

## ***iv) Arrow Definitions***

### **Accessioned Electronic Records**

A body of electronic records selected for preservation, transferred to the preserver and accepted by the preserver for preservation.

### **Accessioning Policy**

The policy of the institution or person responsible for preservation with respect to accepting responsibility for records transferred for preservation. Includes standards and specifications for acceptable and unacceptable deviations from standards, such as when records that should be in a transfer are missing or when information that should accompany the transfer is missing, inappropriate, or unclear.

### **Accounting for Unsatisfied Request**

An explanation of why a Request for a Record and/or Information about a Record could not be satisfied in whole or in part.

### **Archival Aggregate Requirements**

Stipulations as to how the original order of records is to be respected in the physical or logical structuring of sets or archival aggregates of records, and how they are to be presented for use.

### **Archival Requirements**

Requirements derived from archival science, diplomatics, best practices, and prevalent standards within the archival community.

### **Basis of Authenticity of Records**

Information that indicates whether records can be considered as authentic on the basis of how the records creator addressed the Benchmark Requirements for Authenticity up through the time when the records were transferred to the preserver or, alternatively, whether their authenticity needs to be verified through corroborating evidence.

### **Certificate of Authenticity**

An attestation by the person responsible for preservation that one or more records are authentic.

### **Classes of Records**

A class of records is a set of records with common attributes and methods determined on the basis of their documentary form.

### **Conforming Digital Components**

A conforming digital component is a digital component that can be processed using current preservation methods in order to preserve and reproduce an electronic record.

### **Conforming Transfer**

A transfer of electronic records where information accompanying the transfer indicates that it satisfies the terms and conditions stipulated for the transfer.

### **Determination that Records Cannot Be Preserved**

A judgement that, for technical and/or resource reasons, a body of records deemed to have archival value cannot be preserved in electronic form, either with any preservation methods currently in use or with any available technological options.

### **Digital Components of a Record that Cannot Be Preserved**

A Digital Component of a Record that Cannot Be Preserved is a digital component of an electronic record that cannot be reconstituted or presented, or whose archival bonds

cannot be expressed, or whose arrangement in archival aggregates cannot be re-established using the Preservation Methods specified in the applicable Preservation Strategy.

**Digital Components of Accessioned Electronic Records**

The digital components of the electronic records included in a transfer and accepted by the preserver for preservation.

**Digital Components that Need Updating**

A Digital Component of a Record that cannot be reconstituted or presented in accordance with current Preservation Strategy applicable to that record, or a Digital Component of a Record belonging to an archival aggregate that cannot be re-established, reconstituted, or presented using the Preservation Methods specified in the applicable Preservation Strategy.

**Evaluation of Execution**

The result of evaluating management information about the execution of preservation process to determine whether requirements were satisfied, preservation strategies are effective, and action plans meet objectives and performance targets.

**Facilities**

Locations where digital preservation technologies are installed and operate, and locations where electronic records components are stored.

**Information about Accessioned Records**

Information identifying records that have been accessioned, their digital components, and the preservation strategies that will be applied to them.

**Information about Digital Components**

Metadata or other information retrieved in response to a request for a record or for information about a record, or in response to a plan for updating the digital components and used to satisfy the request or to carry out the plan.

**Information about Digital Components of an Electronic Record**

Technical information concerning a digital component or a class of digital components of electronic records necessary to store and retrieve the digital components of an electronic record and to reconstitute the record from the components and to present it in authentic form, properly ordered with respect to related records.

**Information about Electronic Records Selected for Preservation**

Information output from the appraisal process identifying and characterizing records that are to be preserved, including what information about the records should accompany the transfer, the basis for asserting the authenticity of the records as maintained by their creator, and the terms and conditions of transfer.

**Information about Preservation**

Reports on, data about, or accounting for the exercise of the preservation function, the preserved records, and the authenticity of copies of those records. The coverage of such information may range from the preservation function as a whole, to one or more processes within the function.

