SAA Standards Committee Annual Report 2006-07

Membership:
Nancy Kunde, Chair

Marcy Flynn (2005-2008)
Steven Mandeville-Gamble (2005-2008)
Susan Potts McDonald (2004-2007)
Aprille Cooke McKay (2006-2009)
John Murphy (2006-2009)
Donna Wells (2004-2007)
Kris Kiesling, *ex-officio*
Mary Lacy, *ex-officio*
Kathleen Dow, *ex-officio*

New Members 2007-2010: Kate Colligan and Polly Reynolds

Technical Subcommittee on Descriptive Standards

Chris Prom, *Chair*
Chatham Ewing
Michael Rush
Kelcy Shepherd
Adrian Turner
Ex-officio:
Mark Matienzo (Description chair)
Lynn Eaton (RAO chair)

Dan Santamaria (EAD Roundtable liaison)
Kris Kiesling (EAD WG chair, possibly still MARBI liaison)
Lisa Carter (CC:DA liaison)
Gerald Stone (CCAD rep)
Kris Kiesling, *ex-officio*

 New Members 2007-2010: Michelle Light and Megan Friedel

Michael Rush will be assuming chairmanship duties as Chris Prom is rotating off TSDS.

EAD Roundtable Liaison:
Kate Bowers

General Comments:
The chair expresses her thanks to the members of the Standards Committee for their hard work during this past year. Special thanks to outgoing TSDS chair, Chris Prom, and outgoing members of the Standards Committee; Susan Potts-McDonald and Donna Wells; and Chatham Ewing outgoing member from TSDS. Also special thanks to Kathleen Dow, NISO liaison, for her continued efforts to post draft standards and best practices and for gathering comments on them.

Following on discussions at last year's committee meeting, four projects were launched this past year either directly through the auspices of the Standards Committee or with

close relationship to the mission of the Committee. These projects are enumerated below. SAA Council receives separate reports on couple of these projects.

Standards Committee Projects:

- *Archival Facilities Guidelines.* Co-chairs: Tom Wilsted and Michele Pacifico. The Guidelines Committee contains a broad array of expertise. A rough draft of the Guidelines has been completed. Tom and Michele have given thought to a review process and a mechanism for ongoing review of the Guidelines. It is suggested in the draft that an ongoing SAA Committee be created to monitor and update the Guidelines. The current draft Guidelines suggest that both SAA Standards Committee and SAA Council will be involved in the approval of the Guidelines that are targeted be completed sometime in 2008. (See discussion of SAA Standards Committee by-laws, procedures.) The Facilities Guidelines Committee has determined that they will work toward the document as being guidelines initially, with a potentially a formal standard in the future.
- *DACS.* The DACS Work Group was approved by SAA Council following last year's Annual Meeting. The Group is chaired by Bill Landis. A significant portion of the Standards Committee meeting was devoted to a forum on the review/possible revision of DACS, particularly an online process for gathering comments on DACS. (The DACS Interim Report is attached to this report.)
- *EAC.* A small task group has begun work on further developing EAC as a technical standard for creating and exchanging descriptive information. (See TSDS annual report below.) The EAC work group is trying to secure funding to support this project.
- *The Standards Portal Project.* This project was originally developed by Diane Vogt O'Connor and further refined by Nancy McGovern, both former chairs of the Standards Committee. The leader of this project is Standards Committee member, Aprille McKay. During this past year and with the assistance of University of Michigan School of Information and University of Wisconsin Madison School of Library and Information Studies, some pilot efforts were undertaken to begin gathering data for the portal. At the SAA meeting, a link was formed with the newly created SAA/ARMA Electronic Technology Committee. A few members of the Standards Committee met with Naomi Nelson, chair of the new committee and some plans were made for sharing of information and potential collaborative efforts to support this project. Aprille and Chris Prom are experimenting with DRUPAL to support the work of the portal project. – Tangential to this project was broader discussion of technology to support Standards committee work. Brian Doyle felt the Standards Committee was in a position to assist SAA in further development of its information technology needs. (Subsequent to the SAA meeting, Aprille McKay along with a couple other members of the Standards Committee will be working with Brian Doyle on acquiring/further enhancing SAA's technology suite to support the portal initiative.)

