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ON THE PATH TO AN INTELLIGENT APPRAISAL: INNOVATIVE SWISS PROJECTS

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*International Council on Archives Section on University and Research Institution Archives (ICA-SUV),
Dundee, Scotland, 2nd July 2019*

Plan

1. Terminological considerations
2. Innovative Swiss projects
3. Other developments
4. Conclusion: Major challenges
5. Additional sources

Terminological
Considerations

Innovative Swiss
Projects

Other
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Conclusion: Major
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Additional Sources

Terminological Considerations...

Terminological Considerations

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- Appraisal is a major archival function that manages the life cycle of records;
- It determines which documents to create and capture and defines the method and retention periods of corporate records as well as their final disposition;
- It clarifies and documents responsibilities and roles;
- It is operated by a documented process and tools that are at once collaborative and should help decision-making process;
- This process is based on the different contextual dimensions (internal, external, etc.).

Innovative Swiss Projects

**QADEPs
(2012-2013)**



**Infonomics
(2012-2016)**



**ArchiSelect
(2017-2018)**



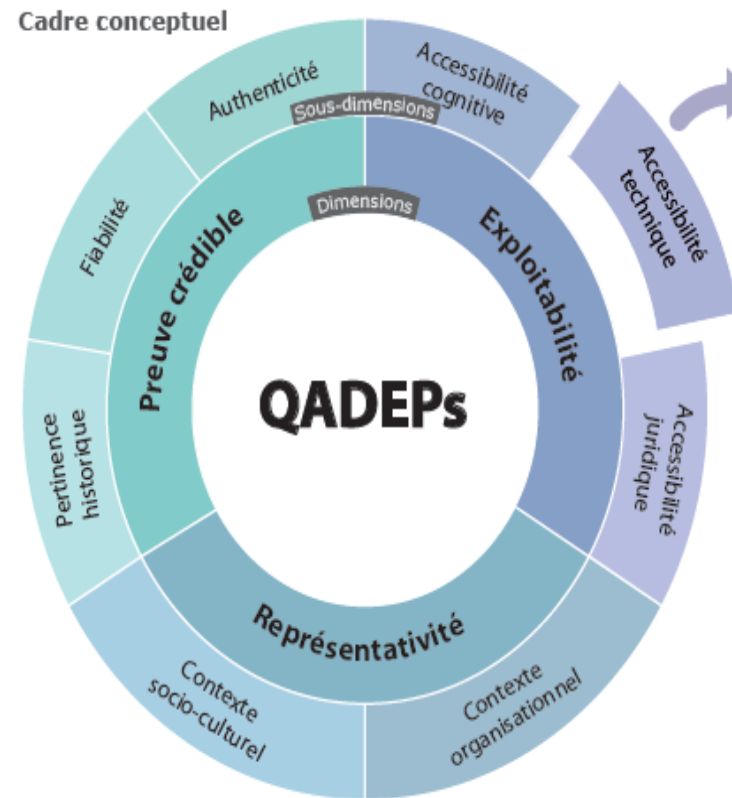
Doctoral research

Measuring the quality of records and archives (Makhlouf Shabou 2010)

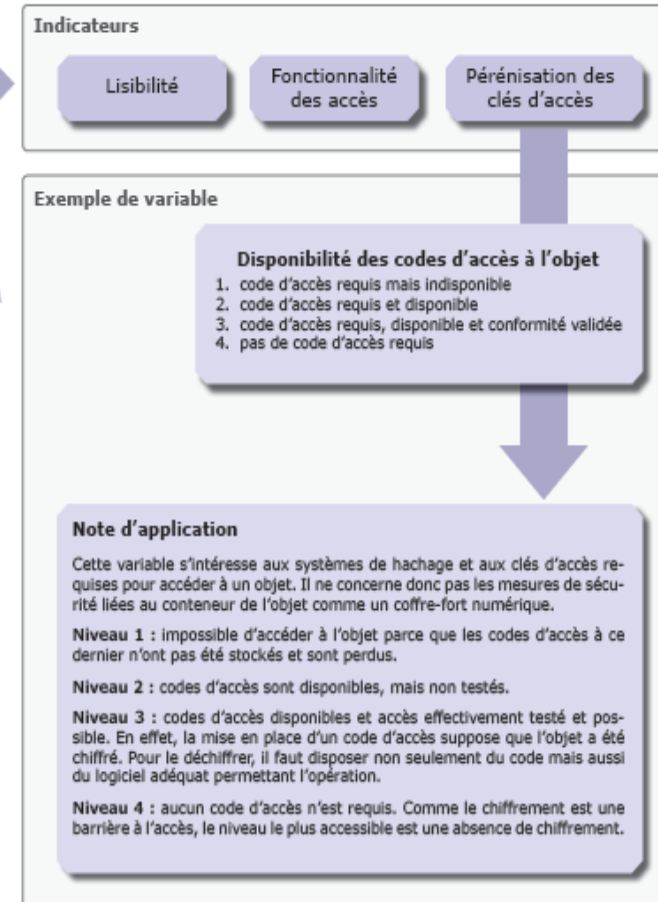
University of Montreal, EBSI : <http://hdl.handle.net/1866/4955>

