## International Council on Archives Experts Group on Archival Description

**Agenda and Meeting Notes 19-21 November 2013**

Compiled by Gavan McCarthy



*The Daily Drawing by Tom Krepcio: August 2005 Archives*
*www.krepcio.com - 400 × 379 - Search by image*
*square egad. square_egad_2005web.jpg 2005 marker in 6.5" x 6.5" sketchbook*

<h1 style="text-align:center">International Council on Archives
Experts Group on Archival Description</h1>

<h2 style="text-align:center">Agenda and Meeting Notes</h2>

<h2 style="text-align:center">19-21 November 2013</h2>

| | |
|---|---|
| **Location:** | Board Room, National Archives of Belgium, Rue do Ruysbroeck 2, 1000 Bruxelles, Belgium |
| **Times:** | 9am-12noon, Lunch, 13:30-16:30 each day |
| **Compiled by** | Gavan McCarthy; |
| **Deadline:** | 15 January 2014 |
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## Introduction:

This document is a record of the first face-to-face meeting of the International Council on Archives (ICA), Experts Group on Archival Description (2012-2016) held in Brussels just prior to the first annual conference of the ICA in late November 2013. This document is not a set of agreed or authorized minutes but a compilation of the impressionistic and contemplative notes and diagrams recorded by Gavan McCarthy and the discourse as documented by Claire Sibille – de Grimoüard. Also included are the PowerPoint slides shown by Jaana Kilki and (hopefully) Beatriz Franco. The document is seen as forming an important element in the ongoing deliberations and work of the Experts Group.

This document includes:
⇨ The Agenda for the meeting as provided by the Chairman of EGAD, Daniel Pitti; [page 2]
⇨ Selected extracts from 'Towards an International Conceptual Model for Archival Description' by Gretchen Gueguen, Vitor Manoel Marques do Fonseca, Daniel V., Pitti, and Claire Sibille-de Grimoüard, that focus on the goals of this meeting. This article was published in the *The American Archivist*, Volume 76, Number 2, Fall/Winter 2013, pages 567-584; [page 3]
⇨ A List of Attendees [page 4]
⇨ An edited transcription of the hand written notes taken by Gavan McCarthy with insertions from Claire Sibille – de Grimoüard:
   o Session 1 – 19 November 2013: Page 5 – Introductions and General Methods
   o Session 2 – 19 November 2013: Page 9 – Overview of EGAD Mandate
   o Session 3 – 19 November 2013: Page 16 – Archival Principles
   o Session 4 – 20 November 2013: Page 23 – Modelling What?
   o Session 5 – 20 November 2013: Page 29 – Jaana, Finnish Model Part 1
   o Session 6 – 20 November 2013: Page 41 – Jaana, Finnish Model Part 2
   o Session 7 - 20 November 2013: Page 46 – Beatriz, Spanish Model
   o Session 8 – 21 November 2013: Page 61 – Gavan's Presentation and Work Program
   o Session 9 – 21 November 2013: Page 66 – Work Program Review
⇨ Summary in French by Claire Sibille – de Grimoüard; [page 68]
⇨ English translation of 'Summary in French by Claire Sibille – de Grimoüard'; [page 76]

## Agenda

**General Objectives:** get to know one another so we can work comfortably and respectfully with one another and engage in open, spontaneous, collaborative thinking and problem solving; develop a shared understanding of our responsibility and the objectives; and develop a shared understanding of how we will fulfill our responsibility.

**Discussion Topics:** The following is intended to initiate our deliberations. The dynamics of our discussion will no doubt lead to augmenting the discussion topics, and thus the topics below are not strictly scheduled or intended to be exhaustive. I would like to approach the discussion flexibly, taking advantage of particular discussions that are productive, truncating discussions that do not seem helpful or productive.

1) Introductions
2) Methods: General
3) Overview of the EGAD mandate
   a) An Archival Conceptual Model
   b) ICA Description Standards
   c) Scope – Government archives, private records, non-government corporate archives, family records, …
   d) Context
      i) Technology: markup, database, and graph (in particular semantic)
      ii) National and project archival conceptual model initiatives
      iii) Conceptual models in other cultural heritage domains: FRBR (FRBRoo) and CIDOC CRM
      iv) Other conceptual models (schema.org, foaf, …)
4) The two complementary EGAD products
   a) Model as descriptive document, prose and diagrams
   b) Model as formally expressed in a machine-readable form (perhaps OWL), based on core archival concepts and terminology, though mapped to CRM/FRBRoo
5) Archival Principles
   a) Provenance
   b) Respect des fonds
   c) Respect de l'order intérieure
6) Modeling what?
   a) Human activity and byproducts/products of human activity, *as such*
   b) Archival perspective
   c) Archival description
7) National archival conceptual model initiatives
   a) Australian Government Recordkeeping Metadata Standard Version 2.0 (2008) (AGRkMS)
   b) CNEDA: Modelo Conceptual de Descripción Archivística y Requisitos de Datos Básicos de las Descripciones de Documentos de Archivo, Agentes y Funciones in 2012.
   c) Finnish Conceptual Model for Archival Description
8) Plan of work; work groups; work assignments; deadlines

## Selected Extracts

The following extracts are taken from: Gretchen Gueguen, Vitor Manoel Marques do Fonseca, Daniel V., Pitti, and Claire Sibille-de Grimoüard, 'Towards an International Conceptual Model for Archival Description', *The American Archivist*, Volume 76, Number 2, Fall/Winter 2013, pages 567-584. They provide a general introduction to EGAD and introduce the goals of this meeting.

'In 2012, the International Council on Archives (ICA) formed the Experts Group on Archival Description (EGAD) as the partial successor to the Committee on Best Practices and Standards (CBPS). As with its predecessor, ICA charged EGAD with developing standards for the description of records based on archival principles. For the 2012-2016 term, the EGAD is specifically charged with developing a comprehensive descriptive standard that reconciles, integrates, and builds on the four existing standards: General International Standard Archival Description (ISAD(G)); International Standard Archival Authority Records-Corporate Bodies, Persons, and Families (ISAAR(CPF)); International Standard Description of Functions (ISDF); and International Standard Description of Institutions with Archival Holdings (ISDIAH). The ICA further mandates that the EGAD develop the standard using "conceptual modeling" methods.' [page 586]

'. . . The EGAD's members are drawn from the international professional community and have demonstrated expertise in archival description and standards. There are twelve full members and an additional nine corresponding members (full members are required to attend EGAD meetings but corresponding members are not). All 21 members will be responsible for developing the conceptual model and related documentation and all are also responsible for representing, informing, and gathering input from their respective communities.' [page 578]

'The methodology for developing the archival conceptual model will initially focus on defining the scope (or domain) of the model. The model must first and foremost address the principles and needs of the archival community. In particular, the model will be grounded in the enduring principle of provenance. The model will focus on the separation and interrelation of the primary components of archival description in order to provide a foundation for the development of archival descriptive systems that will support a variety of perspectives on archival resources, including both the perspective represented in traditional fond-level finding aids and guides, and the perspective represented in the series system first advocated by Peter Scott in Australia.' [page 579]

'The first and perhaps most challenging task will be to identify high-level entities: records, agents, business, and so on. Focus will then subsequently move to identifying each component attributes, and critically, the relations among them that enable variously assembling the components to support different descriptive perspectives. From this development process, it is anticipated that a conceptual model that reflects international archival consensus will reposition archival description to more effectively and efficiently identify, authenticate, and manage records through the description of their context, content, and structure. Furthermore, the description will enhance user discovery, location, and understanding of records.' [page 580]

## List of Attendees

The attendees are listed in order of their position around the table moving in a clockwise direction.

Daniel Pitti [Chair];
Florence Clavaud;
Salvatore Vassallo;
Victoria Peters;
Bogdan Popovici;
Padre Baroan;
Vitor Manoel Marques do Fonseca;
Alice Motte;
Claire Sibille-de Grimoüard;
Martin Stuerzlinger;
Jaana Kilki;
Stefano Vitali;
Beatriz Franco;
Bill Stockting;
Gavan McCarthy.

# Meeting Notes

*Agenda item 1 – Introductions*

*Gavan's notes: 2013-11-19 page 1*

Introduction from Daniel
Starting with a paper by Chris Hurley written after the ICA Brisbane Congress in August 2012:
- ⇨ Re-looked at principles of ICA from 1989 that set the standards journey – worth looking at as Chris thinks they were flawed.

We have four standards out there!

*Agenda item 2 – General: Methods*

*Gavan's notes: 2013-11-19 pages 1-4*

We now begin working rapidly to bring together a coherent picture and framework – high expectations that we will produce something really good:

Set the foundations for archival description in the 21st Century

Not all contribute in equal measure but as a whole we should be able to get the heavy lifting done.

Modus operandi – consensus rather than voting and more formal processes:
- ⇨ 'We have to talk everything to death'
  - o Rough Consensus
    - ▪ Rough Code (that works)

'Daniel does Obstetrics and Ontology'
- ⇨ To help things get born
- ⇨ So Daniel is our mid-wife
- ⇨ Has a methodology:
  - o Everybody at the table is equal
  - o Everybody is respected
  - o Everybody should feel comfortable to speak out loud
  - o Authoring will be was a group
  - o [Aside: **Gavan** - Do we have to go through "transition"? (in the obstetric sense)]
  - o **Jaana** – Is there an archival community that we can identify? Is there common ground that we can find?|Diversity of practice is acknowledged.

******* *Discussion as recorded by Claire* *******

Way to work: by consensus, no motions, no formal way, DP wants everyone thinks spontaneous and feels comfortable

**Jaana:** "We are doing something for archival community", there are different kinds of reality, what works somewhere doesn't work somewhere else

- **Daniel:** diversity of perspectives and practices, but an abstract level is possible defining a vision of what it means to be "archival", elevation at a general abstract level;

Let us put the principles on the table: provenance

The Australian series approach/the fonds-level approach

ISAAR inspired by authority control
ISDF limited to functions of corporate bodies
People produce finding aids but we are not modeling the final product (finding aids)
At the top level, there is the battle between fonds-level and series-level descriptions
**Gavan**: archival community is very diverse
**Jaana**: we come from different perspectives
**Bogdan**: records management, many models
What do we mean by "archival" and "archives"?
The conceptual model should be added to the entities you use in your context
**Daniel:** We need to think about the different perspectives, about the core things we isolate. Records have a history, context of creation and use must be captured
What is archival description? Include the whole chain for processing archives?
National archives, government archives, private papers and manuscripts collections, research archives... ICA standards were very oriented "National Archives"

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*Gavan's notes: 2013-11-19 pages 4-7*

[Gavan - 'Path Dependence' – see Glyn Davis, 'The Australian Idea of a University', *Meanjin*, Volume 72, Number 4, 2013. Online at: http://meanjin.com.au/articles/post/the-australian-idea-of-a-university/, and Ian Hodder, *Entangled: An Archaeology of the Relationships between Humans and Things*, Wiley-Blackwell, 2012. Both deal with the concepts of dependence and dependency which seem to be very relevant in this context.]

ISAD(G)       +       ISAAR(CPF) – establishes identity of entities
ISDF                  ISDIAH

  ⇨ We will replace all these with something or some things
  ⇨ We need to start from the bottom up rather than 'assuming the archive'
  ⇨ Find the core and the common knowledge and not be too hung up on the definitions of things, like 'archives'
Look at how we interact with other cultural heritage communities – we have to look at our angles(?)  (also FRBRoo and CIDOC-CRM)
Danish works with both Government and Personal archives (so do I)

That we start with the Australian (and New Zealand), Spanish and Finnish models
Including post-custodial perspectives
Records may not be moved (?) . . .

Gap between the high end user (national archives and First World nations) and the Third World needs . . . but also (this gap) can be seen in First World countries.
[See Verne Harris on the Western paradigm that sets a particular mind set (this is not dissimilar to the issues addressed by botanical taxonomy in the 18th Century).
Voice from Africa – in French – conceptual challenge – no best practices in Africa – so no understanding of the principles.
**Vitor:** We are talking about the same thing – a conceptual model – to promote (lift/advance) the profession to another level
  ⇨ We need to acknowledge our differences – we need to listen to each other – it is not the past that is wrong but that we can do better.

**Padre**: Experts groups disconnected from the needs of developing countries that have no professional practices and thus are far from using standards

**Daniel**: issue of promoting the model is a part of our mandate as well

Developing other tools?

**Jaana:** dominance of National Archives, of the Western way of thinking, it is not only a question of providing tools

**Vitor:** we have the same concerns, we are talking about the same things, it is to promote the profession in another level, we have other things to get, it is something new, we have to be careful, we are introducing new things and new concepts, we have to build them very carefully.

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*Gavan's notes: 2013-11-19 page 7*

ISAD(G) pushed the profession:
- ⇨ Our aim is to build on the past not to live in it, be respectful of that past, to be able to think from the past into the future.
- ⇨ The issue that Padre raises is not the challenge of this group and that is another project or another assignment.
- ⇨ We need to remember why we are here – ***the four standards of the ICA cannot be harmonized as they stand.***
- ⇨ But they (the new standards) should be compliant with the old – so do better with the data that we currently have.
- ⇨ The Conceptual

**Florence:** make explicit what is not explicit in the current standards.

ISAD was very provocative when it was developed, other degrees of knowledge, we need to think critically about our concepts but we have to use them

We need to be respectful of that past

Not the mandate of this group to address the issue of helping developing world, it is the mandate to PCOM

Reconcile standards: we need a conceptual level

**Florence:** objectives, you can help teachers, software developers

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*Gavan's notes: 2013-11-19 pages 8-9*

ICA-AtoM – builds on these principles and pushes their implementation.
**Claire:** Do we rebuild the old standards? This is a big question.

Conceptual Model
- ⇨ Descriptive Standards
  - o Tools

**Daniel:** Believes that they will be replaced rather than revised.
Legacy Description
- ⇨ Must be a path from the past into the future
Generational Change!
- ⇨ See revisions of EAD

  ⇨ Tree versus [Open complex] Network

  ⇨ Old hierarchy --- Data

We must be able to communicate the conceptual model easily and sensibly

  ⇨ Understandable and Coherent

But a 'conceptual model' is not really the vehicle for popular communication BUT the principles that underpin the conceptual model must be readily apprehended by anyone that is interested

  ⇨ The Organizing Principles


*\*\*\*\*\*\* Discussion as recorded by Claire \*\*\*\*\*\**

ICA-AtoM: a practical implementation of a conceptual model

**Claire:** evolutions of ICA standards?

**Daniel:** We need to replace them, but a lot of legacy descriptions

**Martin:** the model has to been understood, used as a method of teaching. We don't tell people to change their ways, we convince them to change

**Vitor:** the biggest problem: to make the conceptual model understandable by everybody. We need to try to disseminate it and to make people understand why we need it

**Daniel:** what is a conceptual model?

**Jaana:** what do we mean when we speak about archival community? Not the wider community is interested in it (only experts in standardization?)

A preliminary report, to be published in JAO


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*End of Session 1*

*Morning Tea*

*Agenda item 3 - Overview of the EGAD mandate*
   a) *An Archival Conceptual Model*
   b) *ICA Description Standards*
   c) *Scope – Government archives, private records, non-government corporate archives, family records, …*
   d) *Context*
       i) *Technology: markup, database, and graph (in particular semantic)*
       ii) *National and project archival conceptual model initiatives*
       iii) *Conceptual models in other cultural heritage domains: FRBR (FRBRoo) and CIDOC CRM*
       iv) *Other conceptual models (schema.org, foaf, …)*

*Gavan's notes: 2013-11-19 pages 9-12*

[Gavan – had an excellent talk with Martin from Austria about the Find and Connect Project].

What is an Archival Conceptual Model?
   ⇨ A view of the cultural landscape – and technological opportunities [some changes in the scholarly/user fabric and expectations.]
Example – mid 19$^{th}$ Century catalogues were books – Jewett imagined new ways of doing the 'book' – pulling them apart as modular pieces so they could be recombined.
   ⇨ So for us, we want to pull apart the current standards – so that they can be related and recombined as required.

Existing Technologies
   ⇨ Relational Databases (see ISO standards)
   ⇨ SGML (standardized in the same year – 1986)
       o XML (standardized in 1998)
Two ways of viewing the same world – giving different Socio-Technical constraints
   ⇨ Database folks become interested in XML and this leads to tools like PostgreSQL and similar open source systems.
   ⇨ We really need to exploit both forms – to take advantage of their strengths.
Late 1990s saw the emergence of Graph Technologies
   ⇨ A whole new form of the range of expression
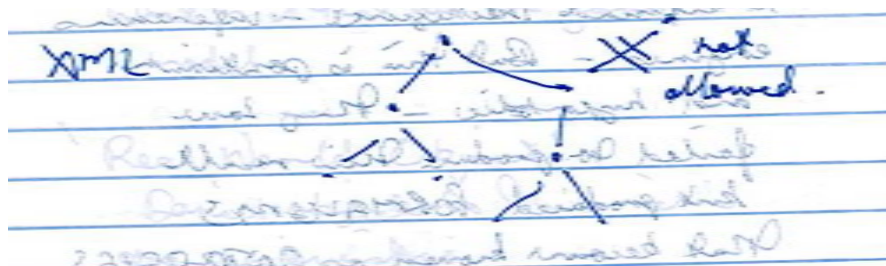


But in Graph technologies – Complex Networks are allowed

And these nodes(and their interconnections) can be expressed as triples
Statements of *Subject* **Verb** *Object*

Archive#1 (A$_1$) **holds** Fonds#a (F$_a$)
Agency#a (Ag$_a$) **created** Fonds#a (F$_a$)
⇨  We can therefore build up a vast network of expressions or statements

*\*\*\*\*\*\*\* Discussion as recorded by Claire \*\*\*\*\*\*\**
3 existing technologies: relational databases, SGML/XML and Graph technologies which
take different approaches to representation of data
Key things about XML: hierarchies => a complex network graphic
Triples – Statement - Subject predicate object
Archive holds fonds |Agency creates fonds
Representation of some specific domain in the world

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*Agenda item 4 - The two complementary EGAD products*
*a.  Model as descriptive document, prose and diagrams*
*b.  Model as formally expressed in a machine-readable form (perhaps OWL), based on core archival*
*concepts and terminology, though mapped to CRM/FRBRoo*

*Gavan's notes: 2013-11-19 pages 12-15*

Now we toss in another development
⇨  Computer scientists involved in Artificial Intelligence attempted to build inference
engines – but this was positivistic and hyperbolic – and they have failed to produce their
(hoped for) results
⇨  But they did produce FORMALISMS that became known as ONTOLOGIES and that
there are rules by which they are produced – and from here we end up back at
Conceptual Models (An Ontology is a formal model of the world [or part of it] as an
expression of a conceptual model)
⇨  OWL – Ontology Web Language – W3C
⇨  OWL Software from Stanford – 'Protégé' – See:
http://protege.stanford.edu/doc/users.html where there is information on Tutorials,
and we should download this and do the tutorial on Pizza or Wines [Gavan will have a
go]

What is it that we are going to model?
⇨  'Real World Object' – Daniel objects to this – it is too positivistic [and I agree]
⇨  Daniel proposes: the 'World as Such' (WAS) [which assumes it exists independently of
us]
⇨  This is supported by botanists, archaeologists etc (See Hodder, LaTour, Bourdieu,
Deleuze, Kant etc )
⇨  [Also see 'Agential Realism', in particular the work of Karen Barad, *Meeting the Universe
Halfway: Quantum Physics and the Entanglement of Matter and Meaning,* Duke University Press,
2007. 'In an agential realist account, the world is made of entanglements of "social" and "natural"
agencies, where the distinction between the two emerges out of specific intra-actions. Intra-

activity is an inexhaustible dynamism that configures and reconfigures relations of space-time-matter. In explaining intra-activity, Barad reveals questions about how nature and culture interact and change over time to be fundamentally misguided. And she reframes understanding of the nature of scientific and political practices and their "interrelationship." Thus she pays particular attention to the responsible practice of science, and she emphasizes changes in the understanding of political practices, critically reworking Judith Butler's influential theory of performativity.']

WAS ⇔ then Our Perception ⇔ A Formal Model of WAS ⇔ Archival World (our perspective)
  ⇨ We end with high level entities – and we have some pioneers in this area: the Australian and New Zealanders; the Spanish; and the Finnish
We therefore end with:
Descriptive Statements (DS)
  ⇨ That is we can make DS from WAS

But how do we decide what are the key elements that are necessary for Archival Description
  ⇨ Further the use-case for triples has not been built (proven) – and the British Museum model lacks coherence in implementation.
So how do we get to coherence?
  ⇨ We need to model what a Descriptive Statement actually is (?)
So do we move to XML as well as some form of Triples?

*******  *Discussion as recorded by Claire* *******
Conceptual model versus ontology? Clearer relationships between concepts
A formal language OWL developed by W3C, software Protégé
- World objects, "the world as such" (WAS)
- We have our perceptions we can represent as a formal model of WAS
- An unlimited number of formal models, including an archival model of WAS
- Descriptive statement of the world as such
British Museum Ontology (BMO) for museum objects

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*Gavan's notes: 2013-11-19 pages 15-16*

**Jaana:** WAS – CM tells the archivist view of the world
  ⇨ So this is what Daniel was projecting (?)
So we need a definition of the purpose and the perspective and stand points
  ⇨ The Conceptual model tells the world how we see the world from the archival stand point
**Stephano:** Records Management (RM) is one point of view; Archives is another point of view; Library is another point of view
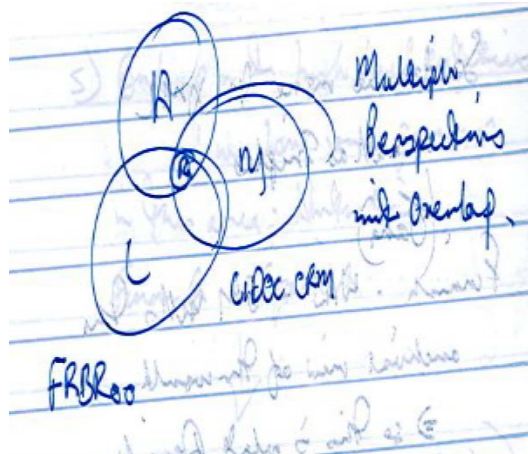
Figure from 19-11-2013 page 16: Multiple perspectives with overlaps – A = Archives; M = Museum; L - Library

*\*\*\*\*\*\* Discussion as recorded by Claire \*\*\*\*\*\*\**

**Jaana:** The model models how we represent the world: what is the standpoint of this representation? The Finnish and Spanish models are not done from the same standpoint. We have to be explicit about the standpoint

**Stefano:** when you are representing the world, the reasons for making this representation, records management is a point of view, an archival point of view is another point of view, you can represent the same reality from different standpoints

**Gavan:** example of a published book but seen also as a catalog produced for internal use, the archival record and the publication, 2 perspectives, if you describe the same resource as a librarian or as an archivist

**Daniel**: there are multiple perspectives that overlap, relationships with FRBRoo and CIDOC-CRM?

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*Gavan's notes: 2013-11-19 pages 16-17*

CIDOC-CRM has been pestering Daniel Pitti to lead the archival community to the CIDOC Conceptual Reference Model (they have a religious zealotry about them). But at the end of the day a person outside the computer has to tell the computer to do stuff. In the Open World, this global uniformity vision is a pipe dream. (See Sartre et al).
But in the Cultural Heritage community we should be able to achieve some level of coherence
⇨ ID, Title, People etc
The Finnish Model is based on the CIDOC-CRM.
CIDO-CRM is a reference ontology and you can build your own perspectives on top of this.
But our job here is to serve the archival world but we need to do this in terms that Librarians and Museum folk will understand.
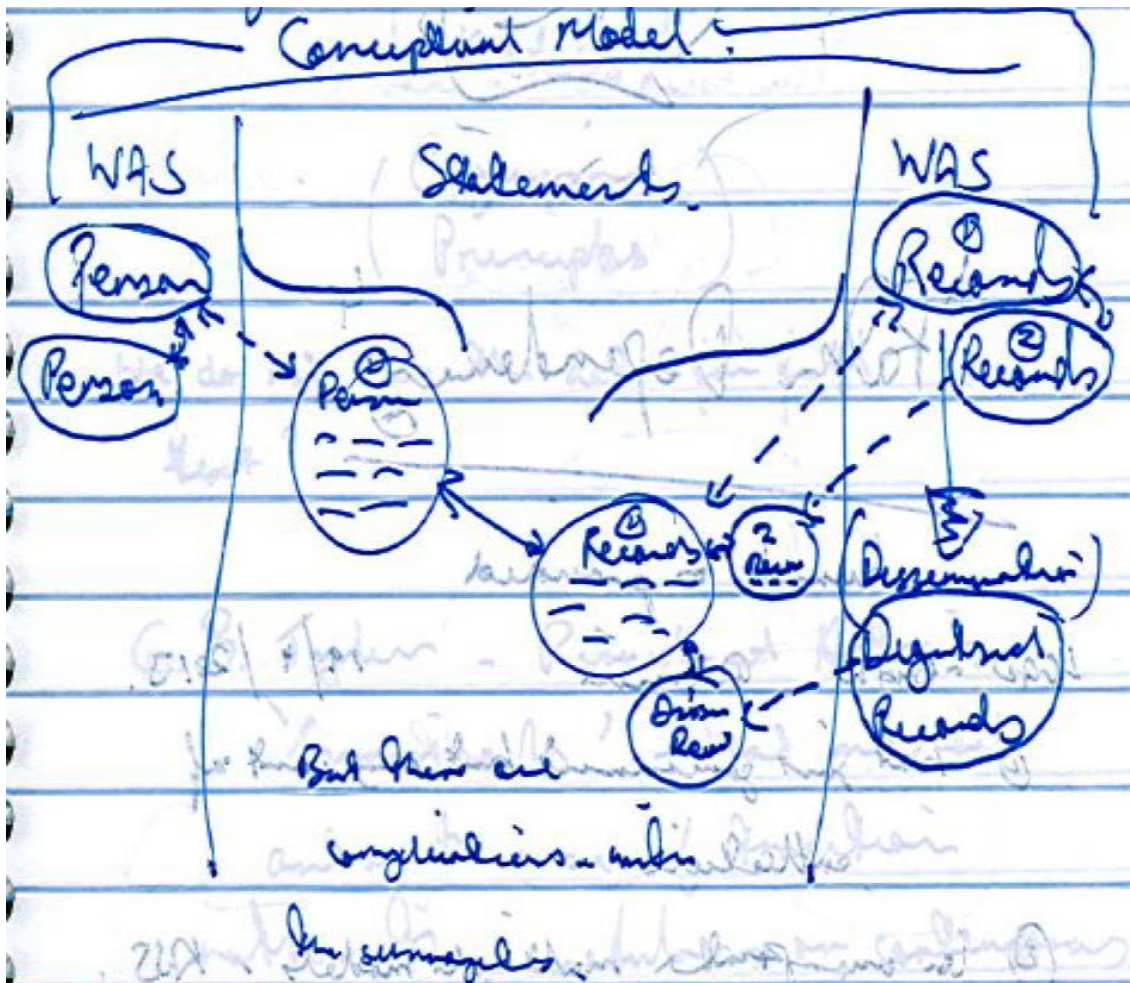So therefore, synergizing is an important consideration.

