

# NHPRC

## ELECTRONIC RECORDS RESEARCH FELLOWSHIPS SYMPOSIUM

FRIDAY, NOVEMBER 16, 2007

Grants

Symposia

Mentoring

<http://ils.unc.edu/nhprcfellows>

A JOINT PROJECT OF THE SCHOOL OF INFORMATION AND LIBRARY SCIENCE AND THE  
ACADEMIC AFFAIRS LIBRARIES AT THE UNIVERSITY OF NORTH CAROLINA  
AT CHAPEL HILL AND THE UNIVERSITY OF MICHIGAN SCHOOL OF INFORMATION



**NHPRC ELECTRONIC RECORDS  
RESEARCH FELLOWSHIPS SYMPOSIUM  
NOVEMBER 16, 2007**

**SCHEDULE**

**8:30 Registration & Coffee**

**9:00 Introduction and Welcome**

**9:15 Keynote Presentation: Richard Marciano and Reagan Moore  
"The Evolution of Data Curation: Towards Policy-driven Collection Management"**

**\* 10:30 Break \***

**10:50 Daphne DeLeon, Nevada State Library and Archives: "Global XML Data Model: New Mexico Public Records."**

**11:30 Don Chalfant & Kathy Jordan, The Library of Virginia:  
"Developing Processing Practices and Workflows for Electronic Archival Records."**

**\* 12:10 Lunch \***

**1:30 Erin O'Meara, University of Oregon Libraries: "A Recordkeeping Framework for Social Scientists Conducting Data-Intensive Research."**

**2:10 Kari Smith, University of Michigan School of Information:  
"Implications of the Bioterrorism Act of 2002 on Electronic Record Keeping in the Wine and Grape Industries."**

**\* 2:50 Break \***

**3:10 William Wallach, University of Michigan, Bentley Library:  
"Reflections on the Bentley Fellowship Program"**

**3:25 Joan Krizack, Northeastern University: "The NHPRC Electronic Records Fellowships in Boston."**

**3:40 Paul Conway, University of Michigan School of Information: "The NHPRC Electronic Records Fellowships at Carolina."**

**4:10 Discussion**

**NHPRC ELECTRONIC RECORDS  
RESEARCH FELLOWSHIPS  
SYMPOSIUM:  
PRESENTERS**

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**KEYNOTE PRESENTATION**

**Richard Marciano and Reagan Moore**

***The Evolution of Data Curation:  
Towards Policy-driven Collection  
Management***

Preservation can be thought of as communication with the future. We know that the future will use new storage systems, new representation information, and provide new services. Preservation is also the management of communication from the past. We want to make assertions about authenticity, integrity, and chain of custody based on prior management policies. Policy-driven collection management such as the integrated Rule-based Data system (iRODS) addresses both challenges. The iRODS data system implements data curation processes as micro-services that can be migrated to new storage systems over time. iRODS implements management policies as rules that control the execution of the micro-services. The rule system can be updated dynamically, can be tuned to express each community's management policies, and enforces periodic validations of assertions about collection properties.

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**Reagan Moore** is Director of Data Intensive Computing Environments group at the San Diego Supercomputer Center. He coordinates research efforts in development

of data grids, digital libraries, and preservation environments. Developed software systems include the Storage Resource Broker data grid and the integrated Rule-Oriented Data System. Supported projects include the National Archives and Records Administration Transcontinental Persistent Archive Prototype, the National Science Foundation National Science Digital Library persistent archive, the California Digital Library Digital Preservation Repository, and the Worldwide Universities Network data grid. An ongoing research interest is use of data grid technology to automate execution of management policies and validate trustworthiness of repositories.

Moore has been at SDSC since its inception in 1986, initially being responsible for operating system development. Prior to that he worked as a computational plasma physicist at General Atomics on equilibrium and stability of toroidal fusion devices. He has a Ph.D. in plasma physics from the University of California, San Diego, (1978) and a B.S. in physics from the California Institute of Technology (1967).

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**Richard Marciano** is Director of the Sustainable Archives & Library Technologies (SALT) Laboratory and Lead Scientist in the DICE group (Data Intensive Computing Environments) at the San Diego Supercomputer Center (SDSC), at the University of California San Diego (UCSD). He is also an Affiliated Professor in the Urban Studies and Planning Program in the Division of Social Sciences and founding member of the Regional Workbench Consortium (RWBC) at UCSD. The SALT Lab is an interdisciplinary unit focused on developing information technology strategies and conducting research in the area of

digital materials & records collection and preservation. Richard Marciano's interests are with data management, digital archiving and long-term preservation. Current research projects include PAT Persistent Archives Testbed), eLegacy (preservation of geospatial data), T-RACES (cyberinfrastructure for the humanities), WRAP (preservation workflows for digital video), informatics for urban planning environments, and the NARA research prototype persistent archives.

Marciano holds degrees in Avionics and Electrical Engineering (National School of Civil Aviation, Toulouse, France), M.S. and Ph.D. in Computer Science from the University of Iowa, and worked as a Postdoc in Computational Geography.

