amsterdam (Netherlands)
- **Fabiao Nhatsave**, Centro Nacional de Documentação e Informação de Moçambique - CEDIMO (Mozambique)
- **Desi Pratiwi**, Arsip Nasional Indonesia (Indonesia)
- **Basma Makhlouf Shabou** (PCOM member), University of Applied Sciences and Arts Western Switzerland, (Switzerland)

# Expert Group on Appraisal (EGA)

The EGA (<https://www.ica.org/en/expert-group-appraisal-ega>) was created in 2015 to participate in the PERSIST Project with UNESCO and IFLA – the International Federation of Library Associations.

<https://unescopersist.org/about/>





# EGA & UNESCO PERSIST Project

# UNESCO PERSIST Project

- PERSIST arose out of the UNESCO Memory of the World in the Digital Age conference in Vancouver in 2012, and the Vancouver Declaration on the preservation of digital heritage.
- PERSIST is a “collaborative project of UNESCO, IFLA, the ICA, and other partners to address global questions related to digital heritage, including preservation strategies, technical issues, and content selection, under the leadership of the UNESCO Memory of the World Program.
- The objective is to initiate a work with librarians and museum curators on issues relating to “**content selection**” of digital heritage for long-term preservation.

# PERSIST *Guidelines for the selection of digital heritage for long-term preservation*

- The Content selection task force, chaired by IFLA, included librarians, museum curators, and archivists.
- It drew inspiration from the position paper, [The paradox of selection in the digital age](#) (Titia van der Werf & Bram van der Werf 2014)
- Content selection challenge: Develop *Guidelines* that would work for institutions of all three heritage communities, library, archives and museum
- Global [Survey on national policies and strategies for preserving digital heritage](#) : The survey took place between September and December 2016 and results are published September 2017.

# PERSIST *Guidelines for the selection of digital heritage for long-term preservation*

- Consultations showed differing professional selection concerns:
  - **Libraries** – Main issues related to digital legal deposit, e-publications, harvesting websites and social media, and mandates that often stressed current user needs over long-term preservation.
  - **Museums** – Their digital heritage is primarily information about physical holdings: metadata, research information, digital surrogates, but also born-digital art or artifacts.
  - **Archives** – Main issues were preserving the authenticity of digital records, importance of early selection and transfer of digital records, reappraisal, and the impact of legal environment on access and use, and copyright.
- The result: the UNESCO PERSIST [\*Guidelines for the selection of digital heritage for long-term preservation\*](#) by libraries, archives, and museums. Translated in seven languages: see the [PERSIST web site](#).