Figure from 19-11-2013 page 17: The Conceptual Model brings together the World as Such (WAS) and Statements about the WAS. In this diagram a distinction is made between Agents (Entities) on the left and the Records (Entities) they create on the right. In this highly simplified view there are statements representing Agents and Statements representing Records – both acting as surrogates. Some of the relationships or dependencies are indicated both in WAS and in the Statement World. It is noted: 'But there are complications with the surrogates'. Much of the discussion recorded below occurred while I constructed this reflective diagram.


*\*\*\*\*\*\*\* Discussion as recorded by Claire \*\*\*\*\*\*\**

*Identifiers, titles*

**Jaana:** a mapping to CIDOC-CRM, very fruitful, triples making statements about cultural heritage, "CIDOC-CRM is a reference ontology"

EAC-CPF, a representation of a person, a constellation of statements put together

**Florence:** documents may have copies

LOCAH distinguishes archives and finding aids

Distinguish description of the record, the record as such and the digital surrogate

*Title, kind of (map, letter…)*

Digital image is not the descriptive metadata

**Salvatore:** see FRBR model: manifestation entity

**Daniel:** we have to address records on traditional media as well as digital representations of things - Different versions of the same record

2 different approaches in Google: the Google search and a context-based approach which was abandoned

**Daniel:** impossible to anticipate all possible users, what is an archivist responsible for? What are the core responsibilities? The library community conducted serious studies

Facebook is a model, Google is another model, Twitter is another model

Data created by human beings, good, clean, solid data, linked open data creator

Google Books Project

**Jaana:** The conceptual model and archivists doing the description: how is it represented to the user?

**Daniel:** the high-level people who have budget pressure and librarians or archivists who have to satisfy the needs of the public

**Martin:** major problem between a Google approach and our approach, a highly specialized and short text

**Jaana:** in Finland, discussion with historian researchers, they don't want the full descriptions but the specific description identifying the materials

**Beatriz:** Users don't only use Google to do Google searches but also to navigate and navigation means interrelations

**Bogdan:** after having taught archivists with ISAD (G), now you have to teach users with ISAD (G)!

**Daniel:** even if we adopt the worse system, it will be far more useful ISAD (G) maybe solve archival problems, to do so that descriptions are more recognized by users

**Jaana:** a very slow work at a national level: what level of detail are we aiming to go? General level not going to much details?

**Daniel:** we don't have to reinvent everything, for instance date structure (single dates, range of dates and set of dates)

**Jaana:** to identify the domains which we are going to use

**Daniel:** Agents, Acts, Records => Agents are engaged in activities

**Gavan:** Acts are at a high level

CIDOC-CRM: a web-based ontology

We are talking about a network

An event is another piece

In CIDOC-CRM, event is an entity

**Jaana:** we don't want to have all the relations

The Spain model considers a little relationships but it is not the core of the model

We mentioned FRBR and CIDOC but there are other ontologies, conceptual models, some of them developed by the W3C, or by people who take an interest (foaf: not bad but insufficient description of people)

Maintenance system data: serialize => EAD, LOD, EDM, foaf, EGAD

Reference to CIDOC, FRBRoo

The main work is to serialize

Schema data

We would like to be able to speak their language, to share broadly

Ontology for linking descriptions of events

### 4) The 2 complementary products

What do we want to produce in practical terms?

A textual document with diagrams

A formal machine-readable expression of the model

TEI community is aware that things are changing

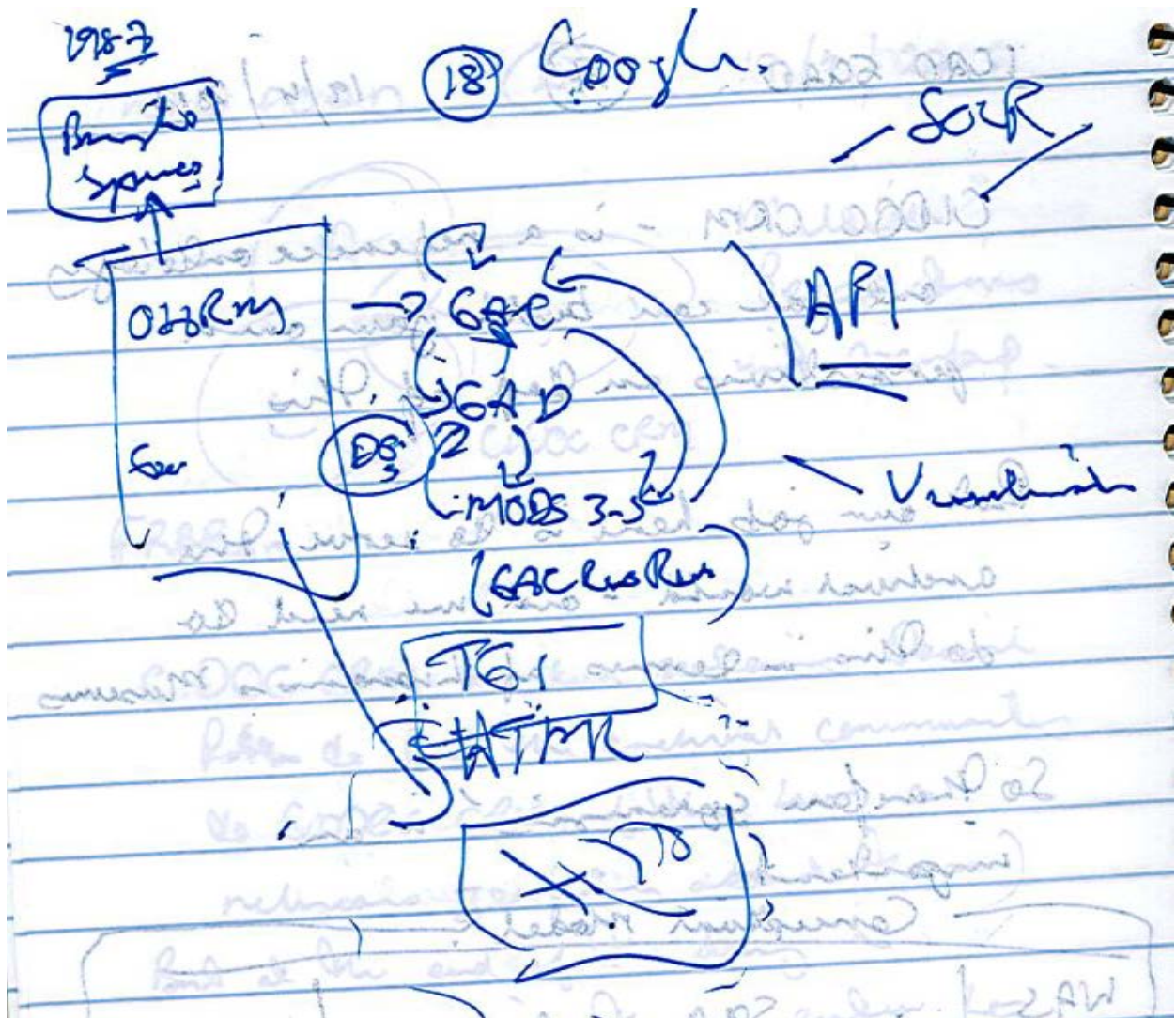*************************************************************

Figure from 19-11-2013 page 18: This final diagram for the morning is a further meditation on the discussion of the group and a reflection on the concept of "Path Dependency" – which I think is critical that we all try to understand better. This diagram attempts to capture the evolution of *Bright Sparcs* into the Online Heritage Resource Manager (OHRM) as a back-end relational database system and the expression of surrogate data (Statements representing the WAS) in standard XML forms: EAC; EAD; MODS3.5; and TEI as well as HTML, and then the use of external services (Google, SOLR/Lucence etc) and APIs and Visualization tools.

*End of Session 2*

*Lunch*

*Gavan's notes: 2013-11-19 pages 18-19*

Decisions:
1 Not just government but any sort of collection / assemblage
2. Can incorporate multiple models – Australian Series systems, Manuscript Collections, Fonds-based internalized systems
3. Respect the fonds – no matter how you do it
4. The 'World as Such' (WAS) accepted as a starting point

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*Agenda item 5 - Archival Principles*
   a)      *Provenance*
   b)      *Respect des fonds*
   c)      *Respect de l'order intérieure*

*Gavan's notes: 2013-11-19 pages 19-22*
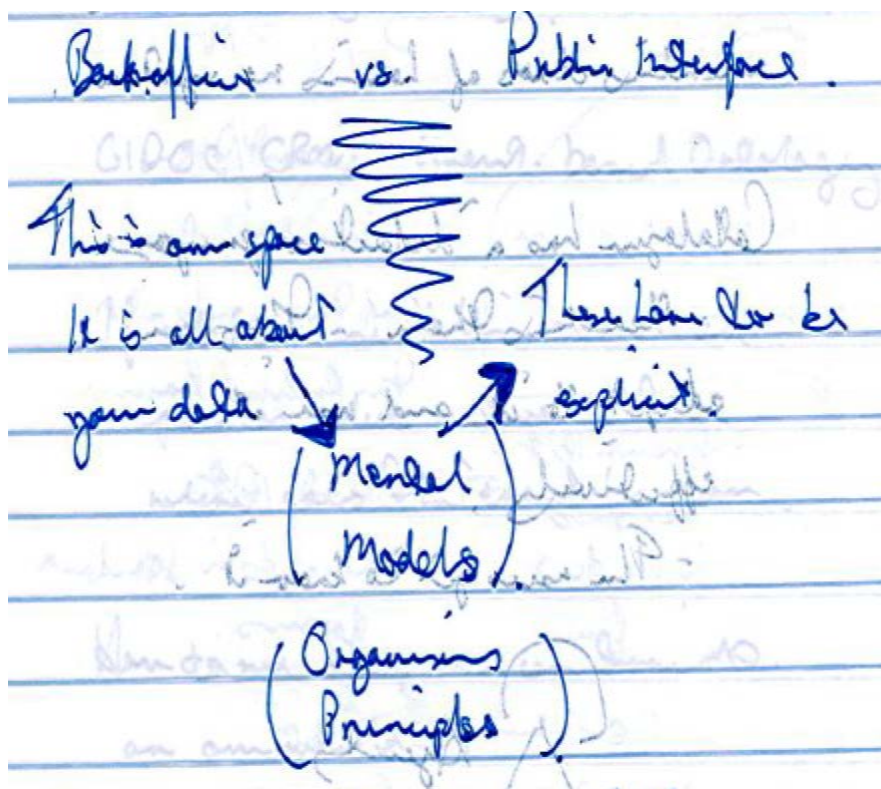


Figure from 19-11-2013 page 19: Back office versus Public Interface. The Back Office is the archivists' space but it is society's data. The mental models we use to describe and manage this data must be explicit so society can recognize and use their data. For this to be achieved there needs to be clear and explicit organizing principles.

We do not have the data for full text (? - mostly)

See: E.B. Tyler, Ritualized Actions or Survivals that are held onto because of tradition rather than usefulness or contemporary context – But what is the essence of the human / cultural need that determines whether we can go and change things.

Thought: Even if we adopt the worst system it will be better than the unending chaos of having no system.
'Catalogue' has a didactic purpose – teaching them – they can adapt to it and use it effectively. The users get to know it.
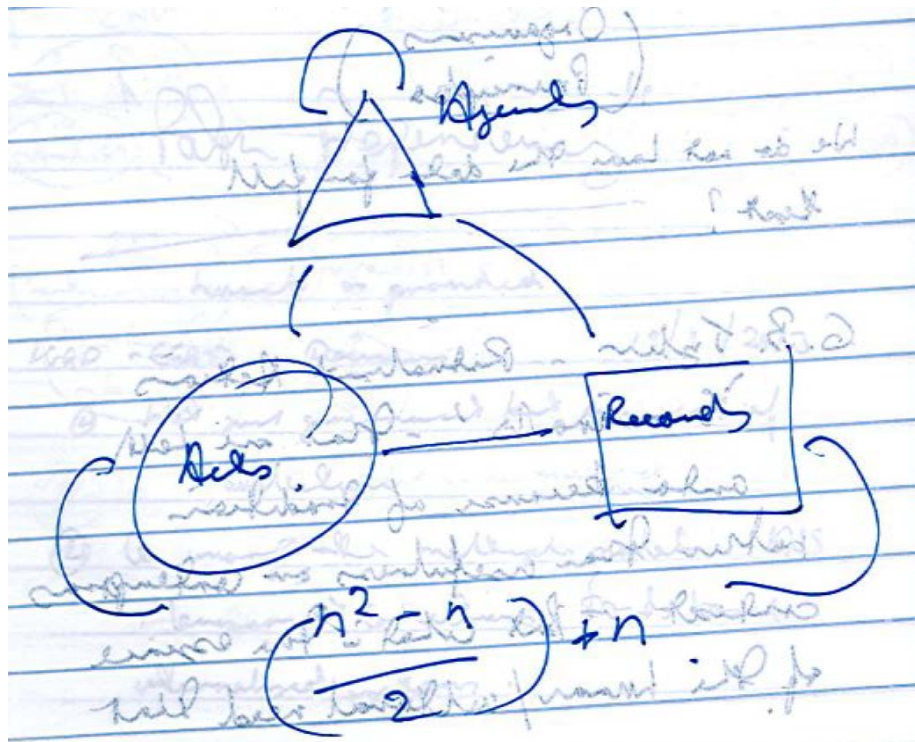


Figure from 19-11-2013 page 20: High level Dependency Graph for Agents, Acts and Records. The formula represents the number of dependency connections in a world of 'n' entities. In a world where a dependency may comprise many instances or relationships this can then translate into the number of sets of rules required to manage those relationships. So in this case (where n=3) there are 6 dependencies (d=6) or sets of rules. The power relationship (that is n squared) means that the number of dependencies grows exponentially as n increases. So in a world where n=10 there are 55 dependencies (d=55) or sets of rules to be considered. Where n=14, d=105. Managing coherence through time where n is larger than 5 has been shown to be problematic.
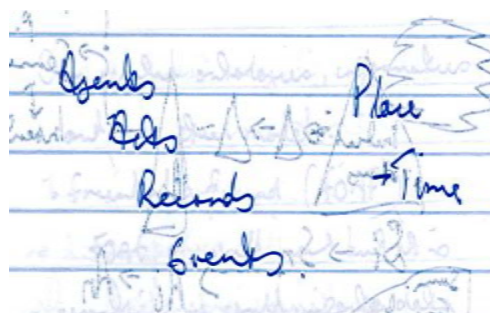


Figure from 19-11-2013 page 21: Introducing Place and time into the Agents-Acts-Records equation. It raises the question of the intersection between Acts and Events.

CIDOC-CRM is an event-based Ontology.
- ⇨ If what we are talking about is an open complex network the where does the 'event' occur?
- ⇨ How do we keep some constraints on our world?

Challenges of the 21st Century are:
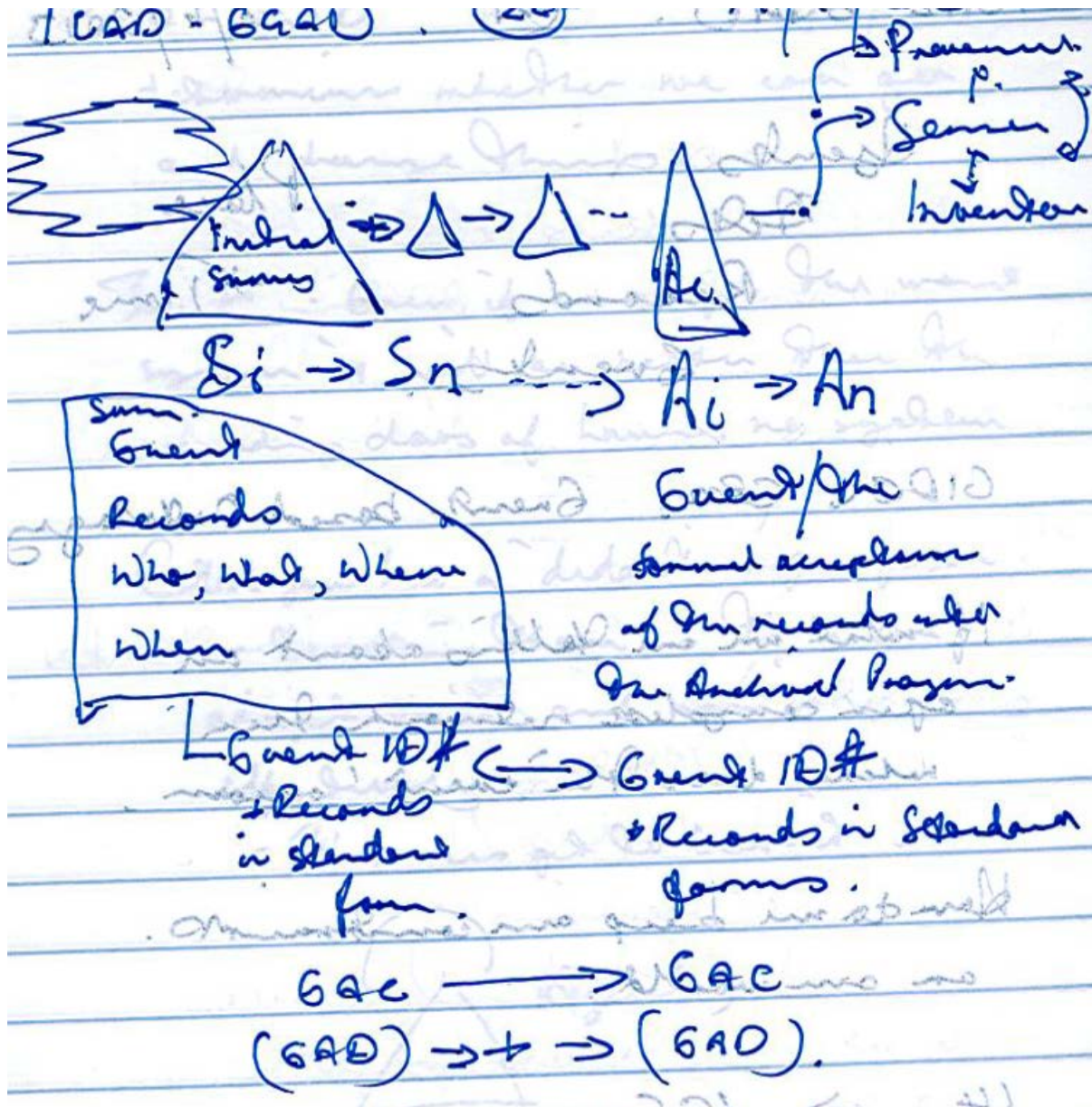- ⇨ Quantity
- ⇨ Diversity



Figure from 19-11-2013 page 22. This diagram is a meditation on the role of the 'event' in the relationship between the archivist and records through time, from 'first contact' ($S_1$ or initial survey) through subsequent contact or surveys ($S_n$) to formal accessioning into an archival program ($A_1$ to $A_n$). Survey Events record the Who, What, Where, When. If an Event is given an identifier (ID) and the records documenting that event are in a standard form then the resulting package could be documented (and managed) using EAC and EAD. Likewise, if Accession Events are similarly documented we develop a coherent framework for conceptualizing archival processes. The top right-hand corner indicates the extension of this thinking into the more traditional areas of Inventory, Series, Fonds and their dependency on Provenance.

NOTE: The above is personal reflection indicating what I felt was an important gap in the discussion at the table which was pretty well entirely focused on end products (fonds, collections and provenance in a limited sense) whereas the 'story of the record' (which really is the documentation of provenance) gives an alternative perspective for developing a conceptual model.

*******  *Discussion as recorded by Claire*  *******
**5) Archival principles**

Respect des fonds- history
Provenance - history
Respect de l'ordre interne, originel
The fonds as an abstraction, continues to have a history
The group of stuff as an archival collection
Respect des fonds as a guiding principle for arrangement
Geoffrey Yeo, article on the fonds
See Terry Cook: The fonds is primarily a conceptual abstraction and the error of the traditional approach lies in perceiving it as a physical entity.
**Stefano:** the archival bond
You cannot understand a record without the others
What is the original order?

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*Afternoon Tea was held at the table where discussion focused on food where we might eat that night (Italian? But should one ever eat Italian with an Italian outside of Italy?). There was also some discussion about Jazz and the American hybrid and a group in New Orleans but I am not sure of the significance. The time for Dinner was set as 7pm and Gavan given the job of finding a restaurant.*

*Gavan's notes: 2013-11-19 pages 23-27*

Our related ontologies, informatics and conceptual models:
⇨ Friend of a Friend (FOAF). FOAF is insufficient but it is something we could import data into if needed; as is
⇨ Dublin core
⇨ CIDOC-CRM
⇨ FRBRoo

Also to be considered is Schema.org (with extensions) which is utilized by Google, Microsoft and others – so a very powerful push.