**Information about Presumption of Authenticity of Appraised Records**

Information indicating the extent to which the creator of the records that have been appraised satisfied the criteria set out in the Benchmark Requirements for Authenticity.

**Information about Presumption of Authenticity of Transferred Records**

Information indicating the extent to which the records creator satisfied the criteria set out in the Benchmark Requirements for Authenticity through the point where the records were transferred to the preserver.

**Information about Transferred and Accessioned Records**

Information about electronic records, their arrangement, and their digital components, which accompanies the transfer of electronic records and which is developed in the process of bringing them under the preserver's control.

**Information about Updated Digital Components**

Information about changes that have been made to a digital component of an electronic record in the process of updating it, about any problems that occurred in the process, and about the identity and location of the component on storage media and in a storage system or facility.

**Information and Communications Technology**

Digital hardware, software, and storage and communications media.

**Information and Communications Technology Infrastructure**

Hardware and general-purpose software, such as operating systems, file systems, communications utilities, device drivers, and database management systems.

**Information Identifying Digital Components of a Requested Record**

Information that specifies all the digital components necessary to reproduce a record, and their unique identifiers.

**Institutional Requirements**

External legal, regulatory, societal, and cultural constraints imposed on the institution responsible for preserving records, together with the preserver's internal standards, policies, procedures, goals, objectives, and criteria applicable to records in general or of electronic records specifically. An external legal, regulatory, societal, and/or cultural constraint imposed on the institution responsible for preserving records, and/or an internal policy, procedure, goal, or objective, applicable to the preservation of records in general or of electronic records specifically.

**Maintained Information about Digital Components**

Information identifying a stored digital component, and the record(s) that comprise that component, and information enabling the reproduction of the record(s).

**Maintained Information about Records**

Information about records, archival aggregates, and the authenticity of records maintained by the preserver to support preservation and reproduction of authentic copies of the records.

**Management Information about Preservation**

Information about an electronic record that is transferred for preservation and about the processes of bringing in, maintaining, and reproducing the record. This information enables management to evaluate those activities and the preservation strategies and plans they implement, and to determine what changes may be needed in requirements or strategies.

**Mapped Records and Digital Components**

A mapping of information about electronic records reportedly transferred for preservation to the digital file(s) that were transferred, identifying and locating the digital components included in the file(s), linking them to the records that they constitute, and determining whether the information about the records and the digital components in the transfer is appropriate and sufficient for preservation and reproduction of the records.

**Method for Updating Components**

A Targeted Preservation Method used to migrate, transform, or otherwise modify digital components of electronic records in accordance with the preservation strategy applicable to those records.

**Monitoring Method**

A preservation method for determining whether a storage system is properly maintained and functioning or whether storage media are intact and free from problems that would interfere with reading the data written on the media.

**Non-Conforming Digital Components**

A non-conforming digital component is a digital component on an electronic record in a format that prevents or impedes the reproduction of the record in accordance with the applicable preservation strategy.

**Notification of Receipt**

A record sent to the submitter acknowledging that the preserver has received the transfer and, if needed, asking the submitter to address any problems identified in registering the transfer.

**Packaging Method**

A Targeted Preservation Method used to wrap or encapsulate either the Digital Components of an electronic record or a Reconstituted Electronic Record in a form that will enable reproduction of the record on a designated target system, and to combine the resultant digital object with instructions for reproducing the record on the target system.

**Persons Responsible for Preservation**

Persons authorized and charged with carrying out the preservation function or processes within that function.

**Presentation Method**

A Targeted Preservation Method used to present an electronic record in appropriate documentary form.

**Preservable Records**

An electronic record comprised of digital components that all conform to the applicable preservation strategy.