Other Standards Committee discussion items from the annual meeting in Chicago:

- Proquest-Archives USA. Mary Sauer-Games was present to talk about how Proquest product Archives USA might be enhanced. There was broad discussion of relationships of Proquest, Archive Grid to archival descriptive information needs. It was suggested that Mary be in touch with the Description Section of SAA for further discussion of this topic.
- Canadian Archival Standards. Gerald Stone gave and update on RAD which is under substantial review. He noted that the group working on it is moving away from the notion of specific revisions to RAD to having it be continuously updated. Also noted that RAD has broad support in Canada.—It was noted that RAD has relationship to revision of DACS and suggested that DACS work group might like to involve or be in touch with Gerald and other colleagues working on RAD.
- ICA Committee on Best Practices and Standards. Claire Sibille provided a report on the work of the ICA committee, particularly the work on ISIAH, International Standard on Institutions with Archival Holdings. (She provided a written report which included below.)   She noted that there is a database in the UK as well as one in Spain that users can search for information about institutions with archival holdings.

Standards Committee Procedures:
With the increased standards development activity in SAA, it has become apparent that the current committee procedures as outlined on the web do not work well. There is confusion as to what the mission of the committee is as exemplified by the fact that Standards is referred to as both a committee and a board on the SAA website. Reporting structures and relationships with other SAA groups is also not clear.   In recognition that there should be more streamlining of committee procedures and processes and greater transparency, the SAA Standards Committee will be bringing forth to Council a proposal to revise/re-structure the Standards Committee. Chatham Ewing and Mary Lacy volunteered to lead this effort.   Nancy Kunde will prepare a proposal to Council.

The ACRL/SAA Joint Statement on Access to Original Research Materials:
At the request of President Adkins, the Standards Committee conducted an in depth review of the Statement as part of its annual meeting in Chicago. The Committee drafted a set of comments and recommendations that the Chair forwarded to President Adkins. There is a relationship to standards work in a couple of areas of the Statement, particularly to DACS.

Sub committee reports included: These reports contain a wealth of information about standards and best practice developments.

- TSDS-Technical Subcommittee on Descriptive Standards-Chris Prom
- CC:DA –ALA Committee on Cataloging: Description and Access
- DACS Interim Report (PDF attachment to the report).

- Canadian Committee on Archival Description (CCAD) Report to Society of American Archivists' Standards Committee and Technical Subcommittee on Descriptive Standards
- ICA Committee of Best Practices and Standards Activity Report on Description Area

Respectfully submitted by
Nancy Kunde, Chair
SAA Standards Committee   October 12, 2007

VVVVVVVVVVVVVVVVVV
Society of American Archivists
Technical Subcommittee on Descriptive Standards (TSDS)
2007 Annual Report

August 27, 2007

From September 2006-August 2007, TSDS engaged in activities to promulgate and review draft standards related to archival description. Our major activities for the year centered on EAC (Encoded Archival Content) and on a draft ICA standard for the description of functions and activities of record creators. During the upcoming year, anticipate involvement in SAA's new DACS review committee and in the Standards/Best Practices portal project.

EAC

Working with a small task force (Kathy Wisser, Anne Van Camp, and Daniel Pitti), TSDS developed and secured council approval for the creation of a working group to further develop Encoded Archival Context as a standard for recording and exchanging descriptive information about archival creators.. The working group is charged with continuing the intellectual and technical development of an Encoded Archival Context (EAC) standard. The committee will report to TSDS and Standards, and it initial members will have a three year term. Specific tasks in its portfolio include:

- Developing and reviewing the data model based on ISAAR.
- Evaluating and selecting the appropriate XML schema representation or representations.
- Testing and evaluating the schema in consultation with the international archival community.
- Developing the Tag library and related documentation.
- Developing funding proposals to provide support for design and development meetings.

Thirteen members, including representative from Canada and several European countries, were appointed to the group.

ISAF

TSDS also reviewed and offered comments on ISAF (International Standard on Activities/Functions of Corporate Bodies). This is a draft international standard being developed by the ICA Committee on Best Practices and Professional Standards. In our comments, we endorsed the concept of a standard to record descriptive information about the functions and activities of corporate bodies that create archival records. We also endorsed the particulars of the standard, and offered comments regarding particular areas that may benefit from clarification and/or augmentation.

Others issues

In November, SAA Council appointed a DACS review group, which will be responsible for reviewing and maintaining the DACS standard. The group report to the Standards Committee and TSDS, and will be chaired by Bill Landis. At least one member of TSDS will be on the committee. In addition, TSDS notes that the Standards Committee continues to promote the development of a web resource regarding archival standards. During the upcoming year, the committee will be involved with this group and will help add content to the web resource, if possible. Incoming members of the committee are Michelle Light and Megan Friedel; Michael Rush will chair the committee.