Another – one for events – is the W3C Provenance standard – while interesting it is not what we need and is not focused on our particular understanding of the term Provenance.
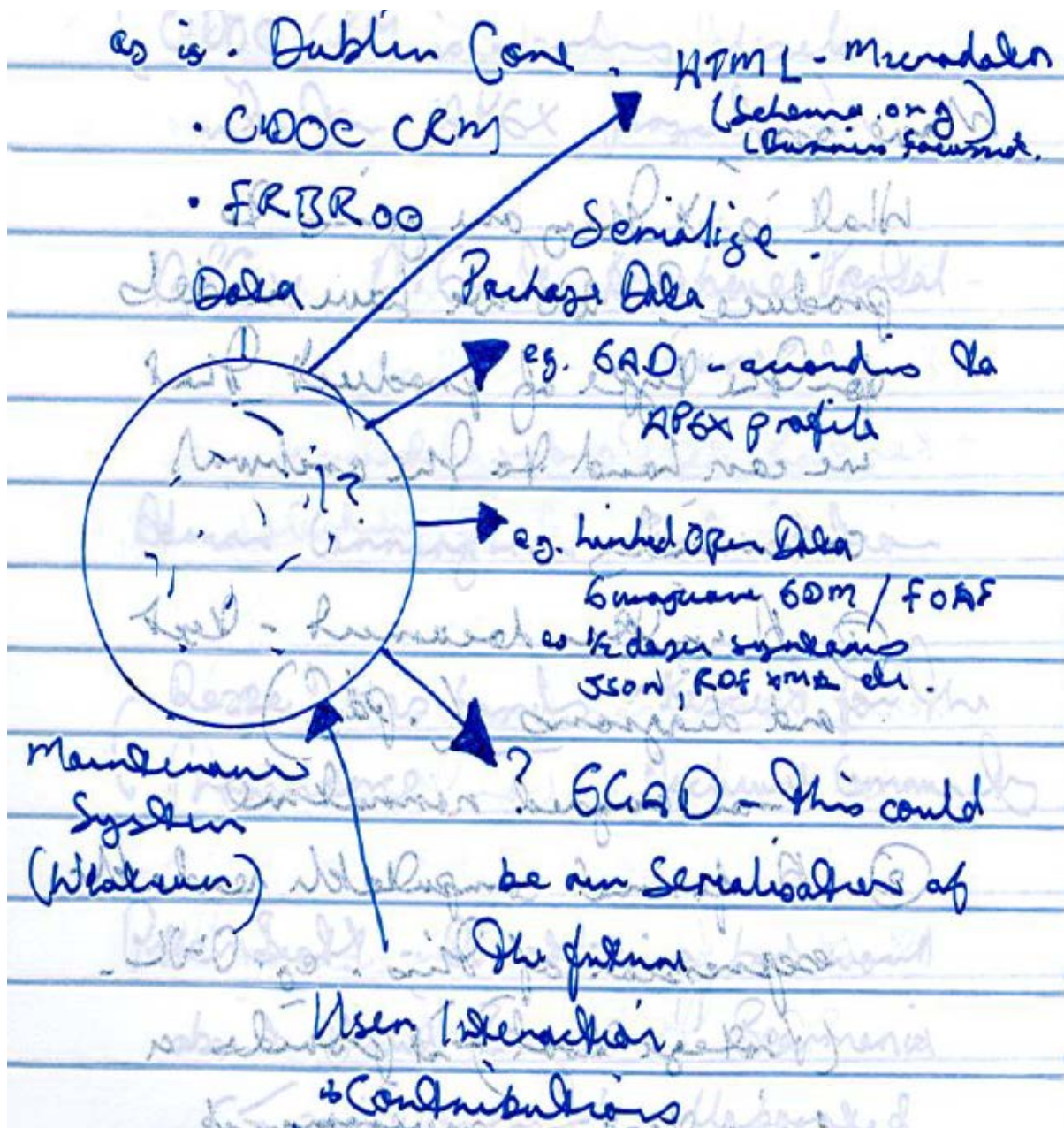
Figure from 19-11-2013 page 23: Ignoring the text in the top left hand corner ('as is Dublin Core' to 'FRBRoo'), the diagram imagines the world of archival data in a maintenance system (whatever) and the ways that data may be serialized or packaged for a range of purposes. For example: to HTML and microdata, to EAD according to the APEX profile, to Linked Open Data (e.g. Europeana, EDM / FOAF – in json, rdf, xml etc as required) and potentially to an EGAD model – this could be our serialization of the future, but it should also allow user interactions and contributions.

Move on:
What is it we are going to produce? Do we have models for the type of product that we can hand to the archival community?

⇨ One. A written document – text and diagrams (.pdf) – an argued narrative
⇨ Two: A formal computable / machine readable expression of this (one), e.g. OWL (Protégé tool) – it provides a logic testing environment, so to the extent possible, the rules that we set will apply. We can also note where we align with others in particular CIDOC-CRM and FRBRoo

⇨ Three: Examples of EGAD information objects

References were made to APEX and APEnet – the Archives Portal Europe and that CIDO-CRM is working closely with the APEX project.

Note was also made of Adrian Cunningham's many contributions in particular two documents he provided on the conceptual and data modelling of 'item' entities and relationships undertaken in New Zealand.

As he noted in an email of 13 November 2013:
> Also attached is the item metadata, which is broken up into sets for convenience only:
>
> - **Item description metadata** (for when the item is either just metadata or relates to a thing)
> - **Manifestation specific metadata** (additional set for when there's an actual thing)
> - **Physical Specific metadata** (additional set for when the thing is physical)
> - **Digital Specific metadata** (additional set for when the thing is digital)
> - **Archway metadata** (which is not part of the description proper - rather some of our recordkeeping metadata about the item)
>
> There's still a bunch of work to do on the metadata - it's pretty light on detail, but we've agreed that these fields represent the best statement we can make at the moment for what we could want to say about an item. They're being used to influence development but still need to be written up as a full item entity standard which will flesh out the description, business rules, attribute fields etc."

Discussion also covered:
⇨ Respect des Fonds – Provenance
⇨ Respect for the Archival Community
⇨ Peter Scott
⇨ David Bearman
⇨ Martin Doer
⇨ Archives and Museum Informatics
⇨ Respect de l'ordre interne
⇨ Respect de l'ordre primitive
⇨ Peter Horsmann
⇨ Stuff – formalize the use of this term that we all use

The group finished the day with some musing around the interconnections between Fonds, Agents, Stuff, Records, Collections etc and what we might actually mean by all these things.

It was noted that in Italy the history of the Fonds is important (is this done retrospectively or would it be better if it were also proactively and contemporaneously).

The abstract definition of 'Fonds'
⇨ The concept of all the records created by an agent.

The final thought for the day:
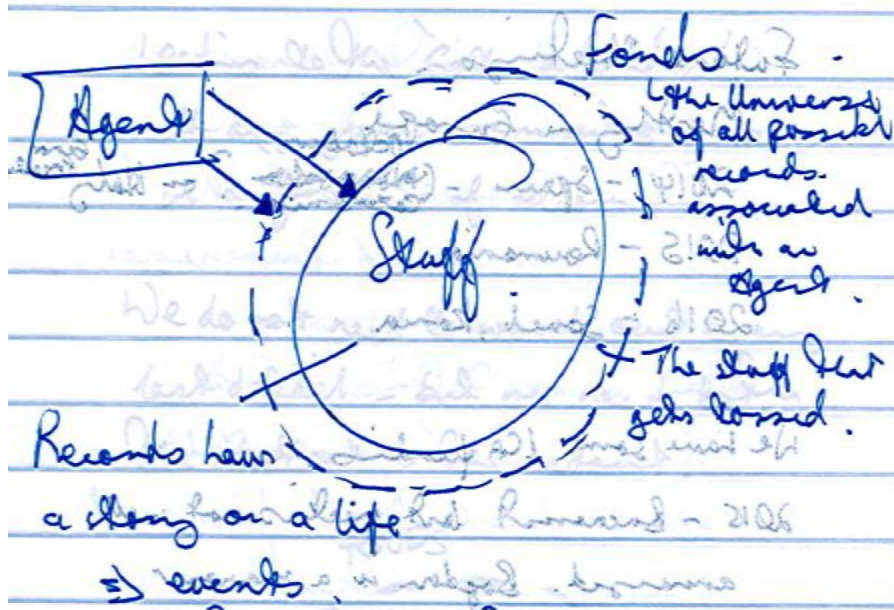⇨ Group of Stuff as 'Collection'

Figure from 19-11-2013 page 27: This diagram is a meditation on the discussion surrounding the dependencies between Agents, Fonds, Stuff and Records. If we consider the Fonds to be the universe of all possible records associated with an agent – the Stuff – we note that Agents have relationships with the stuff and that the stuff as records has a story or a life (existence) => events This stuff, over time becomes the stuff that is kept and the stuff that is discarded (or tossed).

*End of Session 3*

*Adjourned for Beer and Dinner*

*Gavan's notes: 2013-11-20 page 1*

Future Meetings:
- ⇨ Mostly in Europe
- ⇨ 2014 – Spain – October with ICA Annual Conference most likely or Italy perhaps
- ⇨ 2015 – Romania – to be investigated
- ⇨ 2106 – South Korea, Seoul – as part of the ICA Congress

We have some ICA funding to support our meetings. Discussion was that Bogdan was in a position to arrange a meeting for us in 2015 in his country, Romania, and he proposed a Chalet on the top of a mountain in the area where he worked. That is a 'retreat'. By that stage we should be working on 'final' drafts of our outputs.

*\*\*\*\*\*\*\* Discussion as recorded by Claire \*\*\*\*\*\*\**
Next meeting 2014: Spain (Girona, October), Italy, Romania?

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*Agenda item 6 - Modeling what?*
-   a)    *Human activity and byproducts/products of human activity, as such*
-   b)    *Archival perspective*
-   c)    *Archival description*

*Gavan's notes: 2013-11-20 pages 1-5*

The Work – A strategy for how we continue this discussion:
- ⇨ From the meaning of 'fonds'
- ⇨ An abstract general notion of 'Everything associated with an Agent'
- ⇨ Leading to the 'Extant Fonds' at any given moment – that is we are talking about things in a 'process of becoming'
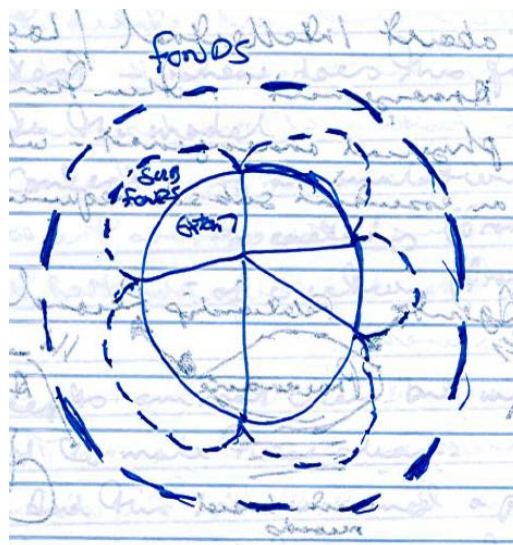


Figure from 2013-11-20 page 2: A visual conceptualization of the relationships between Fonds – Sub Fonds – Extant Fonds.

We do not need to work out every last detail – but we need both the abstract and the extant.

But should our focus be on Provenance – as this has a more organic relationship between:

Agents + Records (+ Function)

Provenance is the more general concept and therefore 'Respect de Fonds' is a sub-set of Provenance.

When we are talking about 'Arrangement' we are talking about Intellectual / Logical Arrangement rather than physical arrangement – which, it is recognized, is an essential sub-set requirement of managing stuff (you have to know where it is - at every level of description.)
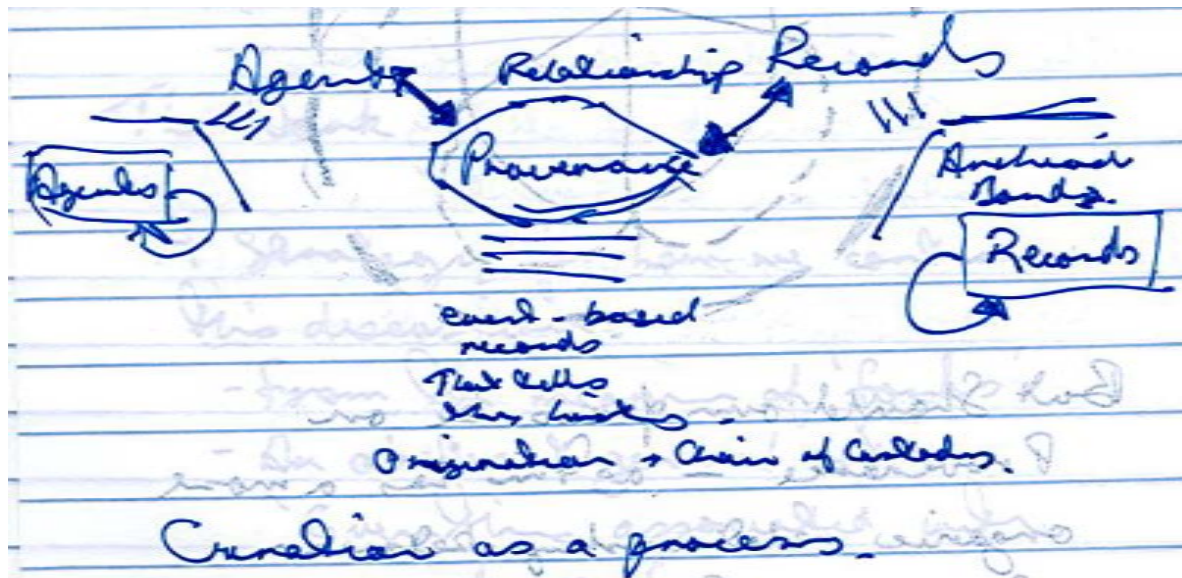


Figure from 2013-11-20 page 3: 'Curation as a Process' – a visual conceptualization of the connections between "Agents and Records" and what this means for Provenance, Agents, the Archival Bond (Records. So, Provenance is documented by 'event-based records that tells the history – that is origination and Chain of Custody.

'Archival Bond' – see Interpares definition.

Some Actor is doing something that results in a record!!! So in finalnd that focus is on the context – that is the Actor and the Doing – not on the records.

Context – where does this fit into the model?
Context:
    ⇨ Of accumulation / assemblage
    ⇨ Of custody (Provenance)
    ⇨ Of creation (Provenance)

Concepts are not clear but we need to make these clear – and this has remained a point of discourse in the community.

Daniel's proposal:
    ⇨ go back to Stefano's proposal – which is 'CUT THROUGH the language'.

**Reflection:** Perhaps our focus in the past on 'definition' of terms, the belief that we can actually define in a few words something that is in itself complex and contextually dependent, is actually not leading us to consensus. Perhaps if we focus on the relationships between things, including concepts, we may find an easier route to common ground.

So our focus is CONTEXT as this will subsume everything that has come before and will happen later.

**TASK:** Draft some text 1-2 pages discusses the context / provenance / fonds dependencies; sets a background and states that we what we do here takes in the history of our discourses and recognizes the value of this discourse that captures the exploration of these key principles that define the archive.
  ⇨ Go back to 1910 – the original coming together – YES - 'Consensus on this!'
  ⇨ Do we need to touch on the issue of management? Naming, Unique IDs etc – YES – consensus on this!

The task was allocated to Bogdan to lead with assistance from Stefano and Beatriz.

*\*\*\*\*\*\*\* Discussion as recorded by Claire \*\*\*\*\*\*\**

A general abstract sense of everything that is associated with an agent (creation, accumulation, use), it constitutes a whole

Lifecycle

A static thing where the abstract whole survives to different treatments

Distinction between the abstract fonds and some other terms? In the process of describing, we want to be able to describe an abstract fonds and you have the real records in front of you

All generally agree that there is a general "fonds" subject to archival control and description

We need to eliminate "respect des fonds"

Provenance is broader

Physical arrangement and processing

**Vitor:** We don't need to speak about provenance, respect des fonds, and so on, because everything is included in "fonds". The concept of fonds englobes the principle of provenance.

**Jaana:** we should not have entities that englobe a lot of things, provenance is about relationships

**Florence:** provenance is a relationship, arrangement as an event in the lifecycle

Provenance at different levels of description

Context and respect des fonds will be addressed in the conceptual model but won't play a preeminent role

**Jaana:** some actor is doing something and the output is in the record

Stefano: is the context a synonym of provenance? No, we use in general context of creation, context of accumulation. The context is not only about origins

Provenance in terms of origins

**Jaana:** we can understand fonds in many ways, if we define provenance as a relationships, different interpretations are possible

DP: as archivists, our concern is context

**Vitor:** if we use concepts used in our standards, we should keep them (for instance, ISAD clearly defines creator and author)

Text of 1-2 pages that discusses provenance, reflects the long history of discussions within the community, shifts the discussion the descriptive standards are addressing context reflected in these principles: Stefano and Beatriz

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*Gavan's notes: 2013-11-20 pages 5-7*

Digital Records in the USA – Quantity and Diversity (a recurring theme)
Archival influence must move upstream to the birth if possible – if we do this we may ameliorate the problems and challenges of the archive (in the 21$^{st}$ Century).

⇨ The placing of archivists out in local places and bridging with archival programs, takes us of course into the realm of or to a relationship with Records Management.
⇨ See Adrian's comments on this.

**Jaana:** We are talking about Description so we need to be able to take the description from Records Management.
**Vitor:** Stuff is Stuff no matter no matter where is might be in its ~~life~~ existence.

[As a sensible directive from Daniel we agreed to avoid terms like 'Lifecycle' and 'Continuum' in general language – so for example use 'existence' instead of 'life' – we need to be totally clear on our use of metaphor and step back from it when it becomes loaded with 'localised meaning' and used a shorthand.]

The conceptual framework is designed to be of use to all.

*\*\*\*\*\*\*\* Discussion as recorded by Claire \*\*\*\*\*\*\**
**Bogdan:** the concept of multiple provenance: is it possible to have a multiple provenance at the fonds level? We should address managing aspects
**Jaana:** there are core ideas in these principles, but there were evolutions in the methods and the environment, it is wrong to the new context
**Jaana:** recordkeeping function instead of lifecycle, this is this continuum, many agents involved in it, the management starts when the records are created, management is in the Finnish model
**Daniel:** we don't want to cover all aspects of records management but we want to identify explicitly the core principles
**Jaana:** we only are talking about archival description but in archival description there are metadata of records management
**Vitor:** revision of ISAD, a critic comment, ISAD is devoted to historical records. Note: event of ISAD was primarily devoted to historic records, it can apply to every type of records
**Daniel:** use the word "existence" instead of lifecycle
**Beatriz:** you could make descriptions for all kind of activities, we need a model for records managers, archivists, manuscripts curators, etc.
**Stefano:** the reasons why records are described in a records management environment and in a historical context are different, we need an umbrella for everything
**Jaana:** from the perspective of reality in Finland, we use firstly the metadata created in the agencies and then there is a decision of the national archives to keep or no metadata, reuse domain of continuum, what needs to be done for the reuse, a compatibility between the recordkeeping standards and the archival standards, there are different models of description

**Vitor:** the separation so strict between the description where the documents go to the archives and the documents in the agencies: it is changing a lot; people need to have information about documents which are in agencies, producing descriptions is a way to manage archives in our repositories, not only to cover the needs of users

**Daniel:** to find a way in our introduction, how to position the model? There is a core audience but also secondary audiences.

**Jaana:** the description of archival records for the researchers uses and the uses of agencies have to be compatible, but we are more thinking about other uses of records

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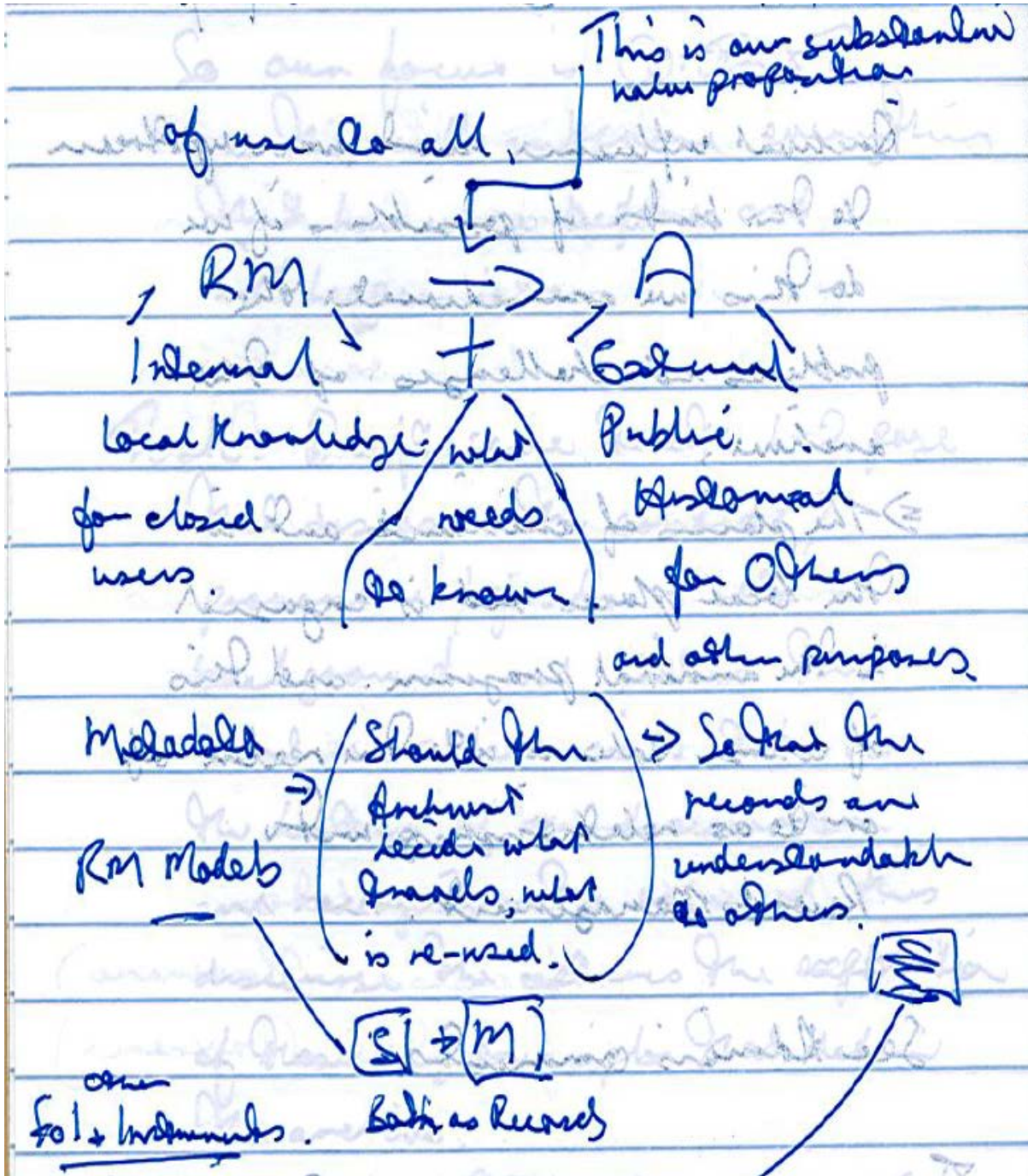
Figure from 20-11-2013 page 7 – Part 1: A diagrammatic study of the dependency between Records Management (RM) and Archives (A). What is noted is that our substantive value proposition is that we effective manage this transition or dependency or interconnection between Stuff (S) in the RM world and Stuff in the Archival world. The RM world is characterized as being internal, imbued with undocumented and assumed local knowledge, and only accessible for a limited set of users or 'closed users'. Whereas, the Archival world is characterized as being external, that is for society as a whole (public), historical, and available for others and other purposes. So A = RM + (what needs to be known or added to make the Stuff (S) and the RM Metadata (M) understandable by others). The question then is 'Should the archivist decide what travels, what is re-used?' It is noted that both S and M should be available as records.
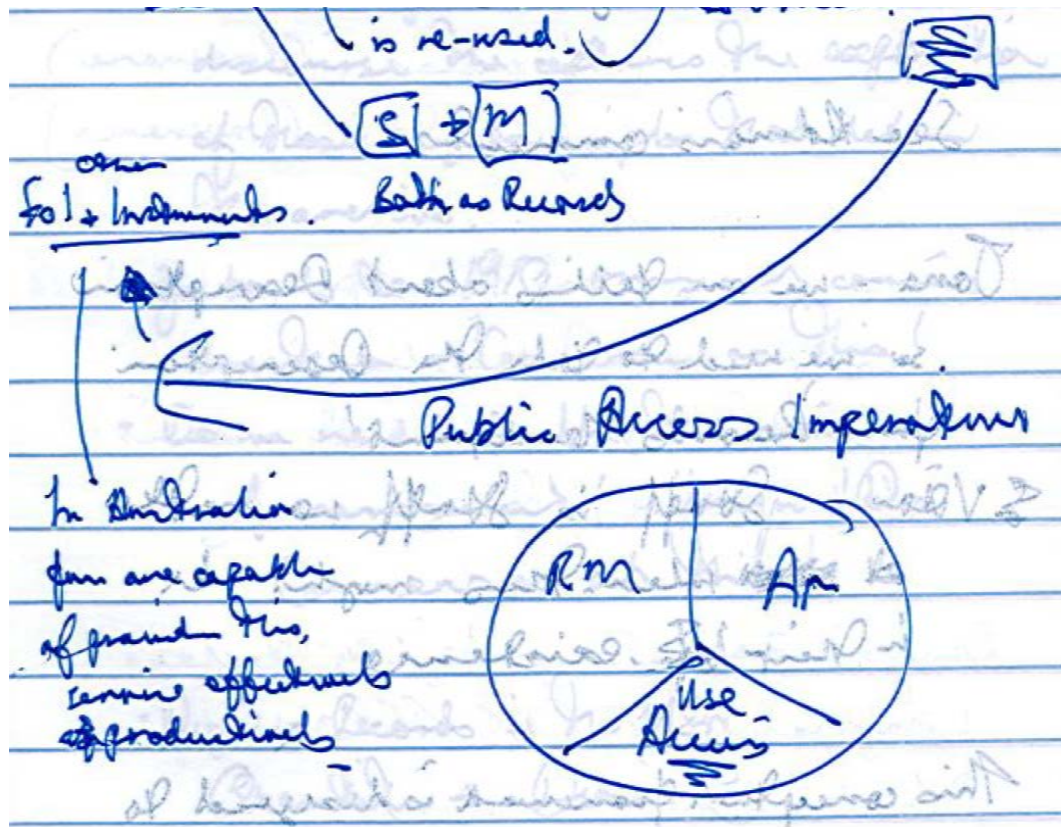


Figure from 20-11-2013 page 7 – Part 2: A diagrammatic study of the dependency between Records (RM) Management and Archives (Ar), and introducing the User (Use – Access) into the equation. A 'Public Access Imperative' is taken as a common understanding or precondition. It is noted that with regard to Freedom of Information (FoI) and other Instruments (of access and use), in Australia few are capable of providing this service effectively or productively.


