

Maturity Assessment for Appraisal in the AI Age

MAAP_IA 2023-2025

Prof. Dr. Basma Makhlouf Shabou

Head of Master in Information Sciences

ArchiLab | HEG - Genève (hesge.ch),

Geneva School of Business Administration

HEG HES-SO, University of Applied Sciences and Arts Western Switzerland

Agenda

- Context
- Objectives
- Method
- Preliminary results
 - Model dimensions
 - Model simulator
 - Cases studies



INTERPARES TRUST AI - ARTIFICIAL INTELLIGENCE

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InterPARES Trust AI (2021-2026)

InterPARES Trust AI (2021-2026) is a multi-national interdisciplinary project

The I Trust AI goals are to:

1. Identify specific **AI technologies** that can address critical **records and archives** challenges;
2. Determine the **benefits** and **risks** of using AI technologies on records and archives;
3. Ensure that archival concepts and **principles** inform the development of **responsible AI**; and
4. Validate outcomes from Objective 3 through **case studies** and demonstrations.

InterPARES Trust AI - Artificial Intelligence

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« Appraisal for managing records is the recurrent process of evaluating business activities to determine which records need to be created and captured as well as how and how long the records need to be kept.»

(ISO/TR 21946:2018, p. v)



Maturity Assessment for Appraisal in the AI Age (2023-2025)

Objectives and deliverables

The study aims to identify the archival, technical, technological, cultural, and strategical barriers and facilitators to effectively apply AI tools for appraisal processes. This study will develop a model to assess the **appraisal readiness for AI**

- Consistency and **reproducibility of appraisal decisions**
- **Requirements** for integrating AI into a given appraisal practice
- Maturity of data and **archives processing** for automatic and/or “smart” appraisal
- **Complementary actions** for improving appraisal practices to integrate AI

Dr. Basma Makhlouf Shabou [Maturity Assessment for Appraisal in the AI Age \(AA02\)](#)





archives de l'état du valais
staatsarchiv wallis

Based on an initial conceptual model developed
with State archives of Wallis (2022-2023)
Switzerland

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Methodology

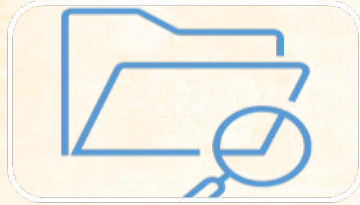


Applied research



Qualitative

Methodology

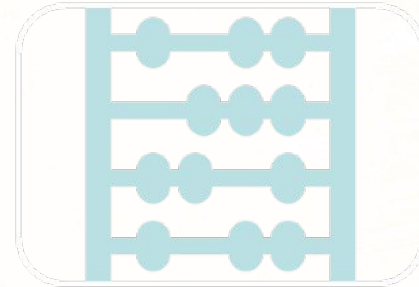
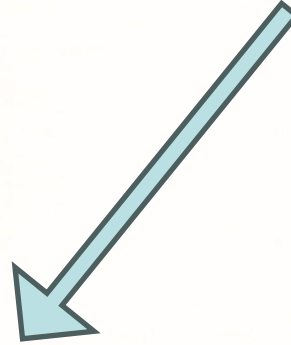
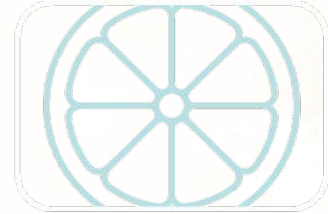


Systematic literature



Focus group

Case studies



**Likert Scale
Survey**

**InterPARES
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Maturity Assessment Model for Appraisal in the AI Age : on going steps

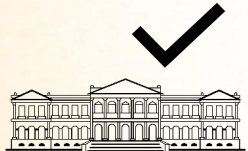
- Scientific consultation

THE	✓
NATIONAL	
ARCHIVES	



UNIVERSITÉ
DE GENÈVE

- Professional consultation



ARQUIVO NACIONAL



Schweizerische Eidgenossenschaft
Confédération suisse
Confederazione Svizzera
Confederaziun svizra

Archives fédérales suisses

Archives
Nationales de
Luxembourg



Archives
Cantonales
Vaudoises

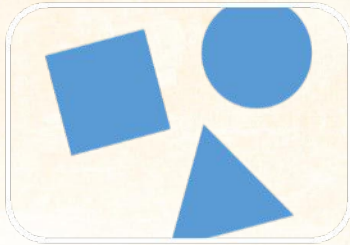
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ARCHIVES	