QADEPs (2012-2013)

- Identify and measure the quality dimensions of digital archives to better systematize appraisal
- A set of variables for the operationalization of the appraisal criteria
- A method & an application guide
- Consideration of requirements for long-term preservation



Récapitulatif du cadre
 3 dimensions
 ↳ 8 sous-dimensions
 ↳ ↳ 15 indicateurs
 ↳ ↳ ↳ 46 variables



Infonomics (2013-2016)

Terminological
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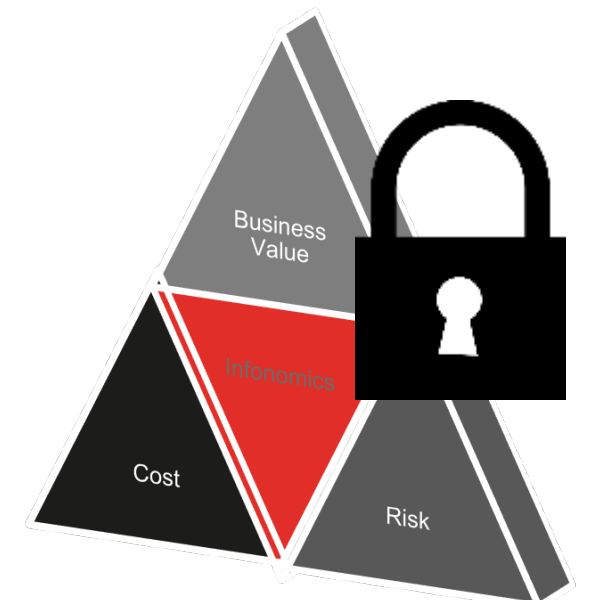
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- HEG-ID with the State Archives of Valais (AEV), the State Archives d'État of Geneva (AEG), the International Committee of the Red Cross (ICRC), and the company GlassIG
- Appraise and value information assets (IA) with a multidisciplinary approach, based on 3 dimensions: data values, costs and risks
- **Deliverables:**
 - Conceptual and operational framework for the valuation of IAs
 - Use cases
 - Maturity model and appraisal metrics derived from the 3 dimensions
 - Methodology for the valuation and pricing of IA
 - Collection Analysis Simulator: Tool
 - Information review



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ArchiSelect (2017-2018)