*End of Session 4*

*Morning Tea*

*Gavan's notes: 2013-11-20 page 8*

Timeline and Methodology
   ⇨ What do we deliver in 2016?
   ⇨ Will there be intermediate products?
It is incumbent upon us to release reports and discussion papers for the community to respond to. Therefore we will all have jobs and will be expected to contribute to the discussion.
   ⇨ We need to make sure that our points of consensus are noted.
   ⇨ Our minutes and meeting notes will be a field of negotiation – a living thing – a process from which our formalized outputs will emerge.
   ⇨ Daniel cannot do everything – this is our group so we all need to contribute and take responsibility. (We need to return to this in the last session)

*\*\*\*\*\*\*\* Discussion as recorded by Claire \*\*\*\*\*\*\**
   **Daniel:** timeline, methodology
   **Daniel:** Gavan makes notes which will be completed by the others who make notes, the minutes would become a field of negotiation for us

\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*

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*Agenda item 7 - National archival conceptual model initiatives*
   *a) Australian Government Recordkeeping Metadata Standard Version 2.0 (2008) (AGRkMS)*
   *b) CNEDA: Modelo Conceptual de Descripción Archivística y Requisitos de Datos Básicos de las Descripciones de Documentos de Archivo, Agentes y Funciones in 2012.*
   *c) Finnish Conceptual Model for Archival Description*

NOTE: The order of presentation was reversed so we started with Jaana and the Finnish model.

*Gavan's notes: 2013-11-20 pages 9-10*

Until then we need to look at the models that are on the table – the Finnish Model, the Spanish Model and the Australian (and New Zealand) Model.
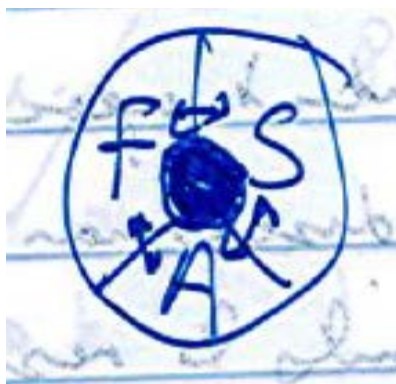


Figure from 20-11-2013 page 9: The interconnections between the Finnish Model (F), the Spanish Model (S) and the Australian Model (A) and that what we are working towards is the bit in the middle ( ● ).

What will be important is the ability for systems and others to map the evolution of their systems.

⇨ Our challenge with EAD – and most of the archival community – think of archival description as hierarchical – so we do not want to preclude that but have it as not the only one possible way of doing archival work.

⇨ What is apparent and what is real! Understanding the difference here is for many a very difficult jump to make.

In the Australian Metadata schema – it breaks everything apart [Well not quite]

⇨ But if you can do the multiple relationship thing then you can do this (that is the conceptual model etc) in a 'single apparatus'.
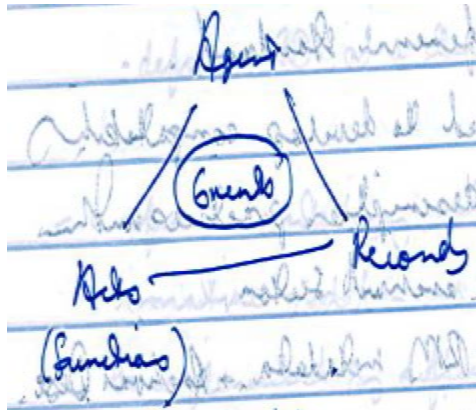
Where do we start:



Figure from 20-11-2013 page 10: Looking at the dependencies between Agents – Acts (Functions) – Records and the centrality of Events.

******* *Discussion as recorded by Claire* *******

Comparison between Australian, Finnish, Spanish models:

⇨     Agent
⇨     Acts
⇨     Records

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*Jaana's Slides and Gavan's notes: 2013-11-20 pages 10-15*



Slide #1

The Finnish Conceptual Model for Archival Description – presented by Jaana Kilkki



Slide #2

ALM – National Digital Library
- ⇨ A common information architecture
- ⇨ Common user interface FINNA
- ⇨ Long-term preservation service – but preservation bit still emerging
- ⇨ Integrating services – common persistent IDs (PID), name authorities, ontologies (keywords, places etc.)
- ⇨ Harmonizing the descriptive Metadata of ALM
- ⇨ RDA – Resource Description and Access as a reference standard

Therefore, a need to develop compatibility of description practices within the archival sector with the key challenges being:
- ⇨ RM Metadata and Archival Description
- ⇨ Analogue materials and Digital materials
- ⇨ Wide range materials and institutions

They used the bits of RDA that make sense – not in its entirety – so those bits that establish the common ground. The working with the Library has been productive. They have six different archives in this system – the government will not fund any other access systems.

Slide #3

In this context the Conceptual Model:
- ⇨ defines Archival Description as a standpoint
- ⇨ has a reference ontology not a nominative model – and can be implemented by different metadata models
- ⇨ has a focus on defining provenance entities and their relationships

**Stefano:** Is unhappy with the term 'archival materials' (I am not sure why – as it just refers to any sort of stuff that is described by archival methods).

I assume the phrase 'Entity Material needs to be modelled in detail in specific implementations' is referring to provenance or context entities and their relationships.

Further discussion about 'Archival Materials'
- ⇨ and when does 1) stuff become a record and 2) a record become an archival record (i.e something that has been identified for long term preservation and documented to ensure understandability across and trough time)?

Do we come back to the definition of Fonds and Archives? And do we tackle this "Entity Material"?

Slide #4



Slide #5

Slide #6

The AHAA access service is under construction as an Open Source service being built using an Iterative methodology with the plan that it be in service in 2015.


Slide #7
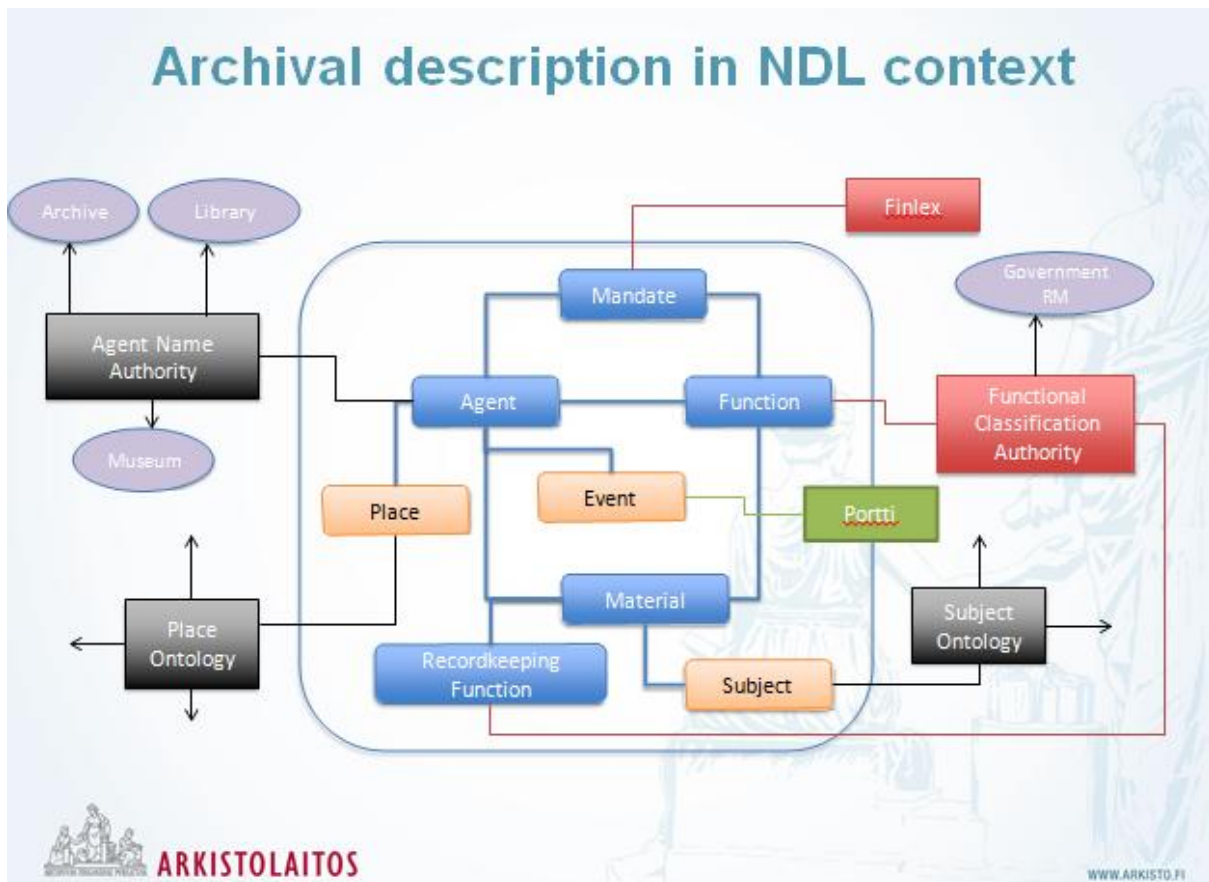
Figure from 20-11-2013 page 13: Re-thinking the dependencies of the Finnish Model as shown in Slide #7. The important idea here is that an Event is conceived of as independent informatic object (or set of elements and attributes) that can be attached to an Agent (or indeed an Context entity or Record (Material) entity). The Event has two major components which deal with Location (space) and Temporality (time). The Event as a repeatable form can thus be used to 'nail or pin an Entity onto or into a Spatio-Temporal Fabric'.

⇨   *\*\*\*\*\*\*\* Discussion as recorded by Claire \*\*\*\*\*\*\**

**The Finnish National Conceptual Model for Archival Description**
**[SLIDE #1 and SLIDE #2]**
Background:
Government wide information architecture policy: for ALM-sectors the National Digital Library (under Ministry of Research)
common user interface (portal service Finna) and a long-term preservation service for all government funded ALM-organizations
integrating services: common PID systems, name authorities, ontologies (keywords, places, etc.)
harmonizing the descriptive metadata of ALM-sectors on goal of the IA: RDA as a "reference standard" for description
has led to a need to develop the compatibility of description practices within the archival sector
> o        records management metadata and archival description
> o        analogue material and digital material
> o        wide ranges of materials and institutions

Cooperation between sectors since 1994
Common standards for all ALM institutions? Pre-eminence of libraries? Rather convergence, we are trying to be open
Compatibility with records management, between analog and digital materials, it is not only the national archives or the governmental archives, we are making a common access system
**[SLIDE #3]**

In this context, the conceptual model defines what archival description, as a standpoint to description as a general practice is for the common understanding of the archival sector and for the wider cultural heritage community.

It is a reference ontology, not a normative model: can be implemented by different meta-models

As the core of the archival standpoint to description is provenance, focus on defining the provenance entities and their relationships

"archival material" encompasses a wide range of different kinds of information resources in different stages of their life-span

**Daniel:** agrees with that

Any material that is described is described by archival methods is "archival material"

=> Entity Material needs to be modeled in detail in specific implementations

There is an entity "Material", it can be anything, we don't say anything about the reality

**[SLIDE #4]**

"Business Reality":

-        Context in which information resources are produced

Description system represents context and information resources

Data Models implement description systems

"Archival Reality"

Metadata models for archival description

**[SLIDE #5]**

Theoretical orientation

- conceptualization always done from a standpoint: needs to be made explicit

Theory: the chosen standpoint to conceptualization of reality

The theoretical orientation is the post-modern paradigm of archival theory (contradictory of the word)

Archival description is a representational system (description is always an interpretation from a chosen standpoint), is a process (begins when material is created and continues throughout its existence), must allow for different interpretations made by creators, recordkeeping professionals and users

**[SLIDE #6]**

Tasks of the National WG

     conceptual model
     description and cataloguing rules
     AHAA-access service

**[SLIDE #7]**

Links to other sectors (Agent Name Authority, Place Ontology), same sources for metadata values

Functional Classification Authority

Subject Ontology

ICA (agent, function), ISO 23081 (recordkeeping function, mandate), FRBR (event, place, expression, manifestation, subject), CIDOC CRM (activity)

Agent engaged in Event and Located at Place, responsible for Activity, Function, Recordkeeping Function

Activity produces; targeted at Material

Function documented in Material

Recordkeeping Function targeted at Material

Mandate governs Recordkeeping Function and Function

Records are a certain type of Material

A private people can do things (Activity)

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*Jaana's additional slides #1 and Gavan's notes: 2013-11-20 pages 16-17*
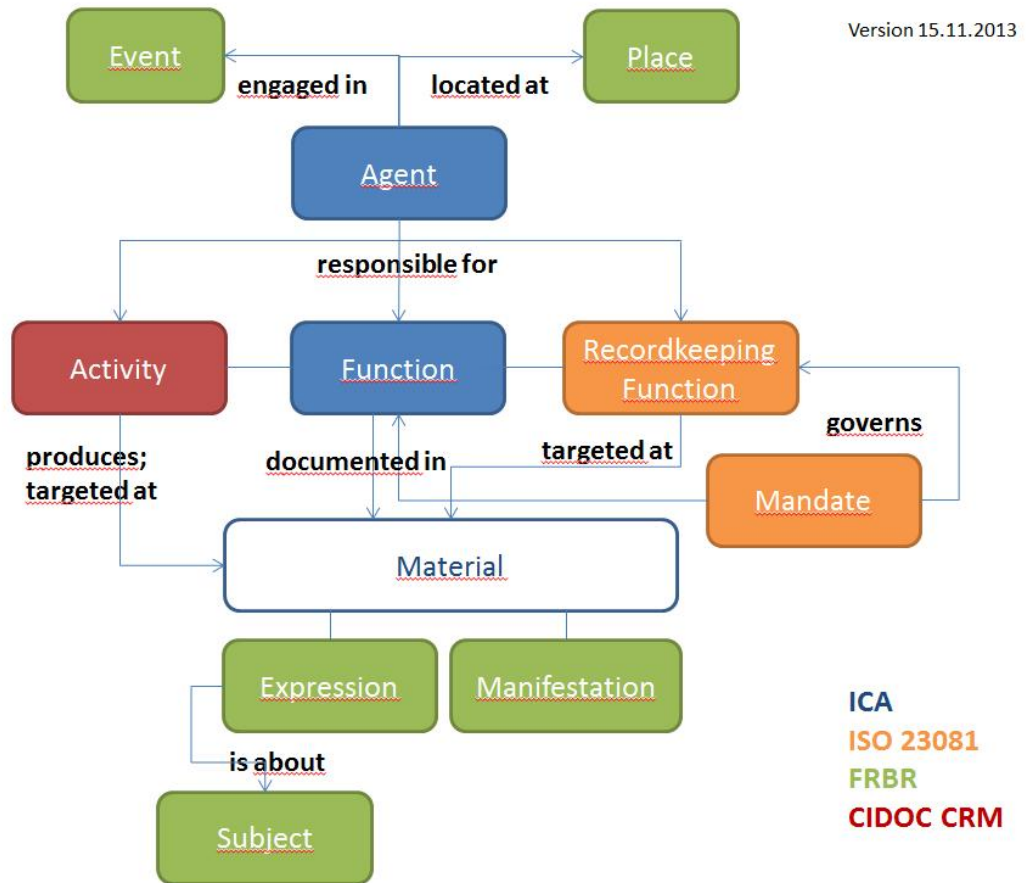


Additional Slide– FCM Overview #1
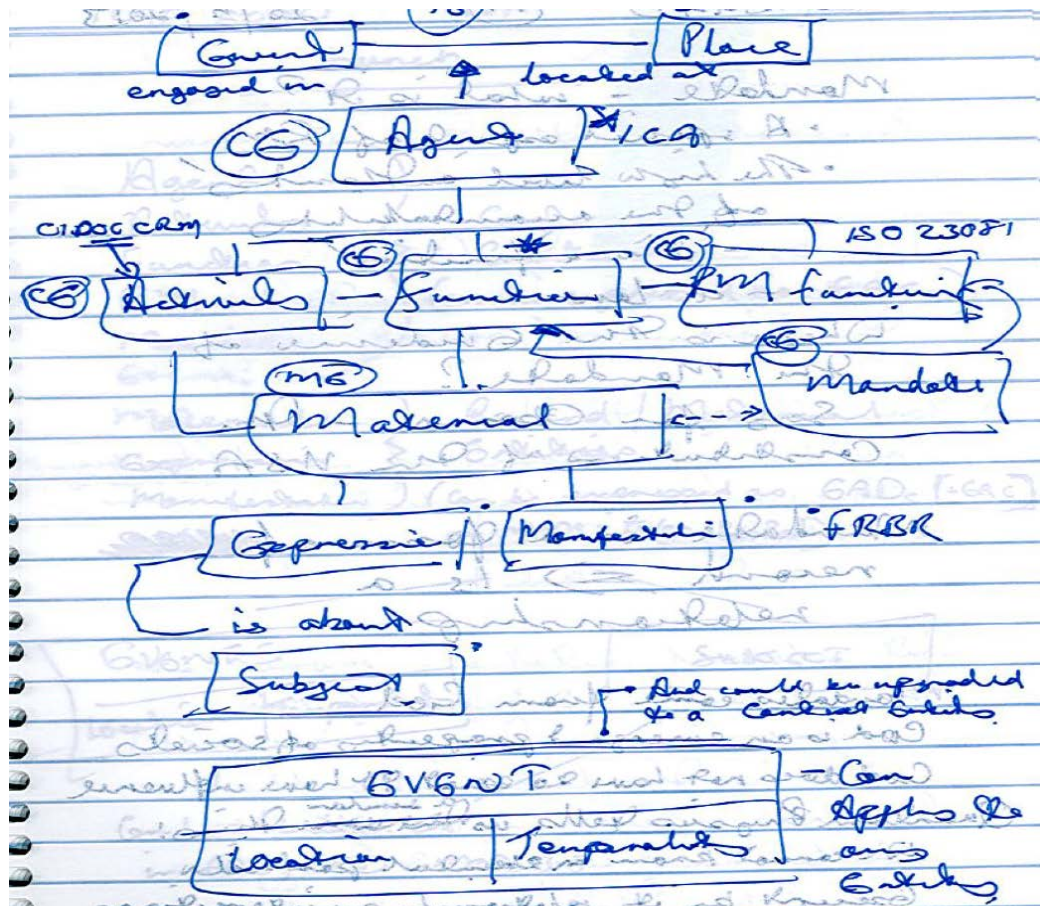
Figure from 20-11-2013 page 16: Another attempt at rethinking the Schematic of Slide #7. In this version CE = Context Entity and ME = Record or Material Entity. My thinking is inclined towards things being either Context Entities or Record Entities as these labels better suit the purpose or perspective of archives. Material entity may work better in the museum world though for me it still creates a conflict – a cognitive dissonance. The conclusion here is that the Event as the bridge to the Spatio-Temporal Fabric can apply to any entity and that indeed an Event could be 'upgraded' to a Context Entity if warranted.

Meanwhile:

Mandate – what is it?
  ⇨ A special aspect of records management?
  ⇨ The high level 'authority' of the accountability?
  ⇨ Is it a 'function'?
  ⇨ Is it a law?
  ⇨ Where is the evidence of a mandate? For example: For Obama as President of the USA and his records, is it the Constitution of the USA?

Mandate is a form of record, therefore mandate is perhaps a dependency between and Agent and a Record - a relationship or set of relationships that is conceived or reified as Context Entity.

Meditation:
  *God is an emergent property of society*
  *God does not have to exist to have influence*
  *Quantum physics tells us a similar thing*
  *We cannot know an elemental particle*
  *Except by its relationships and interactions*
  *Indeed, it may not exist except as a singularity, a focus for dependencies*

Song: (*Particle Man*, Verse 1, They Might be Giants, New York, 1990)
*Particle man, Particle man, doin all the things a particle can*
*What's he like, it's not important, Particle man*
*Is he a dot or is he a speck, when he's underwater does he get wet*
*Or does the water get him instead, Nobody knows, Particle Man*
See: http://en.wikipedia.org/wiki/Particle_Man


⇨ *\*\*\*\*\*\*\* Discussion as recorded by Claire \*\*\*\*\*\*\**

**Bogdan:** how data are authenticated? Time bond?

**Daniel:** what is a Mandate? How does this law exist? Where?

Activity: represents intentional actions of Agents that produce documentation and/or affect documentation

Function: special class of Activity

Descriptive elements of material but there are links to agents

Event can be: birth

Agent, Acts, Artefacts

Functions

Events

Acts

Activities

Doing something

Time relates to everything

**Daniel:** agents engaged in events, in activities, function is an action targeted to fulfill a mandate

We start with abstract notions at the top, then notion of evidence


\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*
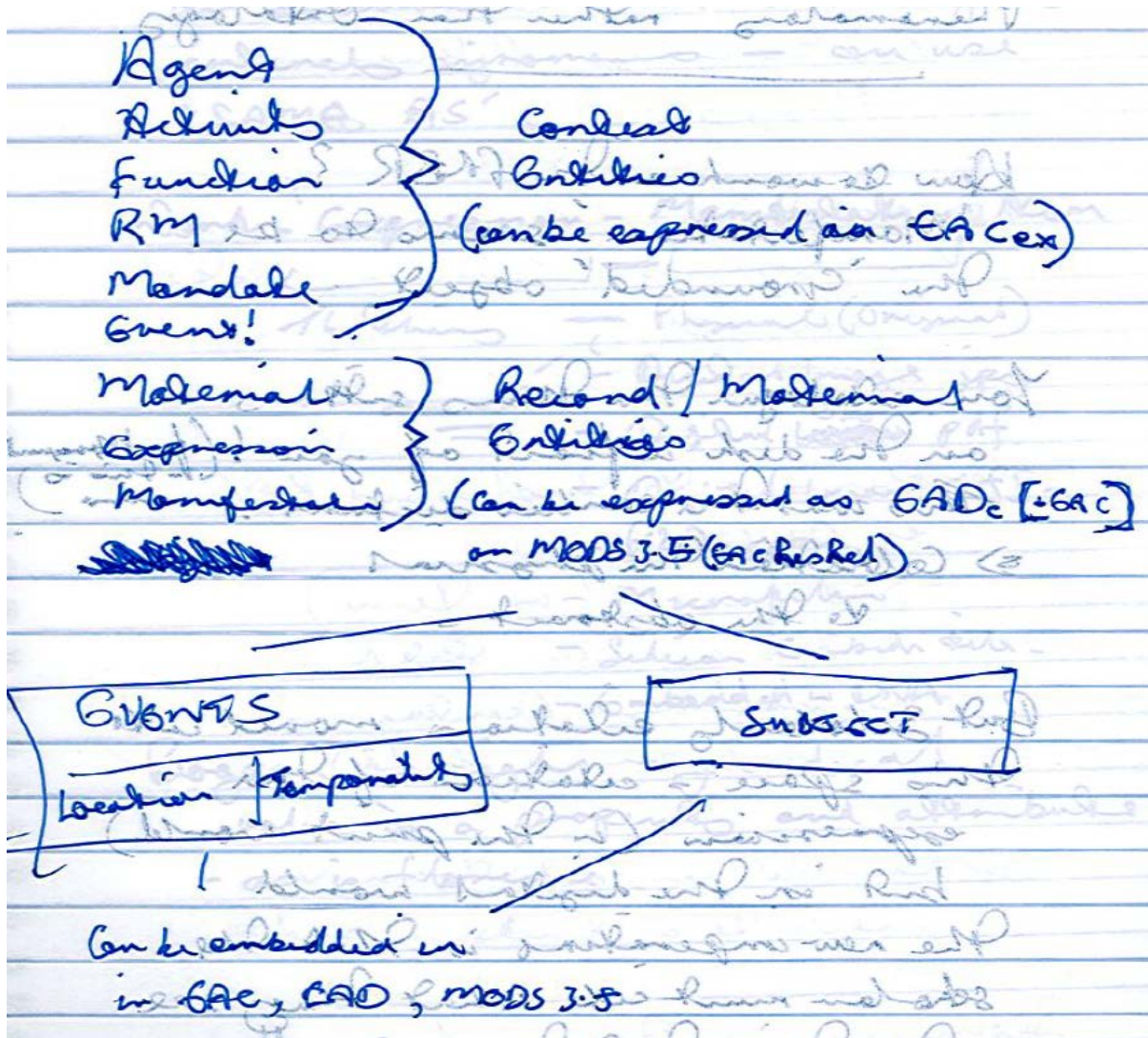
Figure from 20-11-2013 page 18: So in summary we have Context Entities which could be expressed in XML in an extended form of Encoded Archival Context (EACex), and Record / Material Entities which could be expressed in XML as Encoded Archival Description in a constrained form (EADc) [for archival records], or in MODS3.5 with an extension from EAC for resource relations (MODS3.5-EACResRels). All entities can be attached to the Spatio-Temporal Fabric through Events and linked into the Conceptual Fabric through subjects – and all this should be able to be embedded in EAC, EAD and MODS3.5 variants.