**Preservation Strategy**

A coherent and comprehensive approach for preserving a body of records selected for preservation, derived from archival and institutional requirements, taking into account Evaluation of Execution of current and prior Preservation Strategies and reflecting the State of the Art of Information Technology. A Preservation Strategy includes objectives for maintaining components of electronic records and related metadata and information over time, and for reproducing the records in authentic form, in the order imposed by the records creator, and criteria for evaluating execution of the Preservation Strategy. The strategy includes specifications for handling exceptions to its standards, and identifies the targeted preservation methods to be used. Each Preservation Strategy has a specified scope which may range from all records transferred for preservation through a specific body of records selected for preservation to an individual transfer. The Preservation Strategy also includes one or more preservation action plans. A preservation action plan specifies preservation actions to be taken for the classes of digital objects covered by the Preservation Strategy, and indicates the time or conditions when such actions should be taken. Preservation actions should be planned for the transfer of records to the archives, in accessioning, during maintenance, and even in output.

**Preservation Technology Specifications**

Information about a Targeted Preservation Method.

**Problem Correction Method**

The method stipulated in a preservation strategy for correcting problems of a specified type.

**Record of Accession**

A record documenting the preserver's acceptance of responsibility for preserving a set of electronic records.

**Record Preservation Requirements**

Specifications for reconstituting a record from its digital components and for presenting the reconstituted record for use.

**Record Reconstitution Method**

A Targeted Preservation Method used to assemble or link the Digital Components of an electronic record to enable its presentation in appropriate documentary form.

**Recovered File**

A physical or logical file that has been successfully read, or reconstituted, and placed back into appropriate storage after one or more storage problems affecting the file were found.

**Refreshed File**

A physical or logical file that has been copied from an older storage medium or system to a newer when the older medium or system has been replaced or updated.

**Registered Transfer**

A transfer is determined as authorized if and only if it comprises a record that has been selected for preservation and the record has been submitted either by the record's creator or an agent for the creator.

**Registration Procedure**

The procedures and recordation required by the preserver to identify and track a transfer of electronic records.

**Rejected Accession**

A set of electronic records selected for preservation and transferred to the person responsible for preservation, but not accepted for preservation by the preserver.

**Rejected Transfer**

A transfer of electronic records which does not satisfy requirements for being accessioned or preserved.

**Report of Problem with Retrieval Response**

Information describing why a request for a record or for information about the record cannot be satisfied in whole or in part.

**Report on Authenticity of Records**

An account of preservation activities related to a given record or aggregate of records to support the assertion or certification that reproductions of the record(s) are authentic.

**Reproduced Electronic Record**

An authentic representation or other version of a record reconstituted from its digital components, along with information supporting the interpretation of the record.

**Reproducible Electronic Record**

Digital components of an electronic record, the technical information necessary to reproduce the record from the digital components, information about the authenticity of the record, criteria for certifying the authenticity of the reproduced record, and information that supports interpretation of the record.

**Request Control**

A specification of the deliverable(s) to be produced in response to a request for a record or for information about a record, and the criteria to determine whether the request has been satisfied.

**Request for Digital Components**

An instruction to retrieve the digital components of a record.

**Request for Information about Authenticity**

A request for information already maintained by the preserver concerning the authenticity of a record or a body of records for use in examining records being brought into the

preservation system. This information includes data produced in the appraisal of the records and data developed in examining any prior transfers of records from the same body of records.

**Request for Record and/or Information about Record**

A request to output a preserved record, or to provide information about a record that cannot be found in or derived from archival description or finding aids, but requires either retrieval and processing of the preserved record or of information that is created or specifically maintained in the preservation system.

**Request for Strategy Decision**

A request for a management decision formulated when it is determined that an electronic record cannot be preserved in accordance with the applicable preservation strategy because one or more digital components of the electronic record do not conform with the specifications of that strategy. The request asks for a determination of whether the preservation strategy should be changed or, alternatively, the component(s) should simply be determined to be non-conforming digital components.

**Requested Digital Components**

All of the digital components necessary to satisfy a request for a record.