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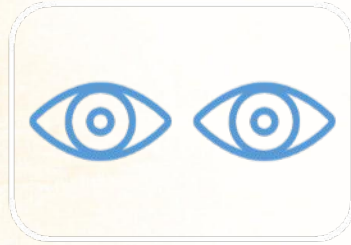


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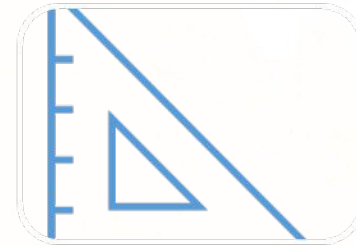
Model components



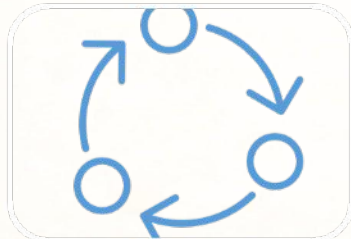
Principles



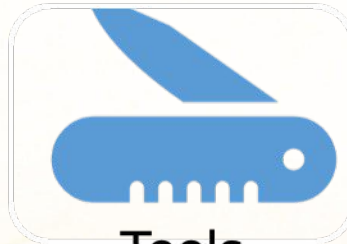
Vision
strategic frame



Compliance



Methodology and
related processes



Tools



Metrics



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Model dimensions

Principles	Vision	Compliance	Methodology	Tools	Metrics
<ul style="list-style-type: none">•Accessibility• Life cycle•Respect of funds•Multi dimensionality•Centrality of value•Contemporaneity•Sustainability (ecological and chronological sustainability)•Revaluatio•Prospecting•Inclusivity / documentary diversity	<ul style="list-style-type: none">•Policy Adequacy with the different jurisdictional levels• Appropriateness with audiences• Consideration of trends, innovative approaches and good practices	<ul style="list-style-type: none">•Legal compliance•Regulatory compliance•Administrative compliance•Normative compliance	<ul style="list-style-type: none">•Appraisal process•Re-appraisal process•Long term preservation•Disposal process	<ul style="list-style-type: none">•Document Identification tool• Content identification tool•Essential documentstool•information assets identification tool	<ul style="list-style-type: none">•Preservation•Sampling•Disposal•Digitation•Protection périodes



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Assessment levels



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Model simulator

Axes	Éléments de mesure	Description	Remarques et recommandations
Principes	Accessibilité	L'évaluation favorise, dans la mesure du possible, l'ouverture des données et des archives et contribue à leur partage et communicabilité.	Niveau constaté : Analyse : Source(s) : Recommandations :
	Cycle de vie	<div> <div>1</div> <div>2</div> <div>3</div> <div>4</div> <div>5</div> </div> <p>Le cycle de vie partant de la création/capture. La durée de vie des données et des archives doit être définie en fonction de leur nature et de leur utilisation. Les données doivent être accessibles et exploitables de manière reproductible et/ou automatique.</p> <p>Non existant En développement Satisfaisant Avancé En application de manière reproductible et/ou automatique</p>	Niveau constaté : Analyse : Source(s) : Recommandations :
	Respect de fonds	L'évaluation vise la composition et ou la complétude d'un fonds et veille à l'augmentation de son potentiel d'exploitabilité.	Niveau constaté : Analyse : Source(s) : Recommandations :
	Multi dimensionnalité	L'évaluateur se base sur le contexte de création et d'utilisation et l'échelle de valeur de cette époque. Il contrôle ainsi son jugement, ses opinions et sa perception et tend vers l'objectivité.	Niveau constaté : Analyse : Source(s) : Recommandations :
	Centralité de la valeur	Le cycle de vie et ses éléments reposent sur la notion de valeur.	Niveau constaté : Analyse : Source(s) : Recommandations :
	Contemporanéité	L'évaluateur se base sur le contexte de création et d'utilisation et l'échelle de valeur de cette époque. Il contrôle ainsi son jugement, ses opinions et sa perception et tend vers l'objectivité.	Niveau constaté : Analyse : Source(s) : Recommandations :
	Durabilité (écologique et pérennité)	L'évaluateur stipule ses décisions en estimant l'impact écologiques de ces dernières. A cet égard, l'évaluateur est amené à respecter l'équilibre entre ses besoins et ambitions technologiques et écologiques. Ce principe fait écho également aux dispositifs de	Niveau constaté : Analyse : Source(s) :

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Model testing

Objectives

- Collect scientific and professional feedbacks
- Identify complementary and suitable AI tools for each model dimension

Available translations

- English
- Spanish
- Portuguese
- ...



Maturity Assessment for Appraisal in the AI Age

Completed case studies



✓ Portuguese



✓ English



✓ French



Thank you!

Basma.makhlouf-shabou@hesge.ch

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