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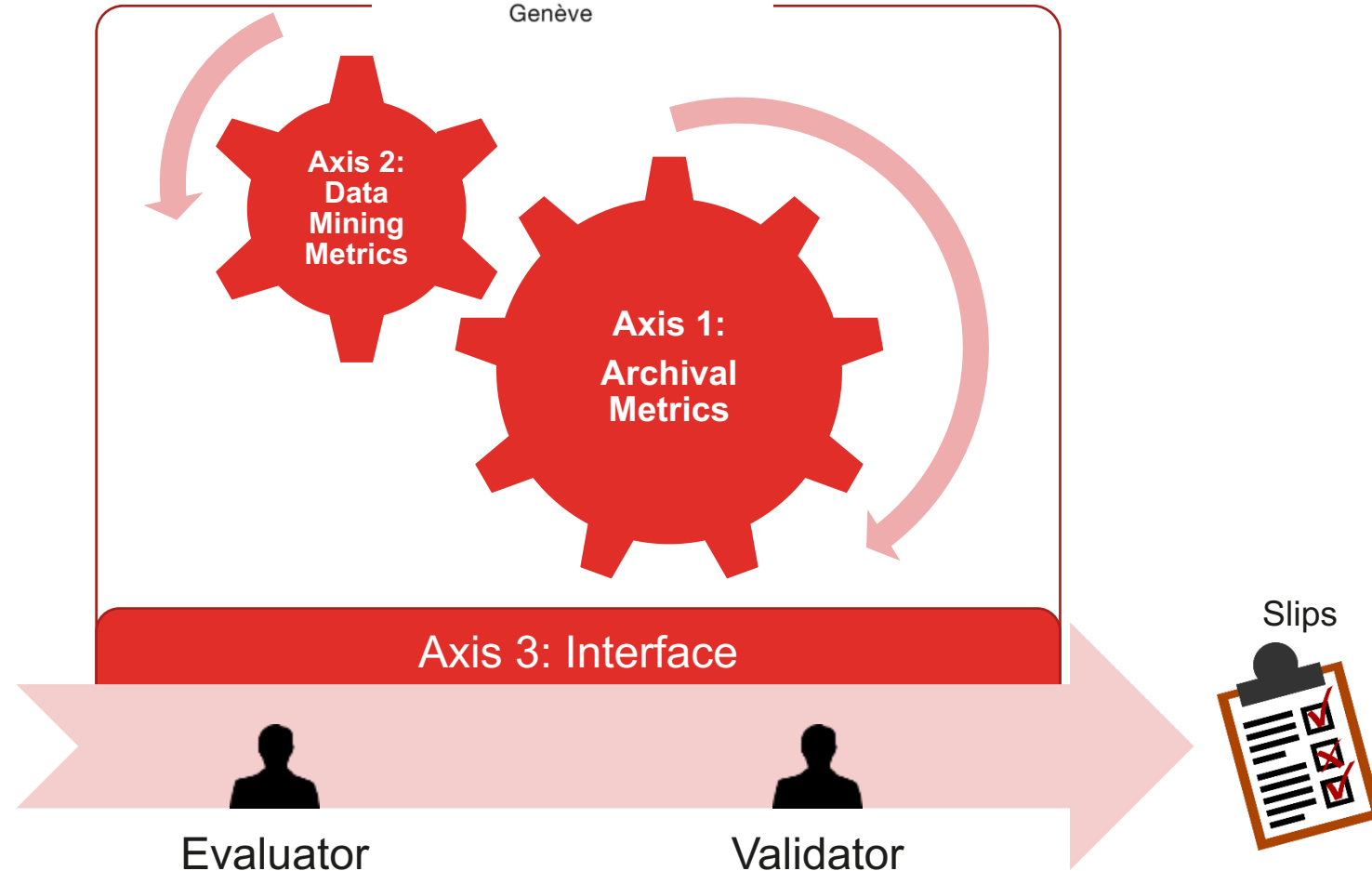
Additional Sources

- Is part of the AENeas project initiated by the State Archives of Neuchâtel Office (OAEN) to develop the SuiteArchi
- Decision- support during a macro and micro-appraisal process of digital files and data sets in the context of public or private administrations
- Perimeter : Archival and data mining metrics to structured and non-structured datasets

ArchiSelect

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ArchiSelect : Archival Metrics (2017-2018)