# EGA & ISO/TR 21946:2018

# ISO Technical Report on Appraisal

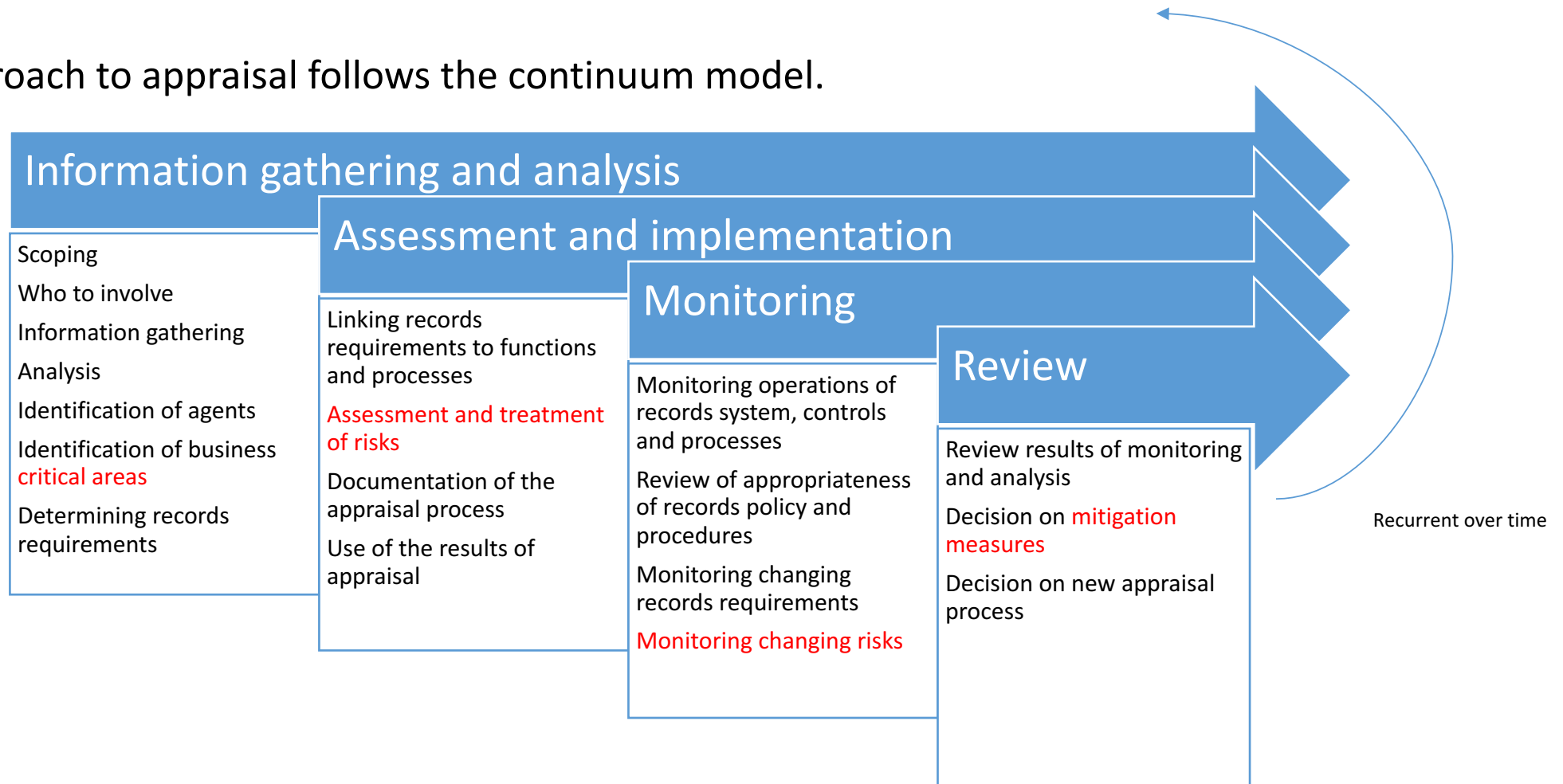
## EGA & ISO

- Providing advice to the ISO sub-committee on Archives and Records Management on its Technical Report on “Appraisal for Managing Records” ([ISO/TR 21946:2018](#)), which is part of larger ISO suite of standards on “Information and Documentation” ([ISO/TC 46/SC 11](#)).
- The ICA has a representative on this ISO sub-committee, Adrian Cunningham, and we liaised through him with the sub-committee to review and comment on drafts of the Technical Report.
- The ISO defines appraisal as “the process of evaluating business activities to determine which records need to be created and captured”, including analysis of “business context, business activities and risk to enable decision making on what records should be created and captured”.

# ISO Technical Report on Appraisal

## EGA & ISO

The ISO approach to appraisal follows the continuum model.



# EGA Review of the ISO Technical Report “Appraisal for Managing Records”

In reviewing and commenting on this draft from our own perspective, the EGA identified some issues or concerns:

- While we supported the expanded definition of appraisal, to include identifying what records *should be created* to ensure the documentation of business processes, we were concerned by an application of appraisal that **excluded the more traditional archival practice of selecting records for long-term preservation.**
- The **appraisal of already existing records** and working with external **creators was missing.** The classification schemes, **records retention plans and the different types of archival values were not mentioned.**
- For the ISO, **business risk was a driver** of what records should be created. The draft report included a reference to the **need to consider community and societal expectations**, but it seemed more aspirational. Corporate entities, for example, would be more responsive to their shareholders than to society-at-large.



# EGA Recommendations

EGA identified two differing scopes or interests: one for in-house business purposes and another society-related. In professional terms, **societal obligations** should outweigh **assessing risk to the organization**.

An “in-house” records focus tends to neglect this broader view of societal interests. The revised version of the Technical Report revealed that our recommendations had some impact:

- **Greater recognition of appraisal for societal or public interest.**
- **A downgrading of the role of risk management.**
- **Recognition that an important outcome of appraisal could be the transfer of records to an archival institution**
- **Introduction of an option to validate the results**

# Lessons from ISO collaboration

- We originally thought preparing an **ISO on archival appraisal** or comprehensive guidance on appraisal and revising the 2005 ICA [Draft Manual on Appraisal](#) would be complementary projects → **but their scope and purpose was quite different.**
- The ISO Technical Report is **not a comprehensive statement** on archival appraisal → it should be considered as **best practices in a business process**
- The **challenges that archivists** regularly face currently in doing appraisal **are still outside** its scope
- Archivists will **not find advice on records retention schedules**, or appraising offers of archival material  
Reviewing and commenting on the ISO report had an impact on our thinking:
- It is **difficult to say something definitive, authoritative, or comprehensive about appraisal** – something universal that would apply across the wide range of different types of archives – government, municipal, university, business, community, historical society
- Perhaps **our goal of revising the ICA *Manual of Appraisal* would not be feasible, or it would not be of benefit to ICA members?** Perhaps the diversity of archival appraisal needs would make it impossible to create useful “guidelines” or “best practices” on appraisal?

# EGA New Directions and Initiatives

# New Directions or Initiatives

- Perhaps of more benefit to ICA members would be for the EGA to identify already existing resources for these different types of archival institutions and various communities?
- Some very good guides and advice already exist for community archives, NGOs, state archives, personal recordkeeping, etc.
  - E.g. [PARBICA](#) has created excellent tools for appraisal to meet the needs of the smaller state archives of the Pacific islands, titled “[Recordkeeping for Good Governance](#)”.
- Instead of a manual, the EGA might create online toolkits or a wiki of resources grouped by their utility for appraisal for different communities. This is where our thinking is now.

# New Directions or Initiatives

The EGA is interested in your thoughts on this, and its work generally. What are your needs in appraisal? Is there something the EGA can do to help? This conference, in itself, is an important step in addressing the appraisal challenges facing archivists today.

**Your contributions are very welcome!**

**Fisher, Robert (BAC/LAC)** [robert.fisher@canada.ca](mailto:robert.fisher@canada.ca)

**Makhlouf Shabou, Basma (HESSO)** [basma.makhlouf-shabou@hesge.ch](mailto:basma.makhlouf-shabou@hesge.ch)



