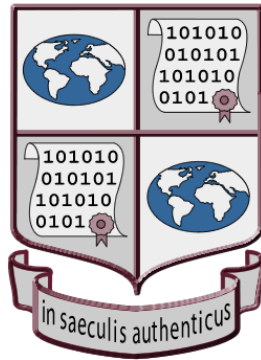


InterPARES Project

International Research on Permanent Authentic Records in Electronic Systems



InterPARES 3 (2007-2012) An Overview

SAA-Austin 2009



The Goal of InterPARES 1 & 2


To develop the body of **theory** and **methods** necessary to ensure that **digital records** will be **created accurate and reliable** and **maintained and preserved authentic**, both in the long and the short term, for the use of those who created them and of society at large, regardless of technology obsolescence and media fragility.



Key IP 1 & 2 Final Products

Policy Framework

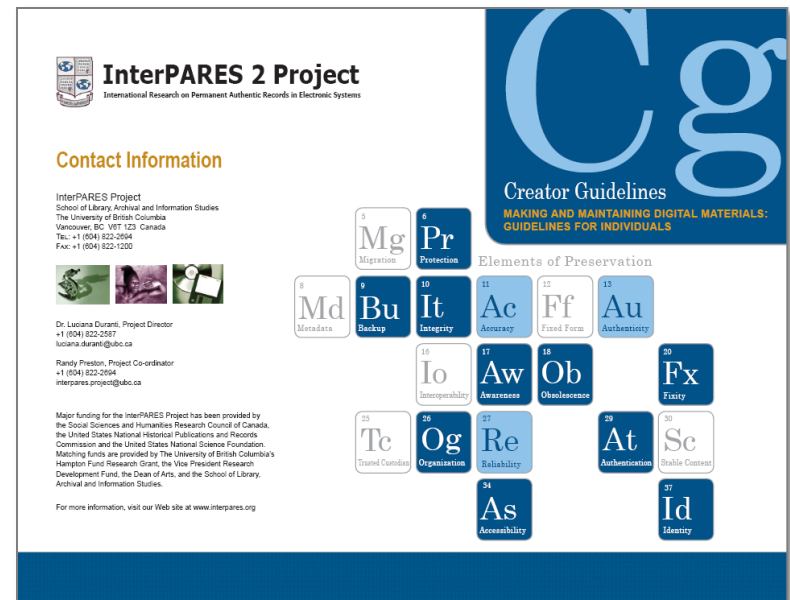
A framework of principles guiding the development of policies for records creating and preserving organizations

 InterPARES 2 Project International Research on Permanent Authentic Records in Electronic Systems	Policy Framework, v1.2 (March 2005) L. Duranti, J. Suderman and M. Todd
Title: A Framework of Principles for the Development of Policies, Strategies and Standards for the Long-term Preservation of Digital Records	Table of Contents
Status: Final (public)	INTRODUCTION 1
Version: 1.2	STRUCTURE OF THE PRINCIPLES 3
Submission Date: June 2005	PRINCIPLES FOR RECORDS CREATORS 4
Release Date: March 2008	(C1) Digital objects must have a stable content and a fixed documentary form to be considered records and to be capable of being preserved over time. (P1) 4
Author: The InterPARES 2 Project	(C2) Record creation procedures should ensure that digital components of records can be separately maintained and reassembled over time. (P4) 5
Writer(s): Luciana Duranti, Jim Suderman and Malcolm Todd	(C3) Record creation and maintenance requirements should be formulated in terms of the purposes the records are to fulfil, rather than in terms of the available or chosen record-making or recordkeeping technologies. (P6) 5
Project Unit: Policy Cross-domain	(C4) Record creation and maintenance policies, strategies and standards should address the issues of record reliability, accuracy and authentic evidence separately. (P2) 5
URL: http://www.interpares.org/display_file.cfm?doc=ip2/pub/policy_framework_document.pdf	(C5) A trusted record-making system should be used to generate records that can be presumed reliable. (C6) A trusted recordkeeping system should be used to maintain records that can be presumed accurate and authentic. (P11, P12) 9
	(C7) Preservation considerations should be embedded in all activities involved in record creation and maintenance if a creator seeks to maintain and preserve accurate and authentic records beyond its operational business needs. (P7) 9
	(C8) A trusted custodian should be designated as the preserver of the creator's records. (P1) 9
	(C9) All business processes that contribute to the creation and/or use of the same records should be explicitly documented. (P10) 9
	(C10) Third-party intellectual property rights attached to the creator's records should be explicitly identified and managed in the record-making and recordkeeping systems. (P8) 11
	(C11) Privacy rights and obligations attached to the creator's records should be explicitly identified and protected in the record-making and recordkeeping systems. (P9) 11
	(C12) Procedures for sharing records across different jurisdictions should be established on the basis of the legal requirements under which the records are created. (P13) 12
	(C13) Reproductions of a record made by the creator in its usual and ordinary course of business and for its purposes and use, as part of its recordkeeping activities, have the same effects as the first manifestation, and each is to be considered as any given time the record of the creator. (P3) 12
	PRINCIPLES FOR RECORDS PRESERVERS 13
	(P1) A designated records preserver fulfils the role of trusted custodian. (C8) 13
	Records preservation policies, strategies and standards should address the issues of record accuracy and authentic evidence separately. (C4) 14
	(P3) Reproductions of a creator's records made for purposes of preservation by their trusted custodian are to be considered authentic copies of the creator's records. (C13) 15
	(P4) Records preservation procedures should ensure that the digital components of records can be separately preserved and reassembled over time. (C2) 15
	(P5) Authentic copies should be made for preservation purposes only from the creator's records, that is, from digital objects that have a stable content and a fixed documentary form. (C1) 16
	(P6) Preservation requirements should be articulated in terms of the purpose or desired outcome of preservation, rather than in terms of the specific technologies available. (C3) 17
	(P7) Preservation considerations should be embedded in all activities involved in each phase of the records lifecycle if their continuing authentic evidence over the long term is to be assured. (C7) 19
	(P8) Third-party intellectual property rights attached to the creator's records should be explicitly identified and managed in the preservation system. (C10) 19
	(P9) Privacy rights and obligations attached to the creator's records should be explicitly identified and protected in the preservation system. (C11) 19
	(P10) Archive appraisal should identify and manage all the business processes that contribute to the creation and/or use of the same records. (C9) 20
	(P11) Archive appraisal should assess the authenticity of the records. (C4) 20
	(P12) Archive description should be used as a collective authentication of the records in an archival context. (C5) 22
	(P13) Procedures for providing access to records created in one jurisdiction to users in other jurisdictions should be established on the basis of the legal environment in which the records were created. (C13) 21
	InterPARES 2 Project, Policy Cross-domain 1