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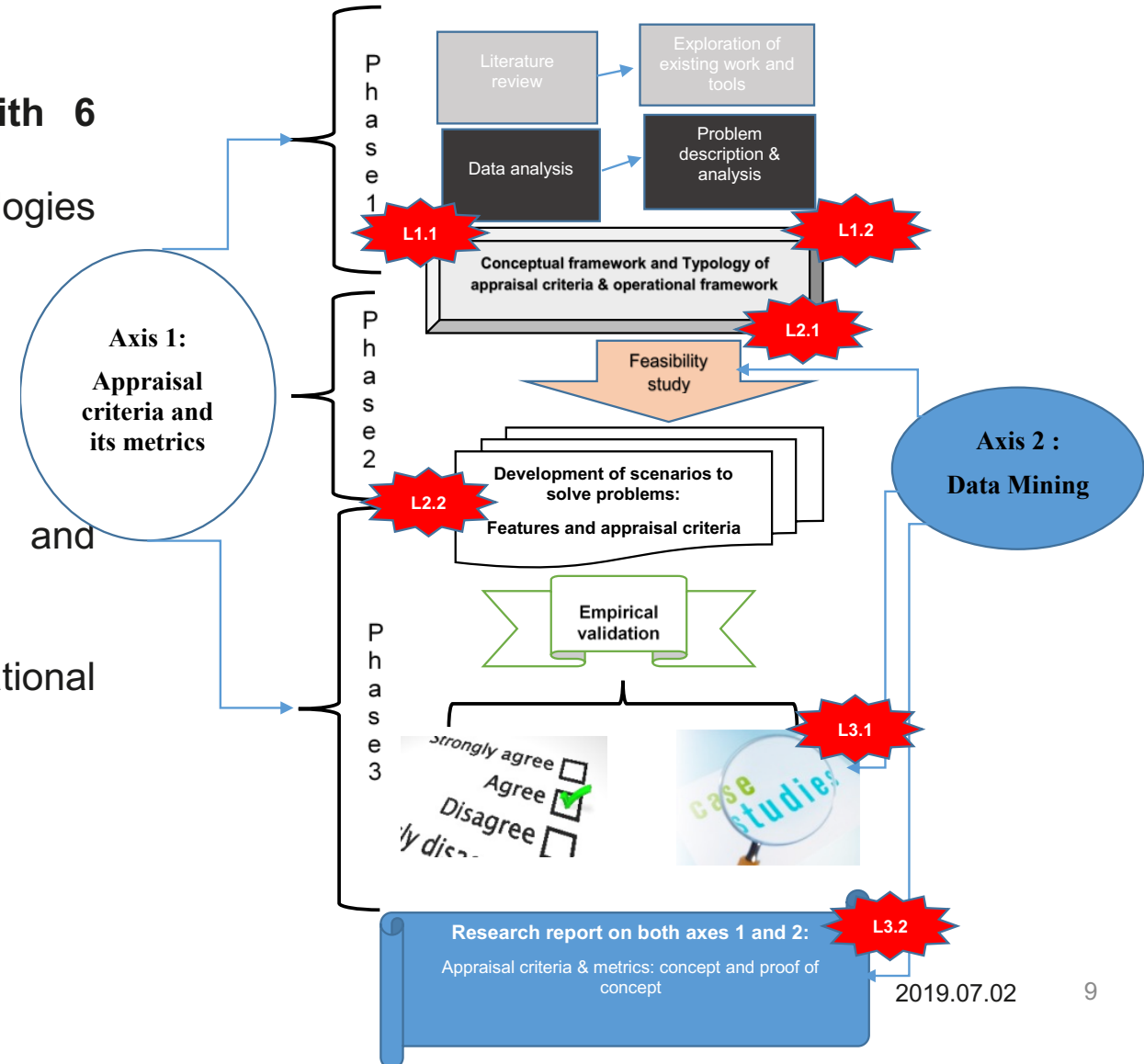
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Our approach is based on three steps with 6 deliverables

1. Conceptual framework: dimensions and typologies of the criteria
 - A. Conceptual Appraisal Framework (L1.1)
 - B. Typology of appraisal criteria (L1.2)
2. Operational model of archival metrics
 - A. Detailed operational model (L2.1)
 - B. Nomenclature of evaluation criteria and metrics (L2.2)
3. Feasibility tests and relevance of the operational model, criteria and related metrics.
 1. Case studies (L3.1)
 2. Likert test & report (L3.2)



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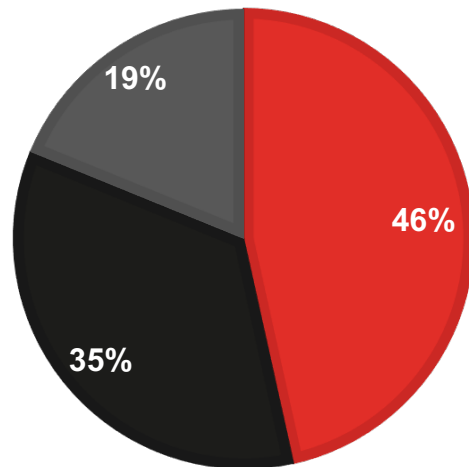
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ArchiSelect : Archival Metrics, Some results (1/2)

43 metrics structured in 3 dimensions identified and tested to measure the value of data and files;