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**2006-2007 NHPRC ELECTRONIC  
RECORDS RESEARCH FELLOWS**

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**Daphne DeLeon**

Nevada State Library and Archives

***Global XML Data Model – New  
Mexico Public Records***

**Daphne DeLeon** received her Bachelor's Degree in History with a minor in French (1989) and her Master's Degree in History with a subspecialty in Archival Management (1994) from the University of California at Riverside. She has been a member of the Academy of Certified Archivists, Society of American Archivists, Society of Southwest Archivists, and the Historical Society of New Mexico since 1998. DeLeon was employed by the New Mexico State Records Center and Archives from June 1998 to July 2007. She is currently the Division Administrator for the Nevada State Library and Archives.

Project Abstract:

The Global XML Data Model – New Mexico Public Records will test the extensibility of the Global Judicial XML Data Model. Through an examination of the common New Mexico state government records as described in the general retention and disposition schedules for administrative (1.15.2 NMAC), personnel (1.15.6 NMAC) and financial (1.15.4 NMAC) records, information needs for the appropriate management of these electronic records will be distilled. A comparison between the identified information needs of the general records and the data structure and elements defined in the Global Judicial XML Data Model will be conducted. The project goal is to create a XML data model for common government records based on the Global Judicial XML Data Model.

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**Don Chalfant & Kathy Jordan**

The Library of Virginia

***Developing Processing Practices and  
Workflows for Electronic Archival  
Records***

**Don Chalfant** is the Archival Electronic Records and Special Media Coordinator for the Library of Virginia. He supervises the electronic records, audio, video, and film collections and is involved in the development of an electronic records archive for state, local, and private papers collected by the LVA. Most recently, Don was the Electronic Records Archivist for the South Carolina Department of Archives and History where he helped develop guidelines for the management of electronic records and assisted state agencies on electronic records issues. He earned a MSLS from the University of North Carolina-Chapel Hill and

a BA in History from the University of North Carolina-Asheville.

**Kathy Jordan** is the Electronic Resources Manager for the Library of Virginia. As a member of the Information Technology Services Division, she works with Library staff to manage projects and develop policies related to electronic records and digital initiatives. Kathy joined the Library staff in 2000 and has also held the positions of Research Archivist for public services, as well as Archival Electronic Records Coordinator. She earned an MLS from Rutgers University, an MA in History from Lehigh University, and a BA in American Civilization and English from Lafayette College.

Project Abstract:

The Library of Virginia is focused on developing workflows that will facilitate the processing and management of archival electronic records collected by our state, local, and private papers departments. This project will involve Archives processing staff in the workflow design, development, and testing stages to ascertain important procedural improvements and to evaluate any tools useful to the processes. In addition, the project will afford us an opportunity to explore the necessary technical, administrative, preservation, and descriptive metadata required to manage our digital content. A relational database will be created to serve as a processing tool for the 107 gigabytes of electronic records recently accessioned from the prior Governor's administration. The database design should provide us a simplified and controlled means to open, view, and make decisions about individual electronic records and to assist staff in the preparation of digital objects for ingest into DigiTool, the Library's Digital Asset Management system. The database should also provide a means to generate

reports to help us better understand the nature of processing digital records.

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**Erin O'Meara**

University of Oregon Libraries

***A Recordkeeping Framework for  
Social Scientists  
Conducting Data-Intensive Research***

**Erin O'Meara** is currently the Electronic Records Archivist at the University of Oregon. Before joining the UO Library in 2005, she was a Records Management Analyst at the Oregon State Archives. She received her Masters of Archival Studies in 2004 from the University of British Columbia. While at UBC, Erin conducted research for the InterPARES 2 Project pertaining to archaeological records managed in a Geographic Information System.

Project Abstract:

The volume of data being created at research institutions is increasing at rapid rates. Social scientists are not always allocating resources for recordkeeping throughout their projects. A framework is needed for effectively managing researchers' work as an interconnected body of knowledge, not just standalone segments of information. Archivists and records managers need to be involved as specialized consultants in research projects before the records creation stage in order assist in the design of systems that address issues of authenticity, long-term preservation, description and access. In order to effectively create a framework that addresses the needs of faculty at a mid-size university, I will be working with several faculty members in developing a scalable set of guidelines and processes. The primary

product of this project will be an intellectual framework and technical prototype that provides core guidelines for faculty, relating to the management of their research papers.