Respectfully submitted,

Christopher J. Prom, University of Illinois
Chair, TSDS, 2006-07

VVVVVVVVVVVVVVVVVV

Report to Description Section from Mary Lacy, SAA liaison to the ALA's Committee on Cataloging: Description and Access
August 10, 2007

The major activity of the ALA Committee for Cataloging: Description and Access (CC:DA) during the 2006-2007 year continued to be review of drafts of *Resources for Description and Access* (RDA), which will supercede the current Anglo-American Cataloging Rules (AACR2). The revised draft of Part A, Chapter 3 of RDA (Carrier Description) (http://www.collectionscanada.ca/jsc/docs/5rda-parta-ch3rev.pdf) was made available for comment in March 2007. The revised draft of Chapter 6 (Related Resources), and 7 (Persons, Families, and Corporate Bodies Associated with a Resource) (http://www.collectionscanada.ca/jsc/docs/5rda-parta-ch6&7rev.pdf) were made available for comment in June 2007. Both drafts were sent to members of the SAA's Description

Section steering committee and to TSDS (Technical Subcommittee on Technical Standards) for comments which could be submitted as part of the ALA response by CC:DA.

Of most immediate impact on decisions regarding the development of RDA were the two meetings of the Joint Steering Committee for the Revision of AACR (JSC). The JSC met in October 2006 to discuss comments received from the constituency review of part I (Resource Description), and concerns expressed by ALA regarding the RDA development process. The outcome of the meeting is available at http://www.collectionscanada.ca/jsc/0610out.html.

ALA had recommended that the JSC adopt a top-down development approach for RDA; that AACR2 should not be the only source of ideas and practices for RDA; that the development time line should be revised, allowing an opportunity to review RDA as a whole; that additional support was needed for the development of RDA; and that the decision-making authority and responsibility for RDA should be clarified. In response, the JSC and editor have prepared a scope statement for RDA to articulate more clearly the role of the FRBR (*Functional Requirements for Bibliographic Records*) and FRAD (*Functional Requirements for Authority Data*) models as the basis for RDA parts A and B respectively; this document is available at http://www.collectionscanada.ca/jsc/docs/5rda-scope.pdf. The development outline has been revised to allow for a review of the complete draft of RDA in July-September 2008, with RDA to be released in early 2009. The responsibilities of the JSC, the editor, and the editorial team were confirmed. The JSC also discussed issues raised in constituency review of Chapters 3 (Carrier Description), 6 (Related Resources), and 7 (Persons, Families, and Corporate Bodies Associated with a Resource).

Archivists should note the JSC decision concerning an extensive list of specialist cataloging manuals prepared by ALA for RDA; this list (http://www.libraries.psu.edu/tas/jca/ccda/docs/5ala3.pdf and its follow-up http://www.libraries.psu.edu/tas/jca/ccda/docs/5ala3-alafolup.pdf) include manuals such as DACS for archival resources, as well as those appropriate for other formats, languages, and specialties. JSC and the constituencies agreed that a combined list would be a valuable resource and should be maintained on the JSC web site after the publication of RDA, rather than included in the text itself. The JSC has not yet acted on proposals regarding authorized forms of family names.
The Joint Steering Committee for Revision of AACR and the Committee of Principals for AACR both met in Ottawa in April 2007 and jointly reviewed progress on the development of RDA. Reports of the outcomes of the meeting can be found at http://www.collectionscanada.ca/jsc/0704out.html and http://www.libraries.psu.edu/tas/jca/ccda/docs/jsc0705.pdf.

Archivists should note that the term "provenance," the meaning of which differs between user communities, has been removed from RDA. Revised instructions concerning the creation of a collection or an archival resource, custodial history, and immediate source of acquisition will be included in the meeting minutes. The JSC also discussed the nature

of the instructions that should be included in RDA on formulating access points for families. The issue is difficult because there are already differences in practice among the various communities. A new proposal will be prepared by the Australian Committee on Cataloging (ACOC) or its representative, with responses to be discussed at the October 2007 meeting.

Representatives from the RDA, Dublin Core, and IEEE Learning Objects Model communities met at the British Library on April 30-May 1, 2007, to consider the metadata models used by each community. The result of this meeting was a recommendation to work jointly to develop an RDA Element Vocabulary, an RDA Application Profile, and formal vocabularies for the values of various RDA elements. The projects proposed by the meeting will greatly enhance the relevance of RDA in the digital environment, in the view of John Attig, the new ALA representative to the JSC. A report of the outcomes of the meeting is available on the British Library website at: http://www.bl.uk/services/bibliographic/meeting.html

For further information on RDA, please consult the JSC site at http://www.collectionscanada.ca/jsc/rda.html, as well as the CC:DA site at http://www.libraries.psu.edu/tas/jca/ccda/.