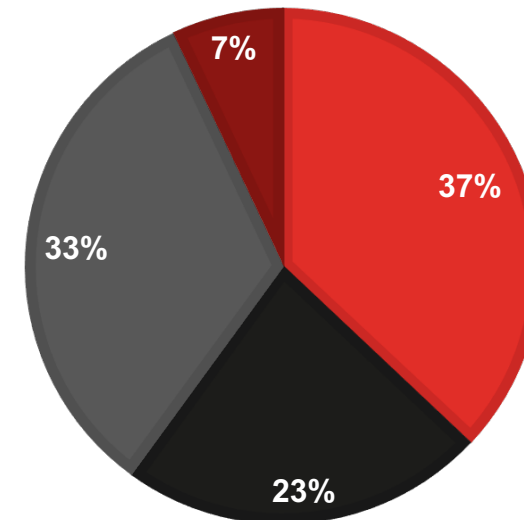
DISTRIBUTION OF VARIABLES BY APPRAISAL DIMENSIONS

■ Probative value ■ Exploitability ■ Representativity



DISTRIBUTION OF VARIABLES BY AUTOMIZATION CRITERIA

■ Automatic ■ Semi-automatic
■ Manual and systematic ■ Manual and subjective



ArchiSelect: Archival Metrics, Some results (2/2)

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- The consultation of 6 experts: an acceptance rate higher than 80% for these metrics;
- The metrics are applied in a flexible and modular way according to the maturity level of the organism;
- 60% of the metrics can potentially be measured without human intervention (37% automatic and 23% semi-automatic);
- Metrics whose measurement is manual and subjective represent 7%;
- Metrics that can be measured relatively objectively represent 93% of the total.

To read more on projects ...

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QADEPs (2012-2013)

MAKHLOUF SHABOU, Basma, 2014. Le projet QADEPs: un outil au service de la pérennisation des archives publiques. In: HIRAUX, Françoise, MIRGUET, Françoise. *De la préservation à la conservation: stratégies pratiques d'archivage*. Louvain-la-Neuve: Academia l'Harmattan, pp. 87-98. ISBN : 978-2-8061-0166-2

MAKHLOUF SHABOU, Basma, 2015. Fonction d'évaluation des archives: bilan sommaire des développements, des enjeux actuels et des défis futurs. In : GAGNON-ARGUIN, Louise et LAJEUNESSE, Marcel (dir.). *Panorama de l'archivistique contemporaine: évolution de la discipline et de la profession. Mélanges offerts à Carol Couture*. Montréal: Presses universitaires du Québec.

MAKHLOUF SHABOU, Basma, 2011. *Étude sur la définition et la mesure des qualités des archives définitives issues d'une évaluation* [en ligne]. Montréal: École de bibliothéconomie et des sciences de l'information. Thèse de doctorat. [Consulté le 14 juin 2018]. Disponible à l'adresse : <http://hdl.handle.net/1866/4955>

MAKHLOUF SHABOU, Basma Makhlof Shabou, 2015. Digital diplomatics and measurement of electronic public data qualities: What lessons should be learned?. *Records Management Journal* [en ligne]. Vol. 25, n° 1, pp.56-77. [Consulté le 27 mars 2019]. Disponible à l'adresse : <https://doi.org/10.1108/RMJ-01-2015-0006>

ArchiSelect (2017-2018)

OGUEY, Grégoire, SCHNEITER, Pascal, 2018. ArchiSelect, ou quand l'évaluation s'automatise. *Arbido* [en ligne]. 2018(2). [Consulté le 14 juin 2018]. Disponible à l'adresse: <https://arbido.ch/fr/edition-article/2018/automatisation-versprechen-oder-drohung>

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- Recognition of appraisal as a central topic in the field of information governance
- Emergence of several data protection regulations (EU and CH)
- Development of an international network of experts on appraisal
 - Establishment of the Expert Group on Appraisal (EGA) supervised by PCOM within the International Council on Archives (ICA)
- Emergent interest for the standards
 - ISO/TR 21946:2018 Information and documentation - Appraisal for managing records

Conclusion : Major Challenges

Recurrent challenges

- Effective interdisciplinarity...
- Is specialization a luxury?
- Monetary appraisal remains at an early stage !!!

Emerging challenges

- Computational archival science (CAS) contribution to big data appraisal
- Archival appraisal & scientific research: a necessary alliance.

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- MAKHLOUF SHABOU, Basma, 2015. Fonction d'évaluation des archives : bilan sommaire des développements, des enjeux actuels et des défis futurs. In : COUTURE, Carol. *Panorama de l'archivistique contemporaine*. Montréal : Presses universitaires du Québec, 2015.
- MAKHLOUF SHABOU, Basma, 2011. *Étude sur la définition et la mesure des qualités des archives définitives issues d'une évaluation* [en ligne]. Montréal : École de bibliothéconomie et des sciences de l'information. Thèse de doctorat. [Consulté le 14 juin 2018]. Disponible à l'adresse : <http://hdl.handle.net/1866/4955>
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