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### **Kari Smith**

School of Information University of Michigan

#### ***Implications of the Bioterrorism Act of 2002 on Electronic Record Keeping in the Wine and Grape Industries***

**Kari Smith** has been working with electronic records of businesses and cultural organizations since 1993. She was the records manager for the joint U.S. / Russian Army Chemical Weapons Destruction Support Office in Moscow, Russia in the early 1990s. After earning her MSI-ARM degree from the University of Michigan's School of Information, she was awarded a six-month Professional Development Fellowship from the Institute of International Education, investigating systems and procedures for cultural documentation in Romania. As a post-graduate research intern at the UM School of Information, she assisted tribal librarians and archivists at tribal colleges and worked on community-based projects using information technology for cultural heritage preservation. While working at the Division of Rare and Manuscript Collections at the Cornell University Library from 2003-2006, Smith was project archivist on a two-year project to survey the records of the New York State wine and grape industries. In addition to surveying, she also conducted education and outreach via industry conferences and trade shows and brought into the Eastern Wine and Grape Collections approximately 100 feet of records in eight important collections. In August 2006, Smith relocated to Michigan where she has an appointment as Research

Investigator at the UM School of Information. She is a member of SAA, has presented at conferences internationally, and has published articles, the most recent regarding POW labor in New York vineyards during WWII.

#### **Project Abstract:**

Record keeping in the wine and grape industries is increasingly electronic. Using both commercial and homegrown systems, wineries and vineyards need to keep track of a substantial amount of production and sales data. The Bioterrorism Act of 2002 stipulated new record keeping requirements and retention periods for these records for wineries and vineyards. Compliance of the Act is necessary as of the summer of 2006 and will require wineries to document the lifecycle of their winemaking process from the growing of grapes through two years after their wine is shipped. Using a case study methodology, this researcher will investigate the record keeping requirements of the Bioterrorism Act of 2002 pertaining to the wine and grape industry, conduct a survey of current practice among winemakers of their use of electronic record keeping systems and records management procedures, investigate how software developers are incorporating the requirements of the Act into their systems, and complete a case study on the use of specific winemaking electronic systems to track the required data for the Act. The outcomes of the project will include recommendations to wineries and vineyards about electronic record keeping as well as recommendations to archives and records managers about retention and access to this information. The case study will have implications for record keeping in other industries that have been impacted by recent Homeland Security and related legislation. ■

**WILLIAM WALLACH**  
**UNIVERSITY OF MICHIGAN, BENTLEY LIBRARY**

**Reflections on the Bentley Fellowship Program**

As Associate Director of the Bentley Historical Library, **William Wallach** has been involved in several projects focused on electronic records issues. These included a study of computer conferencing on campus and establishing best practices for the appraisal, description and administration of electronic records; the identification, management and preservation of records within campus automated systems; and an NHPRC grant to assess recent research on electronic records issues and its implications for developing electronic records programs, archival education and future research on electronic records issues.

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**JOAN KRIZACK**  
**NORTHEASTERN UNIVERSITY**

**The NHPRC Electronic Records Fellowships in Boston**

**Joan Krizack** has been University Archivist and Head, Special Collections Department at Northeastern University since 1994, where her focus has been documenting community organizations working for social justice in Boston's African American, Chinese, Latino, and gay and lesbian communities. She received her MA in English/Education from Connecticut College and an MS in Library and Information Science from Simmons College. For nine years, she worked in hospital archives, founding archival programs at the Massachusetts Eye and Ear Infirmary and Children's Hospital (Boston). She edited and co-authored *Documentation Planning for the U.S. Health Care System* (Baltimore: Johns Hopkins, 1994), which

won the Society of American Archivists Leland Prize. She became a Fellow of the Society of American Archivists in 2005 and is currently chair of Northeastern University's Digital Institutional Repository Steering Committee.

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**PAUL CONWAY**  
**UNIVERSITY OF MICHIGAN, SCHOOL OF INFORMATION**

**The NHPRC Electronic Records Fellowships at Carolina**

**Dr. Paul Conway** is an associate professor at the University of Michigan's School of Information. Prior to joining Michigan's faculty, Paul served as a senior administrator at Duke University. As the Director of Digital Asset Initiatives, he developed campus collaborations centered on the identification, assessment, management, and preservation of digital resources for teaching and learning. Paul also served as the Director of Curriculum Development for the interdisciplinary ISIS (Information Science + Information Studies) Program, where he developed and taught courses for undergraduates and graduate students, helping formulate a research program, and initiated public programs for the Duke campus. He is an accomplished archivist and preservation manager who has held positions at Yale University, the National Archives, and the Society of American Archivists. He has a Masters Degree in History and a Ph.D. in Information and Library Studies, both from the University of Michigan. Paul is a Fellow of the Society of American Archivists and is a member of the American Archivist Editorial Board. He is the 2005 recipient of ALA's Paul Banks and Carolyn Harris Preservation Award for his contributions to the preservation field.

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## **ABOUT THE NHPRC ELECTRONIC RECORDS RESEARCH FELLOWSHIP PROGRAM**

The primary purpose of this project is to facilitate both basic and applied research regarding all aspects of electronic records.

The goals of the program are:

- to foster broad participation and collaborative research among academics and practitioners throughout the archival community;
- to foster and support archival practitioners in the conduct of electronic records research through fellowships and a mentoring program;
- to increase the body of electronic records research;
- to press for the wide dissemination of Fellows' work through public presentation and mentoring to turn these presentations into publications;
- to develop a Web resource center for archival researchers.

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## **EXECUTIVE BOARD**

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