VVVVVVVVVVVVVVVVVVVVV

Canadian Committee on Archival Description (CCAD)

Report to Society of American Archivists' Standards Committee and Technical Subcommittee on Descriptive Standards (TSDS)

Gerald Stone (Library and Archives Canada)
Chicago, August 29, 2007

1. The Canadian Committee on Archival Description (CCAD), a committee of the Canadian Council of Archives, met in Ottawa in November 2006 and June 2007. At the June 2007 meeting, Steve Billinton (Archives of Ontario) stepped down as Chair of the Committee and Sharry Watson (Provincial Archives of Alberta) was named Chair-elect. François Cartier (McCord Museum) and Paula Warsaba (Provincial Archives of Manitoba) joined CCAD as new members.

2. CCAD completed preparation, in English, of draft additions and revisions to *Rules for Archival Description* (RAD), reflecting areas of consensus in the community-wide RAD2 consultation. These include, principally, the addition of:

> ➢ A statement of principles (based on those developed by CUSTARD)
> ➢ Enablement of series to serve as the highest level of description
> ➢ Rules for the description of collections
> ➢ A detailed set of rules for the description of discrete items

These additions and revisions will be distributed to the archival community for comment following their translation into French.

3. CCAD is beginning to plan a meeting of experts to address RAD and related archival descriptive standards issues for which there was ample divergence of viewpoints in the community-wide RAD2 consultation, e.g., structure of RAD.

4. Library and Archives Canada (LAC) has developed and implemented internally a web-based, abridged version of RAD called *Concise Rules for Archival Description* (Concise RAD). LAC, CCAD, and the Bureau of Canadian Archivists (BCA) are involved in discussions aimed at making Concise RAD available on the Internet.

5. CCAD submitted comments to the Joint Steering Committee for the Revision of Resource Description and Access (JSC) through the Canadian Committee on Cataloguing (CCC), e.g., on proposed rules for the form of family names.

VVVVVVVVVVVVVVVVVVVVVV

ICA Committee of Best Practices and Standards
Activity Report on Description Area

Development of an International Standard for Describing Functions (ICA-ISDF):

To complement ICA-ISAD(G) and ICA-ISAAR(CPF), a working group of the Committee of Best Practices and Standards of the International Council of Archives (ICA/CBPS) is developing a new International Standard for Describing Functions (ICA-ISDF). Brazil, France, Germany, Spain, Sweden, Switzerland, UK and Africa (Ivory Coast) are currently involved in the project.

During its existence, any corporate body as a records creator may lose one of its responsibilities because this responsibility no longer needs to be carried out . As well new responsibilities may be assigned to an organisation, corresponding to new needs, in particular for implementing new legislation. Functions are often transferred from one corporate body to another. Transfers can also be internal, i.e. the function is transferred from one organism to another. These various forms of changes in responsibilities generally occur when the services are re-organised and result in all kinds of changes of

structure, creation or removal of offices or of divisions within an organism, creation of new organisms attached or subordinated to still existing organisms, etc.

Authority records compliant with ISAAR(CPF) make it possible to collect any important information on the records creators, corporate bodies, persons or families (dates of existence, history, places of existence or of activity, attributions, relationships with other entities involved in the creation and the management of the *fonds*, etc.). Moreover, separate but linked descriptions of records and of their creators enable archivists to develop dynamic and multidimensional descriptive systems. Records can thus be connected to records creators, which avoids linking artificially to one records creator a series of documents independently from the institutional context. However, authority records do not provide all the necessary contextual information. Another way could be the functional approach of records managers.

Functions and activities are used by records managers to analyse and classify records, rather than an administrative and organisational structure. This renewed principle of the *'respect des fonds'*, which could be qualified as principle of functionality, transcends the records creators to the advantage of the functions, enabling us to testify the governance rather than the government.

This approach constitutes the basis of the future international standard. The ICA/CBPS project group has drawn upon models of functional description and analysis currently being applied in archives and records management in Australia, Switzerland and the United Kingdom as well as international work that has been done by the International Organisation for Standardisation (ISO) such as ISO 15489 International Standard on Records Management and ISO 23081 –1 Records management processes -- Metadata for records, and a first draft was completed, discussed, amended and expanded during the first meeting of the working group at Paris (May 2006). Then, the draft was circulated to the international archival community for comment (January-March 2007).

More than 30 pages of comments have been received from Australia, Belgium, Brazil, Canada, Finland, France, Iceland, ISO/TC46, Latvia, Mexico, Norway, Romania, Spain, Sweden, Switzerland, United Kingdom, and last but not least, from United States (Society of American Archivists). During its annual meeting at Dresden (Germany), 2007, May 2-4, the working group examined how these comments could be taken into account. After discussion, a number of decisions were made.