*End of Session 5*

*Lunch*

*Jaana's additional slides #2 to #4 and Gavan's notes: 2013-11-20 page 19-23*

**Daniel:** 'Phenomenology rather than Ontology'
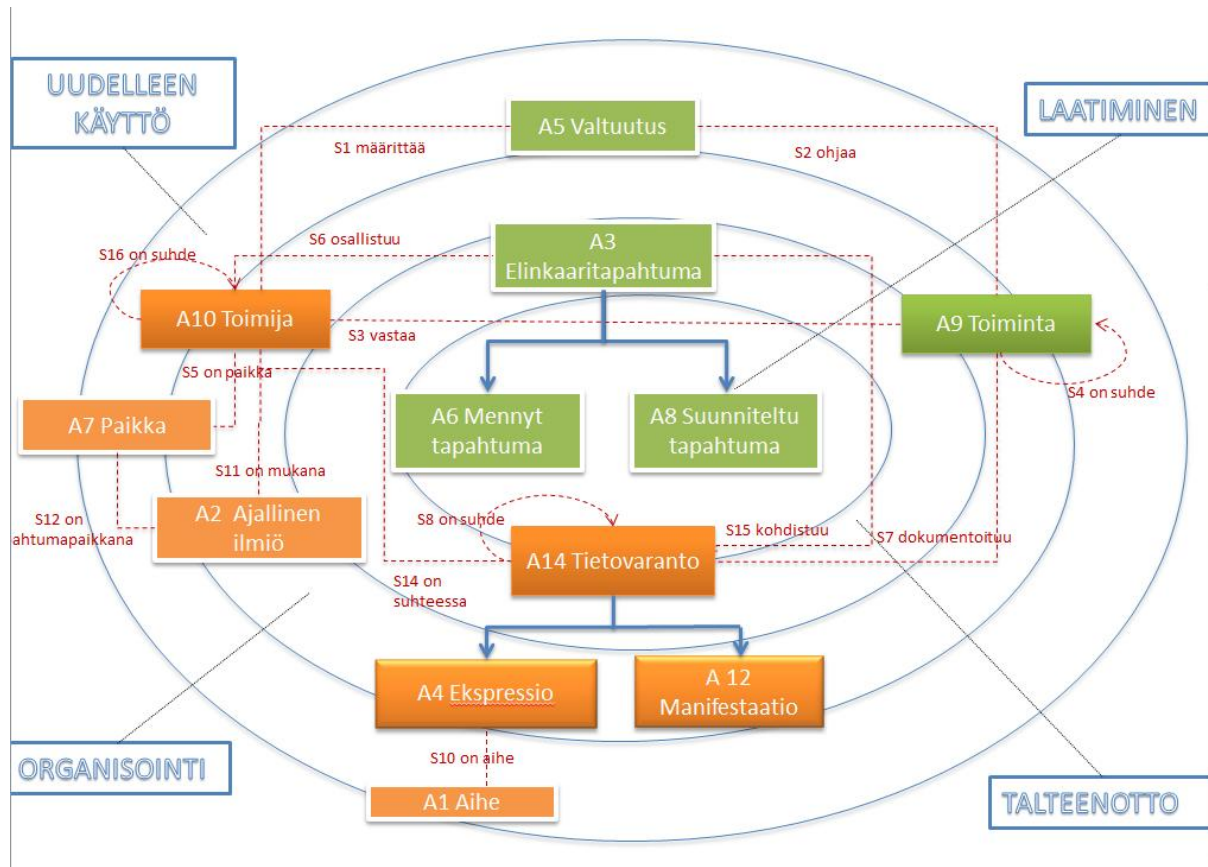


Additional Slide– FCM Overview #2

# FRBR conceptual model and archival description
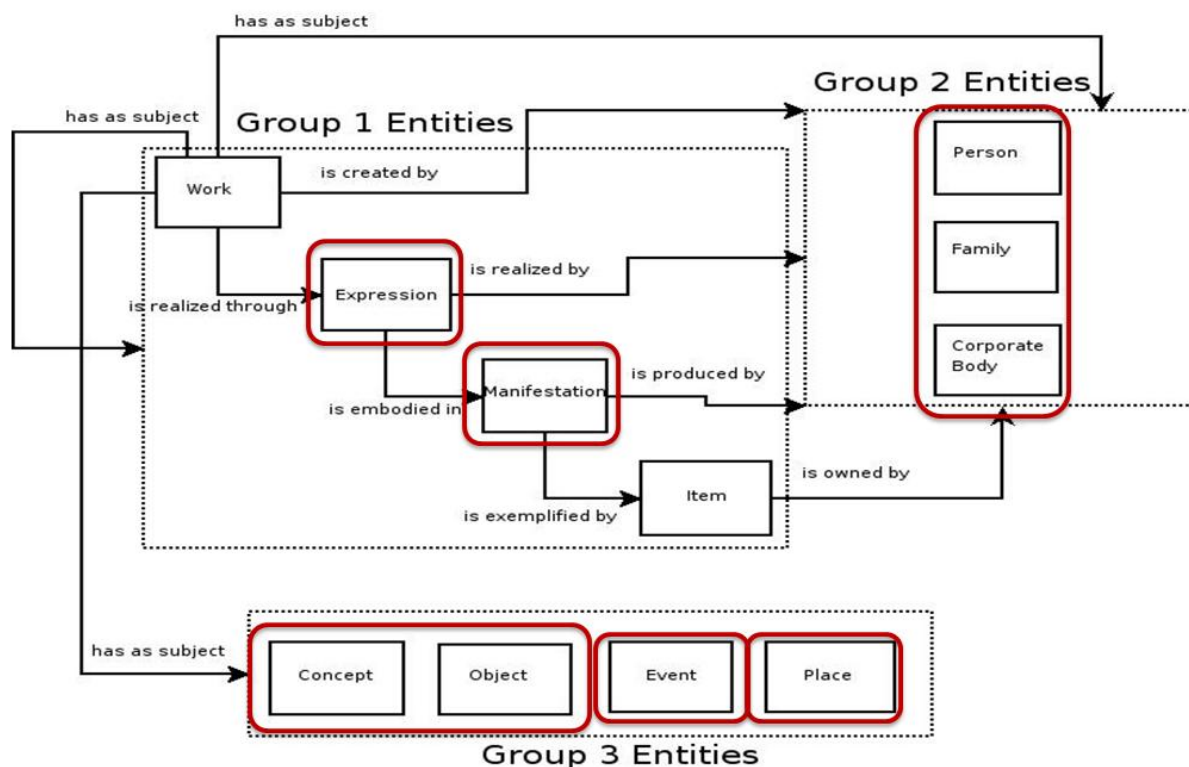


Additional Slide– FCM Overview #3

How to work with FRBRoo?
⇨ 'Manifestation' seems to be the 'grounded' object.
You catalogue the things sitting of the desk in front of you! (for management – this is science).
This was the earlier dictum.
⇨ Colocation the physical – to the abstract.
But scholarly citation moved into this space – citation of the expression (in the print world – as a socio-technical expedient) but in the digital world the new imperative is that the scholar MUST cite what they see – the thing that they actually use. (This is, in some senses, a problematic imperative).
There is value in the FRBRoo model for archivists – but is the language entirely synonymous?
Can we use 'Same As'?

Figure from 20-11-2013 page 20: Thinking about 'Work-Expression-Manifestation-Item' in relation to archives. Expression = the Thing whereas a Manifestation can take many forms from physical forms, digital forms, biological forms and hybrid forms.

Bogdan is right – juridical value is a property and an attribute – as is Florence.

AAHA – this slide documents the relationships between things:



The AHAA Conceptual Model Related to the Continuum Model, CIDOC CRM & FRBRoo

http://archives.govt.nz/advice/continuum-resource-kit/continuum-publications-html/s8-electronic-recordkeeping-metadata-stand          2013-11-18, v. 12
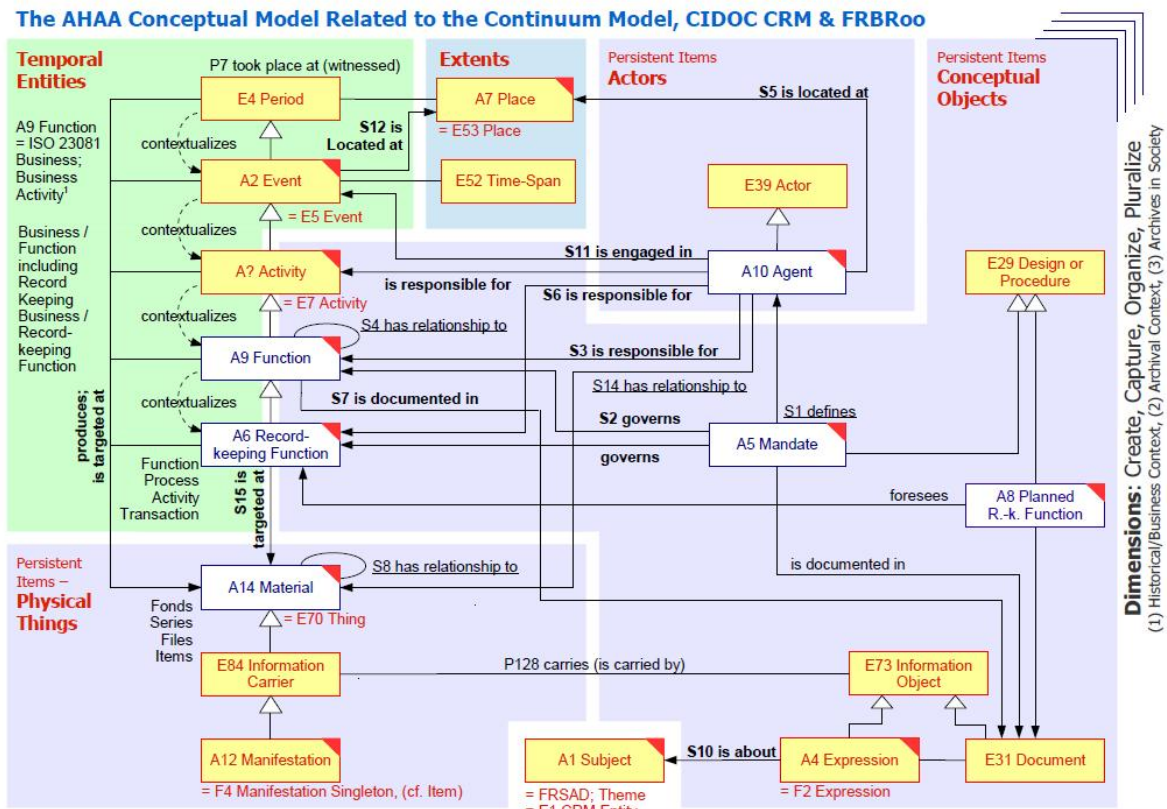
Aggregations – Series, Groups etc = material

Problems with triples and RDF, e.g. OWL
⇨ Sequence (especially in time) – as it assumes a simple state or statelessness
⇨ Hierarchy (containment and parent-child dependencies)
So, how do we get from the model to a finding aid?
Sequence and hierarchy are necessary requirements of archives.
⇨ Serialization
⇨ From which we could expose a subset as Linked Open Data RDF (LOD)

We want the primitives of the conceptual model – mapped out in the ontology – that get expressed in a (that is one or more) data model.

Hierarchy:
⇨ Is part of
⇨ Is a component of
⇨ Has part
⇨ Has component
Labels can be added as required.

We need to identify the archival unit – that group of things that should always travel together
⇨ The 'Archival Bond' (?)

**Jaana:** 'My batteries are running out'

Unit of Description – Part / Component – Is there a different term?
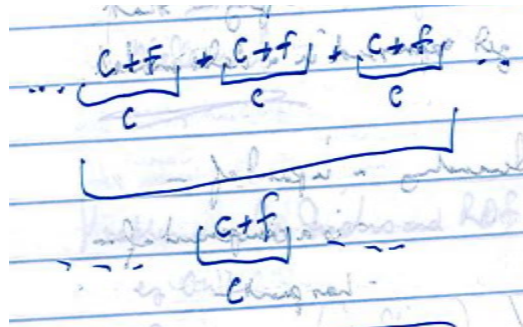


Figure from 20-11-2013 page 23: This was a rather poor attempt to explain to Bill Stockting the nested and recursive structure of stuff (as records) as it relates to units of description (UoD). C+F = Content plus Form which itself sits in a Context (C under the [____]) which can include a range of attributes and characteristics including physicality. However, the grouping of UoDs in a spatio-temporal manner (e.g. physical juxtaposition or chronological order or some other mechanism), creates a new UoD, which conceptual could be seen to have the same components, i.e UoD = [C+F] / Context. The implication here is that we should be able to use the same descriptive elements to describe any level of description or accumulation or collection or assemblage or fonds etc.

*\*\*\*\*\*\*\* Discussion as recorded by Claire \*\*\*\*\*\*\**
FRBR conceptual model and archival description
Distinction between a work, its expression, manifestation and items

- *Work* is a "distinct intellectual or artistic creation." For example, Beethoven's Ninth Symphony apart from all ways of expressing it is a work.
- *Expression* is "the specific intellectual or artistic form that a work takes each time it is 'realized." An expression of Beethoven's Ninth might be each draft of the musical score he writes down (not the paper itself, but the music thereby expressed).
- *Manifestation* is "the physical embodiment of an expression of a work. As an entity, manifestation represents all the physical objects that bear the same characteristics, in respect to both intellectual content and physical form". The performance the London Philharmonic made of the Ninth in 1996 is a manifestation.
- *Item* is "a single exemplar of a manifestation".

Notion of copies, microfilms

**Stefano:** archival documents are not only intellectual information but have also juridical value, so we should find a way of explaining these characteristics

The juridical value could be assigned at the level of manifestation

Material-Expression: represents Material as intellectual content (=documented Activity in an abstract sense) that is common to all Manifestations

Material-Manifestation: represents Material as a material entity (e.g. physical object) in which the Expression is manifested.

There is the abstract and the concrete side

**Florence:** How do you manage aggregations?

| Ontology | Conceptual model | Data model |
|---|---|---|
| RDF | | EAD4, EAC-CPF2? |
| Graph | | |
| Software | | |
| Hierarchy | | |
| Order hierarchy | | |

A finding aid is an example of representation

In electronic environment, you can use level 1, level 2, level 3, etc.

**Florence:** fonds as a subclass of collection?

Whole, parts of the whole and relationships

EAD: descriptive components from the whole to its specific parts

EAD: an intellectual description of archives

Stuff

=> Arranged

=> Intellectual => finding aid

Support possibility to generate different hierarchies

Finding aid: a view imposed by archivists but it is not necessarily the only one

We want to be able to support the possibility to rearrange, to have multiple entries

An ongoing work

**************************************************************

*End of Session 6*

*Afternoon Tea*

*Beatriz's Slides #1 to #25 and Gavan's notes: 2013-11-20 pages 23-26*

**The Spanish Conceptual Model for Archival Description (CMAD)**



Slide #1



Slide #2

Spain – CNEDA – Beatriz Franco

Real World – Conceptual World – World of Representation (NEDA) – Data Structure
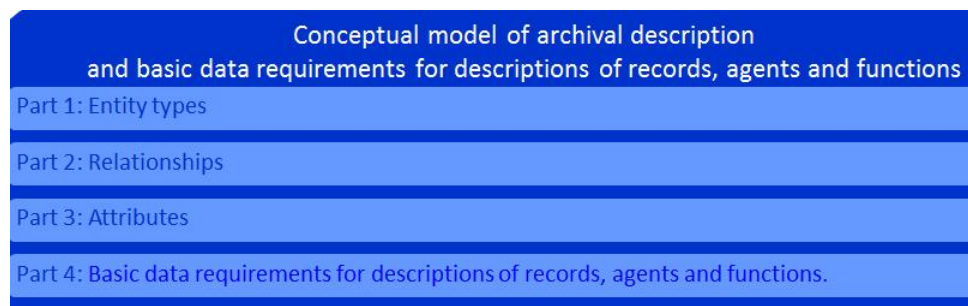


Slide #3
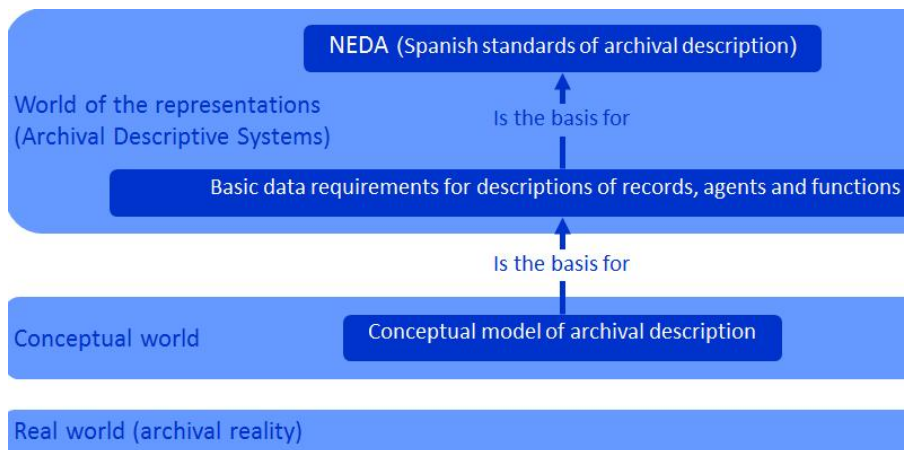
Slide #4

■ NEDA Project is primarily aimed at developing **data structure** and content standards for descriptions of records, agents and functions, which can be separately, but **interrelated** in archival descriptive systems.

■ **First activity** to be performed is preparing a document that includes:

➡ An explicit **conceptual model of archival description** where are identified the **entity tipes**, the **relationships** between entities, as well as the **attributes** of three entity types (records, agents and business) and the attributes of these relationships

➡ **Basic data requirements for descriptions of records, agents and functions** (according to that Conceptual Model). Constitute the basis for regulating the data structure and content of these representations and their relationships

Slide #5

■ **Current document of CNEDA (18-06-2012).**

**Conceptual model of archival description and basic data requirements for descriptions of records, agents and functions - Part 1: entity types - Part 2: Relationships.**

283 pages, 91 of text, the rest are examples....



Slide #6

CMAD (Conceptual Model for Archival Description) – Entity Types:
⇨  Relationships
⇨  Records, Agents, Functions
Part 1: Entity Types
Part 2: Relationships

■ The Conceptual Model identifies six main entity tipes: **records, agents, business, mandate, object or event, place.**

| | | |
|---|---|---|
| Documentos de archivo | Agente | Función y sus divisiones |
| Norma | Concepto, objeto o acontecimiento | Lugar |

■ Entity types are classes or "objects" of archival reality (real world) perceived as distint categories (conceptual world), which may be reflected in archival descriptive systems (world of representations) in different ways, and may even be represented in them by separate descriptions but interrelated.

Slide #7

Records, Agents, Business Mandate, Object or Event, Place.
Entity types are classes or "objects of archival reality" – WAS:
⇨  Records – records and archives
⇨  Agents – Corporate Bodies, Persons, Families (CPF) including Custodians (a relationship / dependency)
⇨  Business – Functions
⇨  Mandate - ?
⇨  Concept – Object, Event, Abstract notions, ideas material
⇨  Place – locations (information about place) that are embedded in records in some way.

■ **Records**: refers to the object of records and archives management. (Refers both to "records" and to "archives")

■ **Agent**: applies to the actors (corporate bodies, families and persons) responsible or involved in authorship or contribution to genesis, creation, managament, etc. of records

■ **Business**: refers to the functions, sub-functions, activities/ processes and transactions performed by agents, which are documented in records

■ **Mandate**: applies to the regulations which govern the agents, the business the perform or the records.

■ **Concept, object or event**: refers to abstract notions or ideas, material things, actions or ocurrences that are subject of records

■ **Place**: location that are subject of records

From Slides #8 to #13

You use what you need from the entity types to achieve your purpose or objectives.
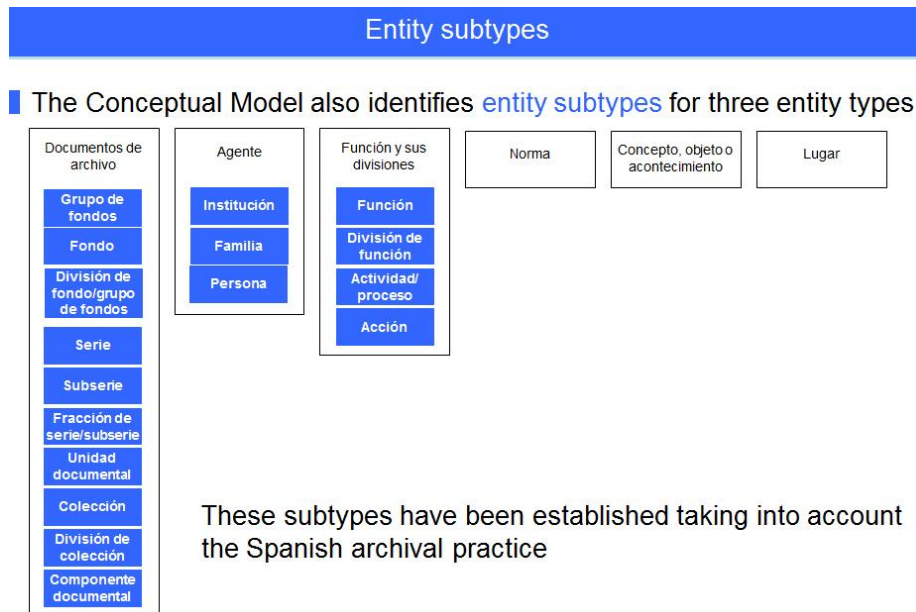


Slide #14

Then – there are sub-types that reflect Spanish archival practice. E.g:
- ⇨ Group of Fonds, Fonds, Division of Fonds, Series, Sub-Series, Fraccione de Serie (?), Sub-Series, Documental Unit[1]
- ⇨ Artificial aggregation - Collection, Division of Collection,
- ⇨ Comparente documental (?)[2]

[1] Documentary Unit – Unit of Description
[2] An element that is part of a Documentary Unit



Slide #15

■ **Fonds**: this entity subtype refers mainly to an aggregation of records created by an agent in the exercise of his functions (creator of fonds).

Examples:

```
┌─────────────────────────────────────────────────────┐
│   Monasterio de San Juan de la Peña de Botaya (Huesca) │
│           (Benedictinos) (Siglos XI-XIX)              │
└─────────────────────────────────────────────────────┘
```

```
┌─────────────────────────────────────────────────────────┐
│   Condes de Priego (Siglos XIII-XIX) (Grupo de fondos)   │
└─────────────────────────────────────────────────────────┘
```

integra / está integrada en

```
┌─────────────────────────────────────────────────────┐
│    Condado de Priego (Siglos XIII-XIX) (Fondo)        │
└─────────────────────────────────────────────────────┘
┌─────────────────────────────────────────────────────┐
│    Familia Mendoza (Siglos XIV-XVI) (Fondo)           │
└─────────────────────────────────────────────────────┘
┌─────────────────────────────────────────────────────┐
│    Ducado de Canzano (Siglos XVII-XIX) (Fondo)        │
└─────────────────────────────────────────────────────┘
┌─────────────────────────────────────────────────────┐
│    Señorío de la Ventosa (Siglos XVI-XVII) (Fondo)    │
└─────────────────────────────────────────────────────┘
```
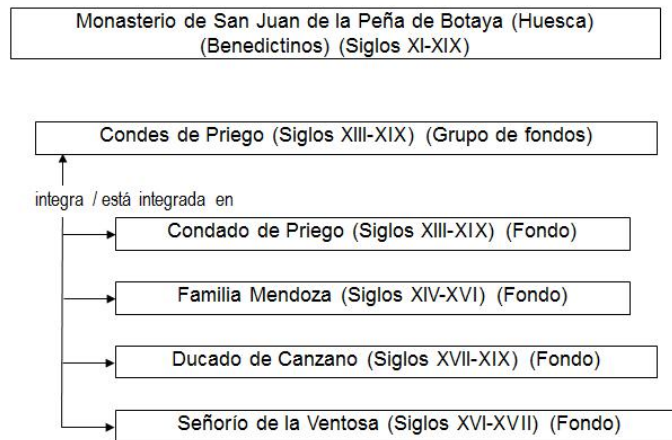
Slide #16

■ **Sub-fonds/Sub-group of fonds**: an aggregation of records of a fonds or group of fonds, grouped by their correspondence with administrative subdivisions of the creating agent (corporate body) or according to geographical, chronological of functional criteria.