**Requested Information about a Preserved Record**

The information provided in response to a request for information about a preserved record.

**Requested Reconstituted Record**

The digital components of a requested electronic record linked or reassembled to enable reproduction of the record.

**Requirements for Physical and Logical Files**

Requirements for physical files include standards and specifications of what media are to be used for what purpose, how individual volumes are to be labelled, and how physical files are to be inscribed on the media. Requirements for digital files include, at a minimum, how both physical and logical files are to be identified, how logical files are mapped to physical files, and how integrity of a file is ensured.

**Retrieval Method**

The preservation method to be used to retrieve the digital components of an electronic record from storage.

**Retrieval Request**

A request for retrieval of a record and/or information about the record.

**Retrieved Digital Components**

The digital components of an electronic record retrieved from storage in response to a request.

**Retrieved Information about a Preserved Record**

Information retrieved from storage in response to a retrieval request.

**Retrieved Information about Presumption of Authenticity**

Information about the presumption of authenticity of a body of records transferred to the archives used in deciding whether to accession the records.

**State of the Art of Information Technology**

The state of the art of the technology with respect to its ability to satisfy archival preservation requirements, the state of the underlying computer science with respect to its ability to develop relevant capabilities not within the state of the technology, and the existence and prevalence of applicable standards.

**Storage Method**

A Targeted Preservation Method used to place and maintain digital components in storage, to retrieve them from storage, or to remove them from storage.

**Storage Problem**

A problem with storage media, storage formats, a storage system or facility that could impact on the continued preservation of records.

**Storage Update Method**

A method used to ensure that stored digital components are completely and correctly brought forward when any component of a storage subsystem is changed or when digital files are moved or migrated to newer storage media.

**Stored Digital File**

A digital file placed in a storage system on digital media.

**Synthesized Requirements for Preservation**

A coherent set of requirements for preserving electronic records. Each set of requirements applies to a specified domain of digital objects or records. The digital object domains include the storage media to be used for transfer and maintenance of digital files, and the digital files themselves. Requirements for media include standards and specifications of what media are to be used for what purpose, how individual volumes are to be labelled, and how physical files are to be inscribed on the media. Requirements for digital files include, at a minimum, how both physical and logical files are to be identified, how logical files are mapped to physical files, and how the integrity of a file is ensured. A record domain is either a body of records selected for preservation, one or more archival aggregates within that body, or the records included in a transfer from the selected body of records.

**Targeted Preservation Method**

Software used to implement a preservation strategy or strategies. A preservation method is targeted by specifying the bodies of records, types of electronic records, and/or classes of digital components to which it will apply, along with conditions for its application to each target group.

**Technological Infrastructure**

Hardware and common services software—such as operating systems, communications software, database management systems, electronic mail applications—necessary for the implementation of preservation methods and the execution of the preservation processes defined in the “Preserve Electronic Records” model.

**Terms and Conditions of Transfer**

The specifications governing the transfer of a body of electronic records selected for preservation to the preserver. These specifications include, at a minimum, when the records should be transferred, whether the entire body of records should be transferred at one time or incrementally, the types of records or selection criteria for including records in a transfer, what information should accompany the transfer, label and format standards for transfer files, and what physical medium or telecommunications channel should be used to effect the transfer.

**Transfer of Electronic Records Selected for Preservation**

The digital components, the accompanying information related to preservation and reproduction of the related record, and transmittal information.

**Types of Record Aggregates**

A type of archival aggregate expresses the general logical or physical method for ordering of members of an archival aggregate of records, from aggregates of individual records through series to the entire archival fonds.

**Updated Digital Components**

An updated digital component is a component that has been modified under a preservation action plan.

**Updated Storage Information**

Information indicating a change in the location of a digital component in storage, the occurrence of a storage problem, the action taken to correct a storage problem, the results of such action, or the copying of digital files from older to new storage media.