Many comments concerned the terminology, the levels of the functional classification scheme and the definitions of "function", "activity" and "transaction" that came from multiple sources, each with its own intellectual underpinnings. The WG has chosen to use only the term of "function". In the glossary, it is stated that "functions can be subdivided into sub-functions, business processes, activities, tasks, transactions, etc., in accordance with the terminology used. The name of the standard has also been changed to "International Standard for Describing Functions" (ICA-ISDF) instead of "International Standard for Activities/Functions of corporate bodies" (ICA-ISAF)".

The names of some elements that were not explicit or redundant with the name of the area in which they were included have been changed.

Three elements instead of two in the previous version are now considered as essential:
- Type (element 5.1.1)
- Authorised form(s) of name (element 5.1.2); and
- Function description identifier (element 5.4.1).

Chapters 6 and 7 have been grouped into a unique chapter and a paragraph has been added at the beginning of this new chapter explaining why and how linking functions with archival resources and corporate bodies.

Like ICA-ISAD(G) and ICA-ISAAR(CPF), the future standard will be available in English and in French, and it will include about twenty descriptive elements, organised into information areas. The draft of the standard (http://www.ica.org) comprises also one chapter giving recommendations for establishing links between descriptions of functions and archival descriptions compliant with ICA-ISAD(G) or with authority records compliant with ICA-ISAAR(CPF). The appendix contains examples of applications in different languages.

The definitive version of ICA-ISDF will be presented in the international congress of archives at Kuala Lumpur (Malaysia) in 2008. Thereafter, a revision of ICA-ISAD(G) and ICA-ISAAR(CPF) will proceed during the next four-year programme 2008-2012, in order to introduce a group of elements for linking archival descriptions and authority records to descriptions of functions.

Development of an International Standard for Institutions with Archival Holdings(ICA-ISIAH):

Another project concerns the description of institutions with archival holdings (ISIAH – International Standard for Institutions with Archival Holdings).

Information about the institution which has custody of archival materials is essential for users to access these archival holdings. In addition to the overview of fonds and collections, guides usually include general information about archival institutions that hold documents and the services they provide. With the Internet, it is increasingly important for users to connect records descriptions to relevant information on their custodians. Without this information, the users are unable to access the archives.

ICA-ISAD(G) provides guidance for the description of fonds and their component parts. ICA-ISAAR(CPF) provides guidance to record authority information about the creators of archives. For a consistent archival information system the description of the same entity as creator or as custodian requires different approaches and elements of description. This is the purpose of ICA-ISIAH, which provides rules for preparing

standardised descriptions of institutions which have custody of archives. ICA-ISIAH can also be applied to cultural institutions other than archives.

Furthermore, the possibility of describing archival institutions, as separate entities, may be useful for generating authority lists or directories of archival institutions, as well for establishing connections with similar authority lists of cultural heritage institutions at the regional, national and international level.

Some archival descriptive systems already contain separated but linked descriptions of records, of records creators and of custodians and exemplify ISIAH. For example, in UK, ARCHON is the sister database of the National Register of Archives - the NRA, which contains information on the nature and location of manuscripts and historical records that relate to British history. ARCHON records the contact details for repositories and other institutions whose records feature in the NRA. Furthermore, ARCHON includes a code which is the unique identifier for each repository. At least, the final section of ICA-ISIAH is designed to specify how a repository should link to the authority records which relate to that repository. ARCHON complies with this by linking to all the relevant authority files on the National Register of Archives. So there are links in place from an ARCHON entry to all the people, businesses, organisations and families whose records are at that archive.

Another example is the Spanish Censo Guia, that includes a directory describing more than 40,000 archival institutions. The Censo Guia is the practical model for the standard. There is no other example worldwide for such an extensive, clear and well-formed web-based oversight of archival institutions of different archival systems and their links and connections, including archives from countries around the world. ICA-ISIAH, which is based on that experience has the task to make it easy and simple for archives (and other institutions of the cultural heritage sector) especially in archival systems of countries where archives want to become more "visible".

The draft of standard is available on ICA website (http://www.ica.org) and has just been submitted for comments. The deadline for the reception of the comments is: 31st October.

For further information, contact:
Marion Beyea, chair of ICA/CBPS (Marion.BEYEA@gnb.ca)
Claire Sibille (claire.sibille@culture.gouv.fr) or John Martinez , co-secretaries of ICA/CBPS (john.martinez@nara.gov)