Examples:

```
┌─────────────────────────────────────────────────────┐
│    Consejo de Italia (Siglos XVI-XVIII) (Fondo)       │
└─────────────────────────────────────────────────────┘
```

integra / está integrada en

```
┌─────────────────────────────────────────────────────┐
│    Secretaría de Nápoles (División de fondo)          │
└─────────────────────────────────────────────────────┘
┌─────────────────────────────────────────────────────┐
│    Secretaría de Sicilia (División de fondo)          │
└─────────────────────────────────────────────────────┘
┌─────────────────────────────────────────────────────┐
│    Secretaría de Milán (División de fondo)            │
└─────────────────────────────────────────────────────┘
```
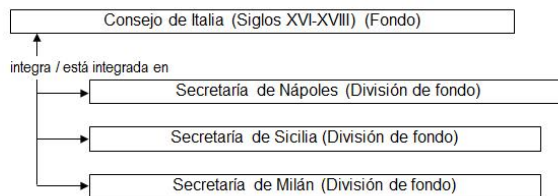
Slide #17

■ **Series**: aggregation of records created by one or more agents which are evidence of one or more activities or processes.

Example:

```
┌─────────────────────────────────────────────────────┐
│    Consejo de Italia (Siglos XVI-XVIII) (Fondo)       │
└─────────────────────────────────────────────────────┘
```

integra / está integrada en

```
┌─────────────────────────────────────────────────────┐
│    Secretaría de Sicilia (División de fondo)          │
└─────────────────────────────────────────────────────┘
```

integra / está integrada en

```
┌─────────────────────────────────────────────────────┐
│    Consultas (Serie)                                  │
└─────────────────────────────────────────────────────┘
┌─────────────────────────────────────────────────────┐
│    Correspondencia (Serie)                            │
└─────────────────────────────────────────────────────┘
┌─────────────────────────────────────────────────────┐
│    Registros de privilegios (Serie)                   │
└─────────────────────────────────────────────────────┘
```
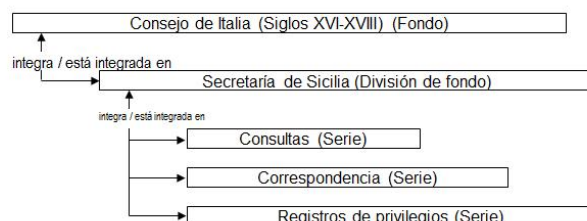
Slide #18

■ **Sub-series:** an aggregation of records of a series, grouped according to clasification criteria.

Example:

| Consejo de Italia (Siglos XVI-XVIII) (Fondo) |

integra / está integrada en

| Secretaría de Sicilia (División de fondo) |

integra / está integrada en

| Registros de privilegios (Serie) |

integra / está integrada en

| Registros de privilegios de Felipe II (Subserie) |
| Registros de privilegios de Felipe III (Subserie) |
| Registros de privilegios de Felipe IV (Subserie) |

Slide #19

■ **Documentary unit:** refers mainly to an ítem (or single documentary unit) or to an aggregation of several interrelated ítems forming a compound documentary unit. Example:

| Universidad Pública de Navarra (Siglos XX-XXI) (Fondo) |

integra / está integrada en

| Gestión de la investigación (División de fondo) |

integra / está integrada en

| Organización de la investigación (División de fondo) |

integra / está integrada en

| Expedientes de personal investigador en formación (Serie) |

integra / está integrada en

| Expedientes de personal investigador en formación: becarios (Subserie) |

integra / está integrada en

| Expediente del becario José García Goñi (2001-2006) (Unidad documental compuesta) |
| Expediente de la becaria María Etxeberria Roncal (2011-) (Unidad documental compuest) |

Slide #20

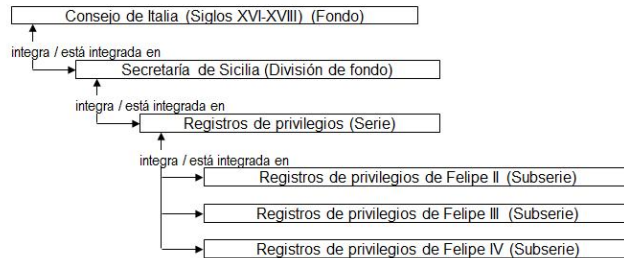■ **Collection:** refers mainly to an artificial aggregation of records and/or documentary components, assembled for conservation reasons, for their special interest or any other subjective criteria.

■ Could be in the top level of the hierarchy of records or be part of a group of fonds or a fond. Examples:

| Carteles (Siglos XIX-XX) |

| Cartas griegas (Siglos XII-XIII) |

| Mapas y planos (Siglos XV-XX) |

| Real Audiencia y Chancillería de Valladolid (Siglos XIV-XIX) (Fondo) |

integra / está integrada en

| Planos y dibujos (Siglos XVI-XIX) (Colección) |
| Pergaminos (Siglos VIII-XIX) (Colección) |
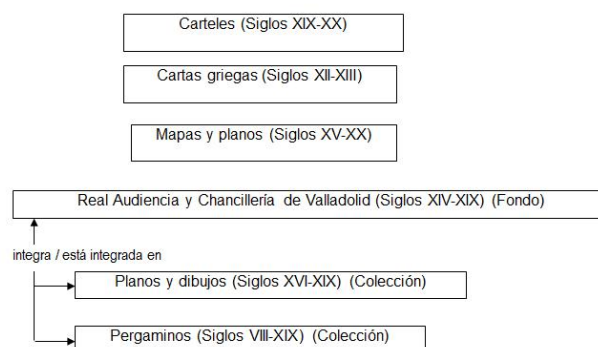
Slide #21

■ **Sub-collection**: an aggregation of records and/or documentary components of a collection, grouped according to any criteria. Example:
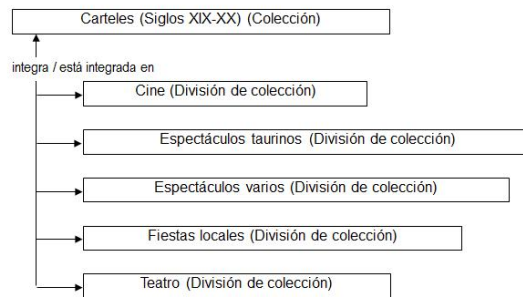


Slide #22

■ **Documentary component:** refers mainly an element (not an ítem) of a documentary unit, which may be or not physically separated for conservation reasons or other causes (for example, a pendent seal, a signature, the inserted text of another ítem, etc). Example:
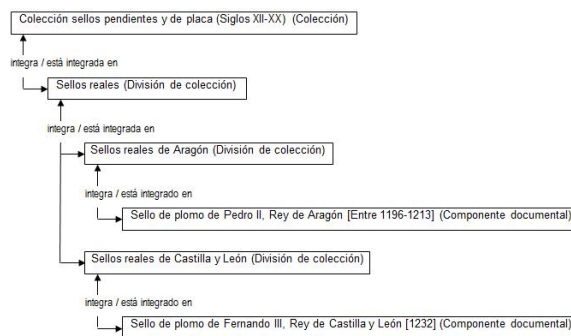


Slide #23

**Daniel:** Everything human has a provenance
⇨ We need to be explicit.

■ There are three entity subtypes fo the agent entity type: **corporate body, family** and **person**. Examples:



Slide #24

Agents – Corporate Bodies, Families, Persons

■ There are four entity subtypes for the business entity type: **function, sub-function, activity/process and transaction.** Examples:

Gestión de la investigación (Función)

*integra / está integrada en*

Organización de la investigación (División de función)

*integra / está integrada en*

Gestión de datos de grupos de investigación en marcha (Actividad)

*integra / está integrada en*
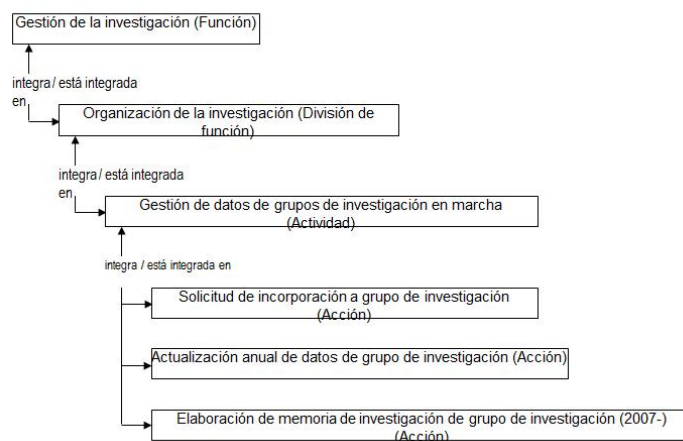
Solicitud de incorporación a grupo de investigación (Acción)

Actualización anual de datos de grupo de investigación (Acción)

Elaboración de memoria de investigación de grupo de investigación (2007-) (Acción)

Slide #25

Business – functions, sub-functions, activity/process, transaction

*\*\*\*\*\*\*\* Discussion as recorded by Claire - Slides #1 to #25 \*\*\*\*\*\*\**
**The Spanish Conceptual Model**

Real world (archival reality) ⇔ Conceptual world
World of representations (archival descriptive systems)
Primary aims: develop data structure and content standards for descriptions of records, agents and functions which can be separately but interrelated in archival descriptive systems
First activity: develop a document including
- An explicit conceptual model
- Basic data requirements for descriptions
283 pages, 91 pages of examples
Entity Types: records; agent; business; mandate; concept, object or event; place
Entity types are classes or objects of archival reality (real world) perceived as distinct categories
The first entity type (records) refers to the object of records and archives management, which is generally the center of attention of the Archival science.
Agent: The second entity type (agent) applies to the actors (corporate bodies, families and persons) responsible or involved in authorship or contribution to genesis, creation, management, etc. of records. This class includes custodians
The third entity type (business) refers to the functions, sub-functions, activities/processes and transactions performed by agents, which are documented in records.
The fourth entity type (mandate) applies to the regulations which govern the agents, the business they perform or the records.
The fifth entity type (concept, object or event) refers to abstract notions or ideas, material things, actions or occurrences that are subject of records.
The sixth entity type (place) applies to locations that are subject of records.

Entity subtypes for records, agents and functions taking into account the Spanish archival practice.

For the records entity type:
- Group of fonds
- Fonds
- Sub-fonds/Sub-group of fonds
- Series
- Sub-series
- Fraction of series/sub-series
- Documentary unit
- Collection: artificial aggregation of records
- Sub-collection
- Documentary component

Group of fonds, Fonds, Sub-fonds, Series and Collection could be the highest level of a system of description

Function, sub-function, activity/process and transaction

\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*

*Beatriz's Slides #26 to #35 and Gavan's notes: 2013-11-20 pages 26-27*



Relationships

The relationships are **associations of any kind between entities (of the six indicated types)** of archival reality (real world), **perceived as links of different type** (conceptual world), which may be **reflected in archival descriptive systems** (world of the representations) in different ways, and may even constitute in them electronic links between electronic descriptions.

Each relationship type identified in the Conceptual model has a name and contains two expresions. These expressions are intended only to explain the relationship type from both sides. The cardinality of the relationship is indicated by an arrow:

One-to-one relationship type
one-to-many relationship type
many-to-many relationship type

Slide #26

Relationships – associations of any type between entities
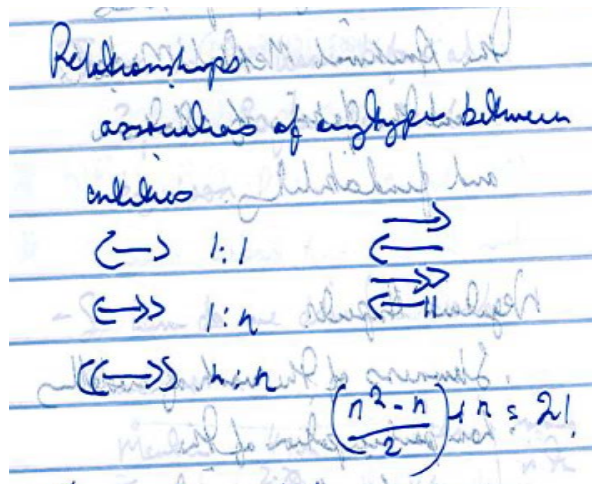
Figure from 20-11-2013 page 26: Symbolic representation of the three to classes of relationship (Cardinalities) that can underpin a dependency connection between entities. The formula in the bottom right-hand corner does not make sense as written [21 should have been 27].



Slide #27

They have a n=6 model which means that there are a possible 27 rule sets or dependency connections but they have selected 10 as being meaningful and the rest are ignored.

However, for various reasons, in this Conceptual model is contemplated a lower number of relationships types
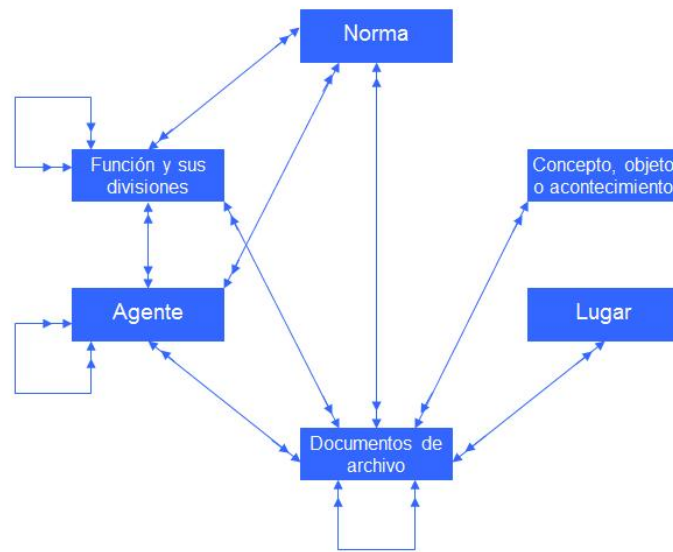


Slide #28

Concretely, there are ten relationship types from different perspectives or viewpoints that are considered main relationships types because they have been established from the fundamental perspective of the:

- **Context** of records and their evidential value

- **Content** of record and their informational value

- **Structure** of records

Slide #29

⇨ Context
⇨ Content
⇨ Structure

But how many relationship types (this number was not mentioned) but they have documented all possible relationship types. [See presentation for details of relationships].

| Perspectiva | Tipo de relación |
|---|---|
| Context of records and their evidential value | "Authorship or contribution to genesis, creation, management, etc" relationship type (many to many) (records ←→ agent) |
| | "Carrying out" relationship type (many-to-many) Agent ←→ business |
| | "Evidence" relationship type (funtional provenance) (many-to-many) records ←→ business |
| | "Regulation" relationship type (many-to-many) mandate←→ agent, business or records |
| Structure of records | "Hierarchical whole/part" relationship type (one-to-many) (records ←→ records) |
| Content of records and their informational value | "Subject" relationship type (many-to-many) Records ←→ agent, business, records, mandate, concept, object or event, place or records) |
| Association between records | "Association" relationship type (many-to-many) Records ←→ records |
| Link between agents | "Link" relationship type (many-to-many) Agent ←→agent |
| Structure of the business entities | "Hierarchical whole/part" relationship type (one-to-many) (business←→ business) |
| Association between business entities | Association" relationship type (many-to-many) business ←→ business |

**Table of relationship types identified in the conceptual model from different perspectives**

Slide #30

The perspective of the context of records and their evidential value: relationship types
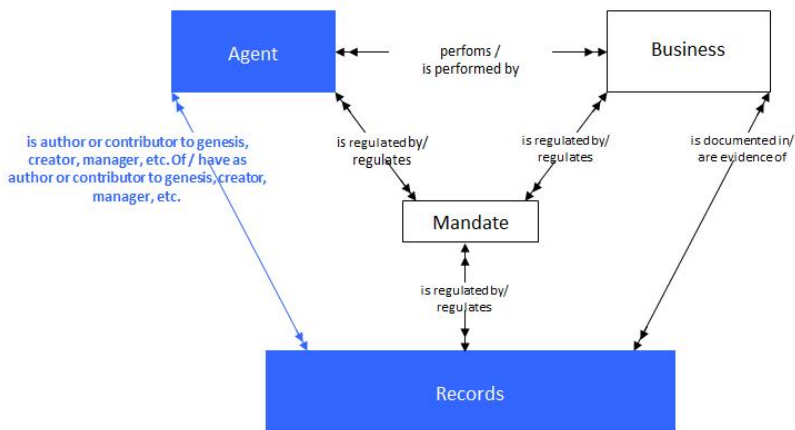


Logically, it is possible to consider more specific relationship types based on more concrete perspectives or viewpoints.

Among them the "creation" relationship type is considered fundamental in the Conceptual model.

Slide #31

The perspective of the structure of records: "hierarchical whole/part" relationship type
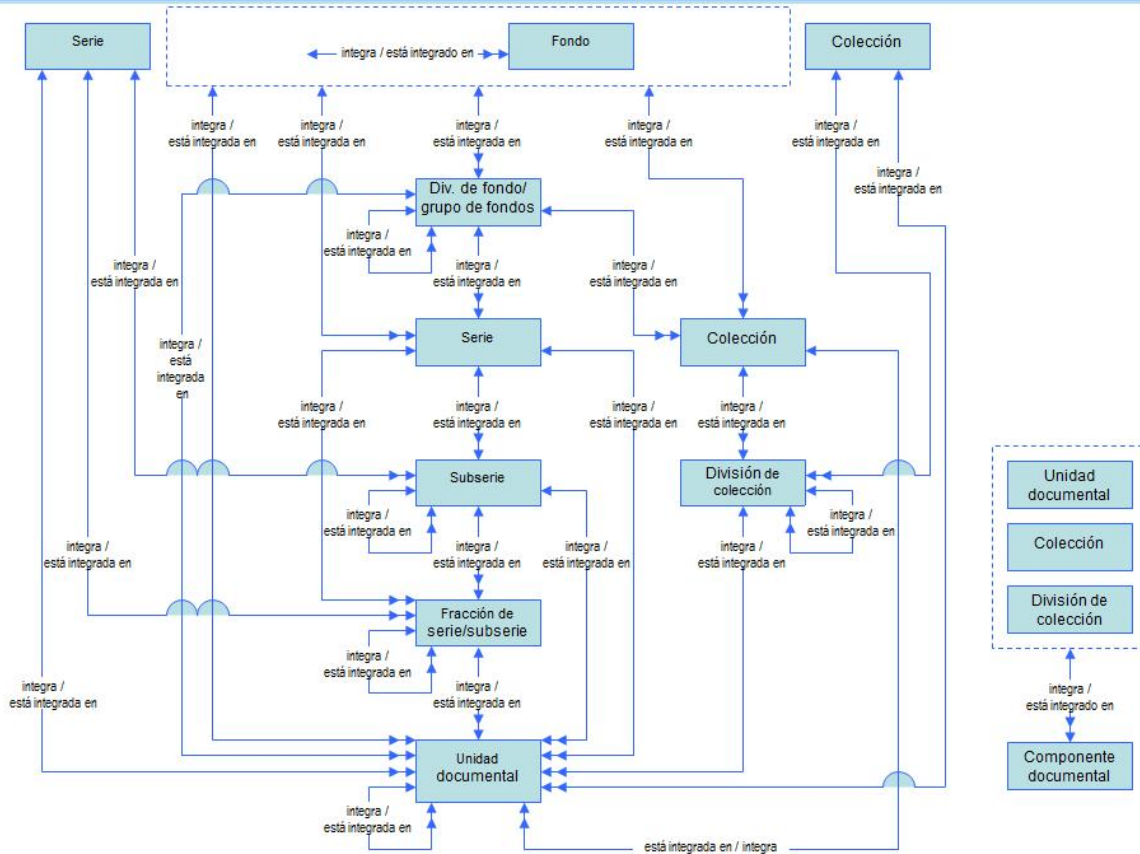
Slide #32



The perspective of the content of records and their informational value: "subject" relationship type
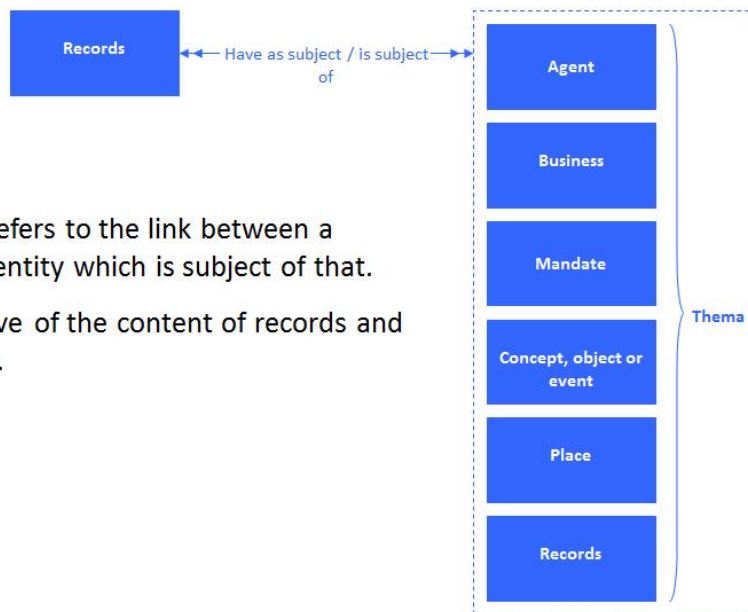
This relationship type refers to the link between a records entity and the entity which is subject of that.

Fundamental perspective of the content of records and their information value.

Slide #33

Groupings, collections (assemblages)
- ⇨ It is not just about management;
- ⇨ It is for users – maybe;
- ⇨ It is a way of expressing the Archival Meta-Model; and
- ⇨ It is the fabric (essence) of citation and findability.

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**Conclusions**

■ **Negative aspects**:
- ■ **Slowness** of the work of modeling
- ■ **Low participation** of the archival community

■ **Benefits and advantages:**
- ■ The Conceptual Model will enable more robust development of NEDA (data structure and content standards for descriptions of records, agents and functions)
- ■ Other benefits:
  - ■ Participate in the international effort to review the four ICA descriptive standards and to deeelop an international conceptual model for archival description.

  - ■ Develop project that contribute to the growth of the Semantic Web (Linked Data, RDF)

  - ■ Protect more solidy the conceptual basis of archival description with respect to the description in other domains (libraries, museums, etc.)

Slide #34

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Negative aspects of the Spanish experience:
- ⇨ Slowness of the work of modelling
- ⇨ Low participation of the archival community

http://www.mcu.es/archivos/docs/MC/CNEDA/ReportC
NEDA_11_07_2012.pdf

Thanks for your attention
beatriz.franco@mecd.es

Slide #35

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Therefore we get back to the issues of 'Path Dependency' and the tendency towards 'Reversion to Type'

Using RDF 'Shim' for Linked Data benefits
- • 'Protect more solidly the conceptual basis of archival descriptions' [Not sure exactly what this means but it sounds significant.]

*\*\*\*\*\*\* Discussion as recorded by Claire - Slides #26 to #35 \*\*\*\*\*\*\**
**The Spanish Conceptual Model (continued)**

Relationships: associations of any kind between entities of archival reality, perceived as links of different type (conceptual world) which may be reflected in archival descriptive systems (world of the representations)

In theory, all relationships are possible, but concretely, only 10
- Context of records and their evidential value
- Content of records and their information value
- Structure of records and business entities

Group of fonds, group of collections
Entity above the fonds

Negative aspects
- Slowness of the work of modeling
- Low participation of the archival community

Benefits and advantages
- Will enable more robust development of NEDA
- Participate in the international effort to review the 4 ICA standards
- Develop project that contribute to the growth of the Semantic Web
- Protect more solidly the conceptual basis of archival description with
the respect to the description in other domains

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*Gavan's notes: 2013-11-20 page 28*

Housekeeping:
⇨ Start tomorrow morning with a presentation from Gavan with a focus on the experiances from the Find and Connect Project.
⇨ Martin has to leave by 4pm, Jaana has to leave before 3pm and Bogdan has to leave by Noon
⇨ Claire, Padre and Vitor are at PCOM in the morning

So tomorrow we will have a short presentation from Gavan, given that the Finnish and Spanish models were drawn from the Australian and New Zealand models Gavan will present a specific instance / implementation, and then we will work on the workplan and the division of tasks.

'Daniel confesses to not knowing it all'

*End of Session 7*

*Adjourned for Beer and Dinner*

*Gavan's notes: 2013-11-21 page 1-9*

The following figure was use as the basis for Gavan's presentation on how the Australian (and New Zealand) conceptual model underpinned the work of the Find and Connect Project – a public knowledge resource for 'Forgotten Australians', Former Child Migrants and anyone interested in the history of child welfare in Australia, or language for archivists, a national finding aid of the highly distributed and mostly poorly documented and managed records for a marginalized sector of the Australian community.
See: http://www.findandconnect.gov.au/

A key point in the introduction to the talk was that the Australian conceptual model has always been part of my archival thinking; it is what I grew up with and have always taken as a sensible starting point for thinking about archival informatics and systems. It was the approach that underpinned the work of the Australian Science Archives Project, established in 1985 in the Department of History and Philosophy of Science at the University of Melbourne, and its successors which includes the current research centre that I head (the eScholarship Research Centre). As a post-custodial archivist seeking to provide public information services to support research my interest has been primarily on the things that connect sets of records (context) rather than just on the description of the records *per se*.

Our underlying conceptual model divides the world into Context Entities (C) [Agents], Record Entities (R) [Materials held as a record] and Dependency Entities (D) [the relationships between things especially C and R]. For our purposes we include publications in our world of records (they are certainly a form of record) so in terms of records we make the distinction between Publications and Archival Records (note these are not mutually exclusive as a publication can form part of an Archival Unit and an Archival Unit can be published.) We document them in our Public Knowledge services according to the role they play – and our documentation processes are a form of citation because as a rule we are not the custodian or manager of the materials.
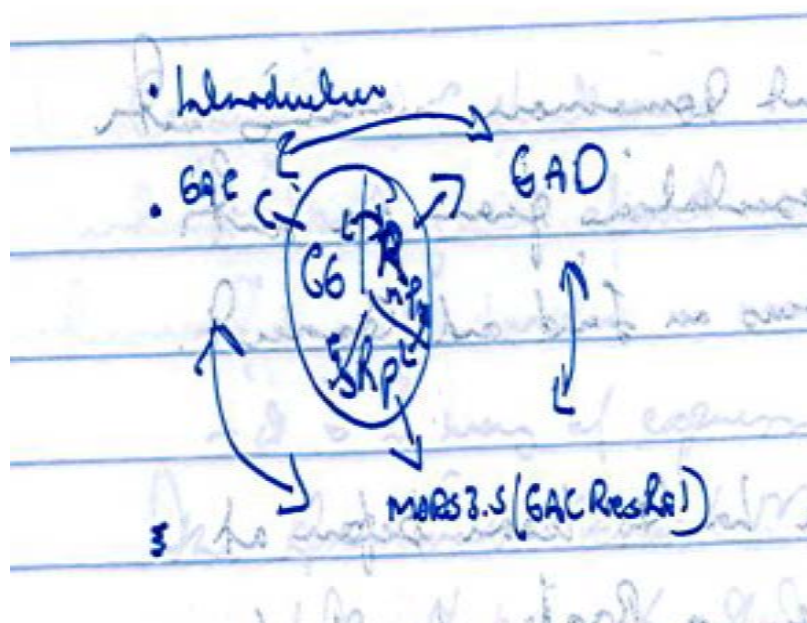
Figure from 21-11-2013 page 1: This schematic examines Context entities (CE) and Record entities (R) where R is divided into Records – as archives ($R_{nP}$) and Records – as published items ($R_P$). For the purposes of communicating and sharing this data it is exported in XML form: CE to EAC; $R_{nP}$ to EAD and; $R_P$ to MODS3.5 (with the EAC Resource Relations extension). As of December 2013 we have an API and associated services that utilize the EAC XML but plan to have APIs that utilize all XML outputs by mid-2014. We are also in the process of rebuilding our underlying data management and curation systems so that they are web services compliant.

*\*\*\*\*\*\* Discussion as recorded by Claire \*\*\*\*\*\*\**
Claire was at an ICA PCOM meeting during this Session.


\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*

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*Agenda item 8 - Plan of work; work groups; work assignments; deadlines*

*Gavan's notes: 2013-11-21 page 1-9*

Timeline and Plan of Work for our Project
    ⇨   What Daniel describes as a 'plausible fiction' or perhaps a thought experiment

2012-2013 – completed
    ⇨   Get organized
    ⇨   Publish introductory article
    ⇨   Face-to-Face meeting 2013

2013-2014 - Follow-up on this meeting
    ⇨   ; Gavan's notes to be transcribed by 31 January 2014 (?) [WP1 – Work Package 1]
    ⇨   1-2 pager on Provenance – Bogdan to lead [WP2 – Work Package 2]

2014-2105 – this still remains vague

2015-2016 – Official release of outputs and products at ICA Congress Seoul, South Korea

**Jaana**: Do we have a policy for distribution? Especially Gavan's notes.
    ⇨   Not dirty first drafts – but when we agree, documents then can go broadly public

The Work Packages:
**WP1** – Notes from this meeting November 2013
    ⇨   To be completed by mid-January 2014
    ⇨   **Team:** Gavan (Team leader), Claire, Alice
**WP2** – Principles paper – Provenance, Respects, Archival bond
    ⇨   A 1-2 page statement of the reality of accepted archival principles that are hopefully not seen as problematic
    ⇨   We can then subsume them in 'Records in Context' [the working title that Daniel proposed to describe the work of this group]
    ⇨   We need to be very careful of the language we use (for example: avoid 'life' so use 'existence'; perhaps avoid 'event' but I am not sure what replaces it yet, etc)
    ⇨   To be completed by end of January 2014
    ⇨   **Team**: Bogdan (Team leader), Stefano (Claire ?)
**WP3** – Ontology – OWL – Protégé

⇨ Our OWL model can reference CIDOC CRM but it must be a version that represents the archival perspective.
⇨ The team is expected to have done the OWL tutorials by January 2014.
⇨ First Deadline:
⇨ **Team:** Daniel (Team Leader), Salvatore, Florence with Gavan as a primary witness and sense checker

WP4 – Conceptual Model – UML
⇨ Under the working title: *Records in Context*
⇨ To be drawn from the Finnish Model, the Spanish Model and the Australian and new Zealand Model
⇨ Should also consider UK project - LOCAH Creating Archival Linked Data since 2010 (Pete Johnson – see: http://archiveshub.ac.uk/locah/ )
⇨ First goal is to find the major overlaps: Agents, Records [Relations]
⇨ First Deadline:
⇨ **Team:** Bill (Team Leader) Jaana, Beatriz, Adrian with Martin as a primary witness and sense checker
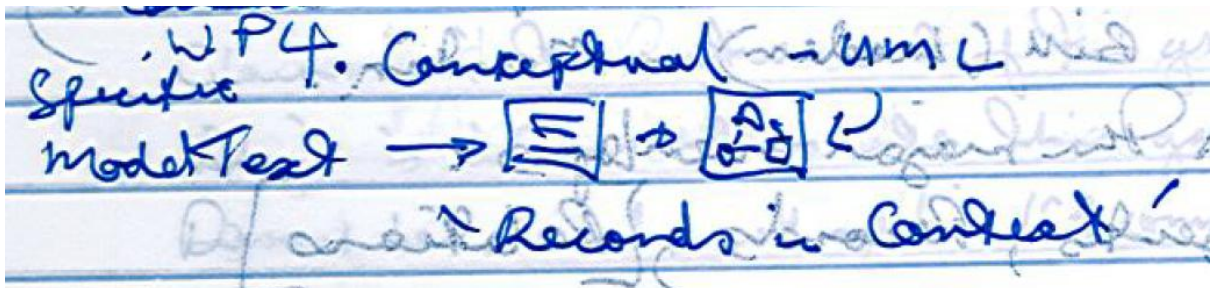


Figure from 21-11-2013 page 2: The Conceptual Model "Records in Context" as narrative text and in diagrammatic form as marked up in UML.

Consideration:
⇨ What something might be is determined by Dependencies and Contingencies, so how far can we go in determining what our classes are so that we do not preference any particular Dependency of Contingency. Or is this not an issue as long as we have consensus and are explicit.

Also, what do we do with Mandate (this seem to weigh heavily on Daniel's mind), and likewise Function [Gavan: Demote from the top level – is it just another type of context entity?]

We need leaders of each group! To drive the work.
Everyone has on obligation to vet everything that goes on in EGAD.

Interface with ICA and Develop a Communication Plan
⇨ This will become an important work package in later years
⇨ Vitor is our official representative on PCOM
⇨ Daniel already has in place his ICA communication channels

To note: Claire, due to her new work responsibilities is in transition out of EGAD and Alice is in transition into the EGAD to take her place.

**Daniel:** Bogdan is a real character – and that is a compliment!

Our overall goal for 2014 is that we something to release or present at the ICA Annual conference in Girona in October (either before or soon after this meeting).
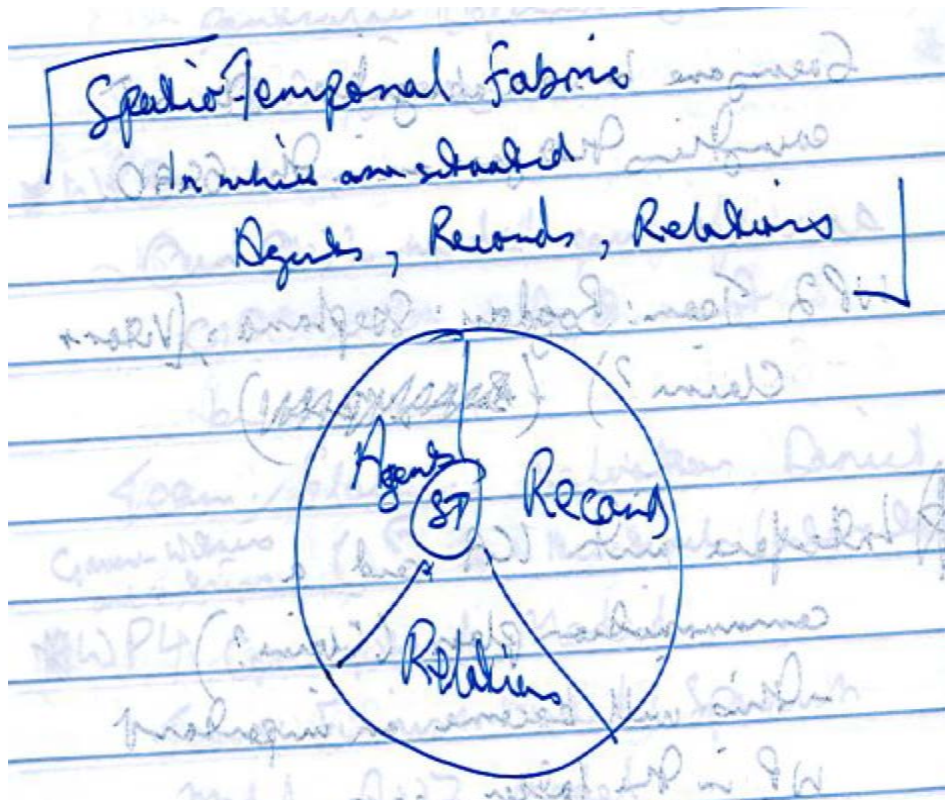


Figure from 21-11-2013 page 5: An interlude where I considered the idea of a Spatio-Temporal Fabric (ST) in which are situated Agents-Records-Relations. See later attempts at representing this diagrammatically.

Further thoughts on Work package 4 (WP4)

**WP4#1** – Comparison – what is common and what is different?
- ⇨ What goes up? What goes down? What stays the same?
- ⇨ This will be an iterative process
- ⇨ Deadline: 1 March 2014 – for Review
- ⇨ Leader: Bill

**WP4#2** – Reconciliation – the need to find a consensus
- ⇨ everyone needs to be comfortable, if not necessarily happy – everyone has to accept that 'systems' and 'practices' be able to evolve in a resilient fashion that respects the past. So what we are creating is an environment that enables and influences evolution.
- ⇨ Deadline: 1 June 2014 – for Review
- ⇨ Leader: Bill

We need to find our language of comfort – terms.

Perhaps we need to set up some Review Teams
- ⇨ Another group to learn OWL and Protégé – to review and critique the work of WP3 (we need skill to read the Human Readable and well as the Mark Up code (Volunteer: Gavan; others to emerge)

Do we need a use case by June 2014?
- ⇨ A set of examples that tests what we are doing

⇨ The most common but also the weird and strange and also identify the exceptions

BUT – How do we really review and / or test what we are doing?
⇨ This consideration was left on the table (with lots of other tough questions)

AND THEN – Why are we doing this?
⇨ One: Technology presents us with opportunity to advance archival descriptive practice but this means we need to reposition standards, practices and guidelines on everything right through to access and use.
⇨ Two: In a practical sense we want AtoM to take advantage of the conceptual work that we are doing and this also applies to other tools and systems such as ArchiveSpace, the Heritage Documentation Management System (HDMS) and others.
⇨ Three: Who else do we want to influence?

Our Languages:
⇨ Our working language is English
⇨ Outputs at a minimum in English and French (Claire has done this translation in the past, perhaps Alice can help here?)
⇨ When we go public with any document it has to be English and French – and then into other languages in particular Arabic and what about Asian languages? Especially Chines / Korean for the ICA Congress in Seoul.
⇨ There may be others who can help with this (students, national archives, contacts in ISO TC46)

Final thought for this session:
'We are likely to be working right up to the end.'

*End of Session 8*

*Lunch*

## Session 9: Thursday, 21 November 2013, Lunch to End of the Meeting

Return of Vitor, Claire and Padre (a little later)

Review of our mornings plan:
**WP1** – Meeting Notes – Gavan and everyone; Due date: 15 January 2014
**WP2** – Principles and Language - Bogdan et al; (Padre to join this group)
 ⇨ WP2#1 1-2 Pager; Due date 31 January 2014
 ⇨ WP2#2 Terminology and Language; Ongoing from February 2014
**WP3** – Ontology – Florence et al;
 ⇨ WP3#1 Protégé tutorials due date 31 January 2014;
 ⇨ WP3#2 Draft ontology due date 1 March 2014
**WP4** – Conceptual Model (Text and UML) – Bill et al
 ⇨ WP4#1 Comparison due date 1 March 2014
 ⇨ WP4#2 Reconciliation due date 1 June 2014

Our umbrella working title: *Records in Context*
 ⇨ RIC for short
 ⇨ Our major output is the "Records in Context Conceptual Model"
 ⇨ As far as I can tell on Google this title has not been used.
 ⇨ The closest would be 'Describing Records in Context in the Continuum: the Australian Recordkeeping Metadata Schema' by Sue McKemmish et al, Monash University Information Technology,
  see: http://www.infotech.monash.edu.au/research/groups/rcrg/publications/archiv01.html

We need a means of vetting this work against 'reality' and existing work and standardization
 ⇨ Look for a wide variety of examples from many realities or contexts
 ⇨ It also begs the question of why existing work is not quite there or right for our purposes.

Therefore, it is proposed that in the future WP5 – Examples and Cases Studies be established once we know what we may need examples of.
**Jaana:** She is concerned that examples will be hard to identify – to find the real things. And again it raises the question of how do we test it? This is a legitimate question.
**Daniel:** Two points
 ⇨ One: Description – testing the reality of existing material
 ⇨ Two: Explaining – there is a pedagogical role in explaining what our work looks like and in the process discovering its understandability
 ⇨ Three (OK we then came up with the third point): Serializations (XML, RDF etc) – these will test the viability of the conceptual model. In this regard we have some technically savvy corresponding members who could tackle this – to give us some proof-of-concept (this is not urgent but it also needs to wait until we done our initial work).

Also, we already have functioning implementations of systems that are very close to the conceptual model, for example the Find and Connect Project (and other Online Heritage Resource Manager (OHRM) projects) in Australia, the SNAC project in the USA, plus extensive national / government archives experience in Finland, Spain, Australia and New Zealand and international accumulators such as APEx and Europeana (although this was felt to be too simplistic one side and two complex on the other. The same could be said of CIDOC CRM
 ⇨ Our challenge is to find that grounded sweet spot.
 ⇨ The 'typing' and grounding of examples will be important.

The next steps here?
- ⇨ Australian model
- ⇨ A plan of work, work assignments

2012-2013: paper, this meeting
2013-2014: January 2014: finalization of the minutes and translation into French (WP1)
2015-2016: ICA Congress Korea

**WP1:** meeting notes: Gavan and anybody else: January 2014
**WP2:** principles of provenance, terminology, glossary: Bogdan (leader), Stefano, Victoria, Vitor, Claire, Padre; Address history of provenance: January 2014; A compile, a collector
**WP3:** ontology: Daniel (leader), Florence, Salvatore, Gavan: March 1
**WP4:** conceptual model: Bill (leader), Jaana, Alice, Pete
- Comparison: March 1
- Reconciliation of the existing models: June 1
**WP5:** examples

Our umbrella: Records in Context
We need use cases, examples

**Fonds**
n., The whole of the records that a physical or juridical person accumulates by reason of its function or activity. Synonym of archives. InterPARES 3

**Archives**
n., The whole of the records of a creator; An agency or institution responsible for the preservation and communication of records selected for permanent preservation; A place in which records selected for permanent preservation are kept. InterPARES 3

**Archival bond:** The relationship that links each record, incrementally, to the previous and subsequent ones and to all those which participate in the same activity. It is originary (i.e., it comes into existence when a record is made or received and set aside), necessary (i.e., it exists for every record), and determined (i.e., it is characterized by the purpose of the record). [InterPARES 1 glossary]

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End of Meeting

*End of Session 9*

*Adjourned for Presentation on SNAC by Daniel Pitti and then Beer and Dinner*

**Summary in French by Claire Sibille – de Grimoüard**

**Compte rendu de la réunion du Groupe d'experts sur la description archivistique du Conseil international des archives (ICA/EGAD), Bruxelles, 19-21 novembre 2013**

**Participants :** Padré Baroan (Côté d'Ivoire), Florence Clavaud (France), Vitor da Fonseca (Brésil), Beatriz Franco (Espagne), Jaana Kilki (Finlande), Gavan MacCarthy (Australie), Alice Motte (France), Victoria Peters (Royaume-Uni), Bogdan Popovici (Roumanie), Claire Sibille – de Grimoüard (France), William Stockting (Royaume-Uni), Martin Stuerzlinger (Autriche), Salvatore Vassallo (Italie), Stefano Vitali (Italie)

**1) Présentation du mandat de l'EGAD**

**a) Un Modèle conceptuel archivistique**

Il faut produire rapidement un projet de modèle conceptuel, compte tenu des attentes très fortes de la communauté professionnelle. Les responsabilités du groupe d'experts sur la description archivistique sont donc très grandes.

La méthode de travail du groupe se veut la plus souple possible : arriver à des consensus sans passer par des processus formels (votes de motions).

La discussion se poursuit sur le périmètre du futur modèle. Le groupe d'experts a pour mission l'élaboration d'un modèle conceptuel pour la « communauté archivistique ». Mais l'expression « communauté archivistique » renvoie à des réalités différentes. Ce qui est valable dans un contexte donné ne convient pas forcément dans un autre contexte. Les perspectives et les pratiques professionnelles sont très diverses, il convient donc de rester à un niveau d'abstraction très général avec une définition de ce que l'on entend exactement par « archivistique » et « archives ». Les normes du Conseil international des archives ont été conçues d'abord pour des institutions archivistiques nationales, mais les services d'archives peuvent être divers : archives universitaires, archives publiques ou privées, départements des collections spéciales et manuscrits au sein des bibliothèques…

Les principes archivistiques doivent être réévalués, notamment le principe de provenance, avec les deux approches : l'approche des normes de l'ICA considérant le fonds comme le niveau de description le plus élevé et l'approche australienne considérant la série organique comme le niveau de description le plus élevé.

Les archivistes produisent des instruments de recherche mais ce n'est pas le produit final de la description archivistique (instruments de recherche) que l'on souhaite modéliser. Il s'agit de prendre en compte les différentes perspectives et de réfléchir aux principes clés que l'on souhaite isoler. Les archives ont une histoire, le contexte de leur création et de leur utilisation doit être intégré dans le modèle.

Qu'est-ce exactement que la description archivistique ? Il n'y a pas vraiment de définition claire. Ne faudrait-il pas inclure dans le modèle toute la chaîne de traitement des archives ?

Les groupes d'experts sont déconnectés des besoins des pays en voie de développement qui auraient déjà besoin de professionnaliser leurs pratiques avant de s'interroger sur l'utilisation de telle ou telle norme. La question de la diffusion du modèle au sein de la communauté professionnelle fait partie du mandat du groupe d'experts, par contre, l'aide à la

professionnalisation des pratiques dans les pays en voie de développement relève de la commission de programme du Conseil international des archives.

Les travaux normatifs sont dominés par les modes de pensée occidentaux et ce sont les institutions nationales qui sont représentées en majorité dans les groupes d'experts.

Le contexte d'élaboration du modèle conceptuel est analogue au contexte d'élaboration d'ISAD(G). Quand la première édition d'ISAD(G) a été publiée en 1994, ce travail représentait quelque chose de complètement nouveau et de provocateur pour les archivistes. Avec le développement du modèle conceptuel, d'autres degrés d'expertise apparaissent, il faut donc être très prudent dans l'introduction de nouveaux concepts et respecter le passé, même si une réflexion critique sur les concepts et la manière dont les archivistes les manipulent est nécessaire.

**b) Les normes de l'ICA**

Pour réconcilier les normes entre elles, un niveau de conceptualisation est nécessaire. Une fois le modèle élaboré, il faudra réviser les quatre normes existantes tout en tenant compte de la reprise des descriptions déjà réalisées.

La Norme internationale pour la description des fonctions ne concerne que les fonctions des organismes et donc pas du tout les activités d'individus. Seules sont prises en compte les fonctions collectives et non pas les fonctions individuelles.

**c) Objectifs – Archives gouvernementales, privées, d'entreprises, familiales**

La principale difficulté est de rendre le modèle conceptuel compréhensible de tout un chacun. Il est nécessaire de le diffuser et de faire comprendre aux professionnels pourquoi nous en avons besoin (aider les formateurs, les éditeurs de logiciels). Un exemple d'implémentation pratique d'un modèle conceptuel est le logiciel ICA-AtoM
De quel point de vue partons-nous ? Que veut dire « perspective archivistique » ?
Le niveau de granularité du modèle doit rester très générique pour tenir compte de toutes les traditions et pratiques archivistiques.
Un modèle pour la « communauté archivistique » : que faut-il entendre par « communauté archivistique » ? Est-ce la communauté au sens large ? Seulement les experts en normalisation ?

**d) Contexte**

*i) Technologies : balisage, base de données et graphe*

Les technologies existantes (bases de données relationnelles, SGML/XML et graphes) ont des approches différentes pour la représentation des données. L'approche du XML est hiérarchique tandis que les technologies du web sémantique (graphes) permettent d'établir un réseau complexe de relations à partir d'assertions (triples) et des relations entre sujets, prédicats et objets. Par exemple : les services d'archives (sujet) conservent (prédicat) des fonds d'archives (objet), les organismes (sujet) produisent (prédicat) des fonds d'archives (objet). Il convient de distinguer :

    - les objets du monde réel, « le monde tel qu'il est » (quoi)
    - nos perceptions du monde réel et la représentation que nous en faisons sous forme d'un modèle formel du « quoi »
    - un nombre illimité de modèles formels, y compris un modèle archivistique de « quoi »
    - une assertion décrivant le monde tel qu'il est.

Quelle est la différence entre modèle conceptuel et ontologie ? L'ontologie permet d'exprimer de manière plus claire des relations entre concepts.

Un langage formel, OWL, a été développé par le consortium W3C (World Wide Web Consortium). Le logiciel Protégé permet de créer des ontologies en OWL.

Le modèle modélise notre représentation du monde : quel est le point de vue de cette représentation ? Les modèles finlandais et espagnol n'ont pas été élaborés à partir du même point de vue. Il convient d'expliciter le point de vue de départ (une même ressource peut être décrite de deux manières différentes par un archiviste ou un bibliothécaire).

L'établissement d'équivalences avec le modèle CIDOC-CRM a été très fructueux pour le développement du modèle conceptuel archivistique finlandais, « CIDOC-CRM est une ontologie de référence ».

Les documents peuvent avoir des copies. Le modèle LOCAH distingue en outre les archives et les instruments de recherche. Il faudra donc distinguer la description des archives, les archives et leurs substituts numériques. Les archives sur support traditionnel comme els archives sur supports numériques doivent être prises en compte dans le modèle.

Il est impossible d'anticiper tous les utilisateurs possibles. Quelles sont les responsabilités essentielles de l'archiviste ? En Finlande, des échanges ont été organisés avec les historiens qui ne veulent pas de descriptions complètes mais seulement les descriptions spécifiques identifiant les documents d'archives. Les utilisateurs utilisent Google pas seulement pour faire des recherches Google mais aussi pour naviguer et la navigation signifie interrelations.

L'élaboration du modèle conceptuel finlandais est un travail très long : quel est le niveau de détail visé ? L'EGAD ne réinventera pas tout, par exemple la structure des dates (dates simples, fourchettes de dates, ensembles de dates regroupant fourchettes de dates et dates simples). Les classes de haut niveau pourraient être : les archives (records), les agents (agents) et les actions (acts) : les agents sont engagés dans des activités. Le modèle n'inclura pas toutes les relations. Le modèle espagnol prend un peu en compte les relations mais ce n'est pas le cœur du modèle.

Les modèles FRBR et CIDOC sont mentionnés, mais il y a d'autres ontologies, d'autres modèles conceptuels, certains développés par le W3C ou par d'autres communautés d'intérêt (foaf : modèle assez bon mais insuffisant pour la description des individus).

### ii) Initiatives nationales et projets de modèles conceptuels archivistiques

#### Le Modèle conceptuel finlandais

Le modèle conceptuel archivistique finlandais s'inscrit dans le contexte plus large de la politique d'architecture de l'information du gouvernement, avec le développement d'une Bibliothèque numérique finnoise pour les secteurs Archives-Bibliothèques-Musées. La Bibliothèque numérique finlandaise comprend une interface utilisateurs commune (portail Finna) et un service de conservation à long terme pour toutes les Archives-Bibliothèques-Musées financées par le gouvernement ; d'autres services d'intégration (systèmes d'attribution d'identifiants, données d'autorité, ontologies (mots matières, lieux, etc.). Le projet rend nécessaire l'harmonisation des métadonnées descriptives des trois secteurs patrimoniaux dans une perspective d'interopérabilité : la norme RDA (Description et accès aux ressources) est la norme de référence pour la description. Le besoin est apparu de rendre compatibles les pratiques descriptives dans le

domaine des archives : métadonnées RM et description archivistique, documents sur supports traditionnels et documents numériques, grande variété de documents et d'institutions. Les différents secteurs collaborent depuis 1994.

Dans ce contexte, le modèle conceptuel définit ce que la description archivistique représente pour la compréhension commune du secteur des archives et pour la communauté plus large du patrimoine culturel. C'est une ontologie de référence mais pas un modèle normatif : il peut être implémenté par différents méta-modèles.

Comme le cœur du point de vue archivistique est la provenance, le modèle se concentre sur la définition des entités de provenance et de leurs relations.

L'entité « Documents d'archives » (Archival material) recoupe une grande diversité de différents types de ressources d'innformation aux différentes étapes de leur cycle de vie.

Tout document décrit selon des méthodes archivistiques et « document d'archives ».

Il y a une entité « Document » (Material), mais cela peut être tout, rien n'est dit au sujet de la réalité.

Le système de description représente le contexte et les ressources d'information. Les modèles de données implémentent les systèmes de description.

La description archivistique est un système de représentation (la description est toujours une interprétation à partir d'une perspective donnée), c'est un processus (qui commence à la création des documents et continue tout au long de leur existence), elle doit permettre les différentes interprétations faites par les producteurs d'archives, les professionnels de l'archivage et les utilisateurs.

Le groupe de travail national doit donc élaborer le modèle conceptuel ainsi que des règles de description et de catalogage et développer un service d'accès en ligne.

Les entités principales sont les suivantes :
- Activité (Activité) : produit des Documents (Material)
- Fonction (Function) : documentée dans les Documents (Material), sous-classe de la classe Activité
- Fonction d'archivage (Recordkeeping Function)
- Mission (Mandate) : gouverne la Fonction d'archivage et la Fonction
- Archives (Records) : sont un certain type de Document (Material)
- Expression du Document (Material-Expression) : représente le Document comme contenu intellectuel (Activité documentée dans un sens abstrait), ce qui est commun à toutes les Manifestations
- Manifestation du Document (Material-Manifestation) : représente un Document comme une entité matérielle (un objet physique) dans lequel se manifeste une Expression.

Les agents sont impliqués dans des événements, la fonction est une action destinée remplir une mission.

Un instrument de recherche est un exemple de représentation, une vue imposée par l'archiviste mais pas nécessairement la seule.

Comment gérer les agrégats ? Un ensemble, les parties de l'ensemble et les relations

### Le Modèle conceptuel espagnol

Le développement du modèle repose sur la distinction entre le monde réel (réalité archivistique), le monde conceptuel et le monde des représentations (systèmes descriptifs archivistiques). L'objectif principal est de développer des normes de structuration de données et des normes de contenu pour la description des archives, des agents et des fonctions, qui peuvent être décrites séparément mais inter-reliées au sein des systèmes de description archivistique.

La première activité consiste à développer un document comprenant :
- Un modèle conceptuel explicite
- Les spécifications relatives aux données nécessaires pour les descriptions

Le document textuel comprend 283 pages, avec 91 pages d'exemples. Les types d'entités sont les suivants : Archives (Records), Agent (Agent), Fonction (Business), Mission (Mandate), Concept, objet ou événement (Concept, object or event) et Lieu (Place).

Les types d'entités sont des classes ou des objets de la réalité archivistique (monde réel) perçues comme des catégories distinctes.

Le premier type d'entité (Archives) se rapporte aux objets de la gestion des archives qui sont généralement le centre d'attention de la science archivistique.

Le second type d'entité (Agent) s'appliquer aux acteurs (collectivités, familles et personnes) responsables de la création, de la production, de la gestion des archives (ou ayant participé à la création, à la production, à la gestion des archives).

Le troisième type d'entité (Fonction) se rapporte aux fonctions, sous-fonctions, activités/processus et transactions remplis par des agents, qui sont documentés dans les archives.

Le quatrième type d'entité (Mission) s'applique à la réglementation qui gouverne les agents, les fonctions qu'ils remplissent ou les archives.

Le cinquième type d'entité (Concept, objet ou événement) se rapporte aux notions abstraites ou aux idées, aux choses matérielles, aux actions ou événements qui sont les sujets des archives.

Le sixième et dernier type d'entité (Lieu) s'applique aux lieux qui sont le sujet des archives.

Les sous-types d'entités pour les archives, les agents et les fonctions prennent en compte les pratiques archivistiques espagnoles.

Pour le type d'entité Archives :
- Groupe de fonds
- Fonds
- Sous-fonds/Sous-groupe de fonds
- Série organique
- Sous-série organique
- Partie de série/sous-série organique
- Unité documentaire
- Collection : agrégation artificielle d'archives

-     Sous-collection
-     Composant documentaire

Le Groupe de fonds, le Fonds, le Sous-fonds, la Série organique et la Collection peuvent être le niveau le plus élevé du système de description.

La classe Fonction comprend les sous-classes : Sous-fonction, Activité/Processus et Transaction.

Les relations sont des associations de tout type entre les entités du monde réel, perçues comme des liens de différent type (monde conceptuel) qui peuvent être reflétées dans eks systèmes descriptifs archivistiques (monde des représentations).

En théorie, toutes les relations sont possibles, mais concrètement, seulement dix sont envisagées, avec des regroupements :
-     Contexte des archives et de leur valeur de preuve
-     Contenu des archives et de leur valeur informationnelle
-     Structure des archives et entités fonctionnelles

Les points négatifs sont la lenteur du processus de modélisation et la faible participation de la communauté archivistique.

Les bienfaits et les avantages :
-     permettre un développement plus robuste des normes espagnoles de description archivistique
-     participer à l'effort international de révision des quatre normes de l'ICA
-     développer un projet qui contribue à l'essor du web sémantique
-     renforcer la base conceptuelle de la description archivistique par rapport à la description dans d'autres domaines.

### iii) Modèles conceptuels dans d'autres domaines du patrimoine culturel : FRBR (FRBRoo) et CIDOC-CRM

Le modèle conceptuel FRBR établit une distinction entre une œuvre, son expression, sa manifestation et les items.
Les documents d'archives ne sont pas seulement des informations intellectuelles mais ont aussi une valeur juridique, il faut donc trouver un moyen d'exprimer ces caractéristiques. La valeur juridique peut être assignée à un niveau de manifestation.

### iv) Autres modèles conceptuels (schema.org, foaf…)

**2) Les deux livrables attendus**

⇨ Un document textuel avec des diagrammes
⇨ Une expression formelle sous une forme lisible par machine (peut-être OWL), basée sur les principes et la terminologie archivistique de base, avec des équivalences avec les modèles CIDOC/CRM et FRBRoo

**3) Principes archivistiques**

Provenance
Respect des fonds

Respect de l'ordre interne (ou respect de l'ordre originel ou respect de l'ordre primitif

Le fonds est une abstraction conceptuelle et l'erreur de l'approche traditionnelle est de le percevoir comme une entité physique (Terry Cook) : comment être sûr que l'on a un fonds dans sa complétude ?

Le respect des fonds est un principe guidant le classement. Ne faut-il pas utiliser plutôt la notion de provenance dans le modèle conceptuel ? La notion de provenance est plus large que le respect des fonds.

On ne peut comprendre un document d'archives sans les autres.

Qu'est-ce que l'ordre originel ?

Consensus du groupe : un ensemble associé à un agent (production, rassemblement, utilisation) Distinction entre le fonds abstrait et d'autres termes : dans le processus de description, on doit pouvoir décrire un fonds abstrait et on a les archives réelles en face de soi. Tous sont généralement d'accord pour reconnaître qu'il y a un « fonds » général sujet au contrôle et à la description archivistiques.

La provenance est un type de relations, le classement est un événement du cycle de vie des archives. Le contexte et le respect des fonds devront être pris en compte dans le modèle conceptuel mais ne joueront pas un rôle prédominant.

Le contexte est-il synonyme de provenance ? Non, car le contexte ne traite pas seulement des origines mais aussi de l'accumulation, de l'utilisation des archives, etc. Si des concepts sont utilisés dans les normes, il faut les conserver (par exemple, ISAD(G) définit clairement le producteur et l'auteur).

Les discussions portent sur la description archivistique, mais dans la description archivistique, il y a aussi des métadonnées du records management. Même si ISAD(G) s'appliquait originellement aux archives historiques, elle est dans sa version actuelle censée s'appliquer à tous les types d'archives, quelles que soient les périodes. Ne conviendrait-il pas de parler d' « existence » plutôt que de « cycle de vie » ? Les raisons pour lesquelles les archives sont décrites dans des environnements de records management et dans un contexte historique sont différentes.

Du point de vue de la perspective de la réalité en Finlande, les archivistes finnois utilisent d'abord les métadonnées produites dans les organismes puis les Archives nationales décident ou non de conserver les métadonnées, de les réutiliser, ce qu'il faut faire pour leur réutilisation (compatibilité entre les normes RM et les normes archivistiques).

Comment positionner le modèle ? Il y a un public cible mais aussi des publics secondaires.

Que veut-on modéliser ?
- L'activité humaine et les produits de l'activité humaine
- La perspective archivistique

Discussion avec Gavan McCarthy : comment représenter les relations de manière satisfaisante ? Ne pourrait-on pas considérer les relations comme une classe particulière ? Les principales classes du modèle pourraient être : Records, Context (Agents, Functions), Relationships. Il

faudrait aussi considérer les événements comme quelque chose de transverse, pouvant affecter les archives, les agents, les relations, etc.

Les prochaines étapes sont les suivantes. Quatre sous-groupes sont constitués :
⇨ Groupe 1 : dresser le compte rendu de la réunion (pour janvier 2014)
⇨ Groupe 2 : terminologie et glossaire des principaux concepts archivistiques, notamment la provenance (en rappeler l'historique) (pour janvier 2014)
⇨ Groupe 3 : explorer les outils pour 75eveloper une ontologie (pour mars 2014)
⇨ Groupe 4 : comparer les modèles conceptuels existants (pour mars 2014) puis les réconcilier (pour juin 2014)

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**Report of the meeting of the Group of experts on the archival description of the International Council of Archives (ICA/EGAD), Brussels, 19-21 November 2013**

Participants: Padre Bala (Côte d'Ivoire), Florence Clavaud (France), Vitor da Fonseca (Brazil), Beatriz Franco (Spain), Jaana Kilki (Finland), Gavan McCarthy (Australia), Alice Motte (France), Victoria Peters (United Kingdom), Bogdan Popovici (Romania), Claire Sibille - Grimouard (France), William Stockting (United Kingdom), Martin Stuerzlinger (Austria), Salvatore Vassallo (Italy), Stefano Vitali (Italy)

**(1) Presentation of the mandate of the EGAD**

**a) An archival conceptual model**

Need to quickly produce a draft conceptual model, taking into account the very high expectations of the business community. The responsibilities of the expert group on archival description are therefore very large.

The method of work of the Panel is the most flexible possible: arrive at consensus without going through formal processes (motions votes).

The discussion continues on the perimeter of the future model. The expert group mission is the development of a conceptual model for the "archival community. But 'archival community' refers to different realities. What is valid in a given context is not necessarily appropriate in another context. Perspectives and professional practices are very diverse, should therefore remain at a very general level of abstraction with a definition of what is meant exactly by "archival" and "archives". The standards of the international Council of archives have been designed firstly to national archival institutions, but the archives services can be various: archives academics, public or private archives, manuscripts and special collections libraries within departments...

The archival principles must be re-evaluated, including the principle of provenance, with the two approaches: ICA standards approach whereas the highest fonds such as the level of description and Australian approach whereas the organic series as the level of the highest description.

The archivists produce research instruments but is not the final product of the archival description (of research instruments) that you want to model. This is to take into account the different perspectives and to reflect on the key principles you want to isolate. The archives have a history, the context of their creation and their use should be integrated in the model.

What is it exactly that the archival description? There's no really clear definition. Should we not include entire archive processing chain in the model?

Expert groups are disconnected from the needs of developing countries who already need to professionalize their practices before wonder about the use of any particular standard. The question of the dissemination of the model within the professional community is part of the mandate of the expert group, however, the assistance to the professionalization of the practices in developing countries belongs to the program of the international Council of archives.

Normative work are dominated by Western ways of thinking and are the national institutions that are represented in majority in the expert groups.

The context for the development of the conceptual model is analogous to the context of elaboration of ISAD (G). When the first edition of ISAD (G) was published in 1994, this work represented something completely new and provocative for archivists. With the development of the conceptual model, other degrees of expertise appear, should therefore be very careful in the introduction of new concepts and respect the past, even if a critical reflection on the concepts and the way in which archivists handle is necessary.

**b) ICA standards**

To reconcile between them standards, a level of conceptualization is necessary. Once the model is developed, should revise the four existing standards taking into account the resumption of the already completed descriptions.

The international standard for the description of the functions is only the functions of the organizations and therefore not all the activities of individuals. Only are taken into account collective and not individual functions.

**c) Objectives - Government Archives, private, family business**

The main difficulty is to make the understandable conceptual model of everything everyone. It is necessary to disseminate and to impress upon professionals why we need (help trainers, software publishers). An example of practical implementation of a conceptual model is the ICA-AtoM software

From what point of view leave us? What does mean "archival perspective?

The level of granularity of the model must remain very generic to take account of all the traditions and archival practices.

A model for the 'archival community': what is meant by 'archival community '? Does the community at large? Only experts in standardization?

**d) Context**

*i) Technologies: markup, database and graph*

Existing technologies (relational databases, SGML/XML and graphs) have different approaches for the representation of data. The approach of the XML is hierarchical while the semantic web (graphs) technologies to establish a complex network of relationships from assertions (triples) and relationships between subjects, predicates, and objects. For example: archive (subject) retain (predicate) archival (object), organizations (subject) produce (predicate) of the archives (object). Should be distinguished:

- the objects in the real world, "the world as it is" (what)

- our perceptions of the real world and the representation that we do in the form of a formal model of the "what".

- an unlimited number of formal models, including an archival model of "what".

- an assertion describing the world as it is.

What is the difference between conceptual model and ontology? The ontology to express more clearly the relationships between concepts.

A formal language, OWL, was developed by the consortium W3C (World Wide Web Consortium). The protected software to create ontologies in OWL.

Model models our representation of the world: what is the point of view of this representation? Finnish and Spanish models were not developed from the same point of view. It is appropriate to clarify the point of view of departure (a single resource can be described in two different ways by an archivist or librarian).

The establishment of equivalencies with the CIDOC-CRM model has been very productive for the development of the Finnish archival conceptual model, "CIDOC-CRM is an ontology of reference."

Documents can have copies. The LOCAH model also distinguishes archives and research instruments. Therefore, distinguish the description of archives, archives and their digital surrogates. Archives on traditional support as els archives on digital media must be taken into account in the model.

It is impossible to anticipate all possible users. What are the essential responsibilities of the Archivist? In Finland, exchanges were held with historians who are unwilling to full descriptions but only specific descriptions identifying records. Users use Google not only to make Google searches but also to browse and navigation means interrelations.

The development of the Finnish conceptual model is a job very long: what is the level of detail covered? The EGAD does not réinventera everything, for example dates structure (simple dates, ranges of dates, dates of ranges and single dates). The high-level classes might be: the archives (records), agents (agents) and actions (acts): agents are engaged in activities. The model will include all relations. The Spanish model takes a little into account relations but it is not the core of the model.

FRBR and CIDOC models are mentioned, but there are other ontologies, other conceptual models, some developed by the W3C or other communities of interest (foaf: pretty good but insufficient model for the description of individuals).

*(ii) National initiatives and projects of archival conceptual models*

The Finnish Conceptual Model

The Finnish archival conceptual model fits into the broader context of the architecture policy information from the Government, with the development of a Finnish digital library for Archives, libraries and museums sectors. The Finnish digital library includes a common user (Portal Finna) interface and a long-term preservation for all Archives-libraries-museums funded by the Government; other integration services (IDs, authority data, ontologies renaming systems (words materials, locations, etc.).) The project makes it necessary harmonisation of descriptive metadata of the three economic sectors with a view to interoperability: GDR (Description and access to resources) is the standard reference for the description. The need arose to make compatible the descriptive practices in the field of archives: metadata RM and archival description, documents on traditional media and digital documents, wide variety of documents and institutions. Different sectors have worked together since 1994.

In this context, the conceptual model defines what the archival description for common understanding of sector archives and for the wider community of cultural heritage. It is an ontology of reference but not a normative model: it can be implemented by different metamodel.

As the heart of the archival point of view is the provenance, the model focuses on the definition of entities, provenance and their relations.

The "Archival" entity (Archival material) cuts across a variety of different types of resources to innformation at different stages of their life cycle.

Any document described methods archival and "document archive".

There is a 'Document' (Material) entity, but it can be everything, nothing is said about the reality.

Description system represents the context and information resources. Data models implement description systems.

Archival description is a system of representation (the description is always an interpretation from a given perspective), it is a process (which begins the creation of documents and continues throughout their existence), it must allow different interpretations made by producers to archives, archiving professionals and users.

The national working group must therefore develop the conceptual model as well as rules for the description and cataloguing and access online service.

The main entities are as follows:

- Activity (activity): product (Material) Documents

- Function (Function): documented in (Material) Documents, subclass of the class activity

- Archiving (Recordkeeping Function)

- Mission (Mandate): governs the archiving function and the function

- Archives (Records): is a certain type of Document (Material)

- Expression of Document (Material-Expression): represents the Document as intellectual content (activity documented in an abstract sense), which is common to all events

- Manifestation of the Document (Material-event): represents a Document as a physical entity (a physical object) in which an Expression is manifested.

Agents are involved in events, the function is an intended action complete a mission.

A search tool is an example of representation, a view imposed by the Archivist, but not necessarily the only one.

How to manage the aggregates? A set, all parts and relationships

The Spanish Conceptual Model

The development of the model is based on the distinction between the real world (archival reality), the conceptual world and the world of representations (archival descriptive systems).

The main objective is to develop standards for structuring data and standards of content for the description of archives, agents and functions, which can be described separately but interconnected within the systems of archival description.

The first activity is to develop a document comprising:

- A conceptual model explicitly

- The specifications for the data necessary for descriptions

The textual record includes 283 pages, with 91 pages of examples. The entity types are as follows: Archives (Records), Agent (Agent), function (Business), Mission (Mandate), Concept, object, or event (Concept, object or event) and place (Place).

The entity types are classes or objects of archival reality (real world) perceived as separate categories.

The first type of entity (Archives) refers to the objects of management of archives that are usually the focus of attention of archival science.

The second type of entity (Agent) apply to stakeholders (communities, families and individuals) responsible for the creation, production, management of archives (or who participated in the creation, production, management of the archives).

The third type of entity (function) refers to the functions, sub-functions, activities/processes and transactions completed by agents, which are documented in the archives.

The fourth type of entity (Mission) applies to regulations governing agents, the functions they perform or the archives.

The fifth type of entity (Concept, object, or event) refers to abstract concepts or ideas, to material things, to actions or events which are the topics archives.

The sixth and final type of entity (location) applies to places that are the subject of the archives.

Subtypes of entities for the archives, agents and functions take into account Spanish archival practices.

For the entity type Archives:

- Group of fonds

- Fond

- Subfond/subgroup of Fond

- Organic series

- Organic subseries

- Part of series/subseries organic

- Documentary unit

- Collection: artificial aggregation of archives

- Sub-collection

- Documentary component

The Group of fonds, the Fond, the subfond, the organic series and the Collection can be the highest level of the system description.

The function class includes the subclasses: sub-function, activity/process and Transaction.

Relations are associations of any type between the real world entities, perceived as links of different types (conceptual world) that can be reflected in eks archival descriptive systems (World of representations).

In theory, all relationships are possible, but in practical terms, only ten are envisaged, with groupings:

- Context of archives and their value of evidence

- Contents of the archives and their informational value

- The archive structure and functional entities

The negatives are the slowness of the modeling process and the low turnout in the archival community.

The benefits and advantages:

- allow a more robust development of Spanish standards of archival description

- participate in the international effort to review four ICA standards

- develop a project that contributes to the growth of the semantic web

- strengthen the conceptual basis of the archival description to description in other areas.

### III) Conceptual models in other areas of the cultural heritage: (FRBRoo) FRBR and CIDOC-CRM

The FRBR conceptual model distinguishes between a work, expression, manifestation and items.

Archival records are not only intellectual information but also have legal value, so find a way to express these characteristics. The legal value can be assigned to a level of event.

### (iv) Other Conceptual Models (schema.org, foaf...)

### (2) The deliverables expected two

-A text document with diagrams

-A formal expression in a machine readable form (possibly OWL), based on the principles and the archival basic terminology, with equivalencies with the CIDOC/CRM and FRBRoo models

### (3) Archival principles

Provenance

Respect des fonds

Respect for the internal order (or respect for the original order or respect for the primitive order

The Fond is a conceptual abstraction and the error of the traditional approach is to perceive it as a physical entity (Terry Cook): how to be sure that we have a Fond in its completeness?

Respect des fonds is a principle guiding the classification. Shouldn't use instead the notion of provenance in the conceptual model? The concept of origin is wider than compliance with the Fond.

One cannot understand a document of record without the other.

That is what the original order?

Group consensus: a set associated with an agent (production, gathering, use)

Distinction between the abstract and other words: in the process of description, must be able to describe an abstract Fond and the actual archives in front of itself.

All are generally agree to recognize that there is a 'Fond' which is the general subject to the control and the archival description.

The origin is a type of relationship, classification is an event in the lifecycle of the archives. The context and the respect of the fonds must be taken into account in the conceptual model but will not play a predominant role.

Is the context synonymous with provenance? No, because the context does not only the origins but also the accumulation, of the use of the archives, etc.

If concepts are used in the standards, it is necessary to keep them (for example, ISAD (G) defines clearly the producer and the author).

Discussions on archival description, but in the archival description, there's also the records management metadata.

Although ISAD (G) applied originally to the historical archives, it is in its current version intended to apply to all types of archives, regardless of periods.

Would it not to speak of 'existence' rather than 'life cycle '?

The reasons for which the archives are described in records management environments and in a historical context are different.

From the point of view of the perspective of reality in Finland, Finnish archivists first use the metadata produced in organisms and then the National Archives decide whether or not to retain the metadata, reuse, that should be for reuse (compatibility between RM and archival standards).

How to position the model? There is a target audience but also secondary audiences.

What do we want to model?

- Human activity and the products of human activity

- The archival perspective

Discussion with Gavan McCarthy: how to represent the relationships in a satisfactory manner? Could we not consider relations as a particular class? The main classes of the model could be: Records, Context (Agents, Functions), Relationships. It should also consider events like something transverse, affecting archives, agents, relations, etc.

The next steps are as follows. Four sub-groups are formed:

- Group 1: draw up the minutes of the meeting (to January 2014)

- Group 2: terminology and glossary of key archival concepts, including the provenance (history recall) (to January 2014)

- Group 3: exploring tools for developing an ontology (to March 2014)

- Group 4: compare the existing conceptual models (to March 2014) and then reconcile them (for June 2014)

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Translator

**Original**

Il faut produire rapidement un projet de modèle conceptuel, compte tenu des attentes très fortes de la communauté professionnelle.

*This translation was done using Microsoft Word 2010 Translate.. The only mistranslation corrected was 'Fond' for 'Fund'.*

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