IP 1 & 2 Final Products

Creator Guidelines

Recommendations for making and maintaining digital materials for individuals and small communities of practice



The image shows the cover of the 'InterPARES 2 Project Creator Guidelines'. The top left features the InterPARES 2 Project logo and name. Below it is the contact information for the project, including the names and contact details of Dr. Luciana Duranti and Randy Preston. The right side of the cover has a large 'Cg' logo and the title 'Creator Guidelines: MAKING AND MAINTAINING DIGITAL MATERIALS: GUIDELINES FOR INDIVIDUALS'. The bottom right section is titled 'Elements of Preservation' and contains a grid of 18 boxes, each representing a different element of preservation with a chemical symbol and a brief description. The elements are: 5. Migration (Mg), 6. Protection (Pr), 8. Metadata (Md), 9. Backup (Bu), 10. Integrity (It), 11. Accuracy (Ac), 12. Fixed Form (Ff), 13. Authenticity (Au), 15. Interpretability (Io), 16. Awareness (Aw), 17. Obsolescence (Ob), 18. Fixity (Fx), 25. Trusted Content (Tc), 26. Organization (Og), 27. Reliability (Re), 28. Authentication (At), 29. Stable Context (Sc), 34. Accessibility (As), and 37. Identity (Id).

InterPARES 2 Project
International Research on Permanent Authentic Records in Electronic Systems

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Major funding for the InterPARES Project has been provided by the Social Sciences and Humanities Research Council of Canada, the United States National Historical Publications and Records Commission and the United States National Science Foundation. Matching funds are provided by The University of British Columbia's Hargrave Fund Research Grant, the Vice President Research Development Fund, the Dean of Arts, and the School of Library, Archival and Information Studies.

For more information, visit our Web site at www.interpares.org

Creator Guidelines
MAKING AND MAINTAINING DIGITAL MATERIALS:
GUIDELINES FOR INDIVIDUALS

Elements of Preservation


5 Mg Migration	6 Pr Protection		
8 Md Metadata	9 Bu Backup	10 It Integrity	11 Ac Accuracy
		12 Ff Fixed Form	13 Au Authenticity
		15 Io Interpretability	16 Aw Awareness
		17 Ob Obsolescence	18 Fx Fixity
25 Tc Trusted Content	26 Og Organization	27 Re Reliability	28 At Authentication
		34 As Accessibility	29 Sc Stable Context
			37 Id Identity



IP 1 & 2 Final Products

Preserver Guidelines

Recommendations for digital preservation for archival institutions



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International Research on Permanent Authentic Records in Electronic Systems

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For more information, visit our Web site at www.interpares.org

Elements of Preservation

5. Mg Migrating	6. Fe Feasibility				
8. Be Benchmark Requirements	9. Id Identifying	10. Pr Preserving	11. Ac Accuracy	12. St Storing	13. Au Authenticity
15. De Describing	16. Ma Managing	17. Ob Obsolescence	20. Mo Monitoring		
25. Tc Transfer Candidates	26. Op Outputting	27. Ba Baseline Requirements	28. Ap Appraising	29. Tr Transferring	
	34. Ac Acquiring	37. Do Documenting			

Pg

Preserver Guidelines

PRESERVING DIGITAL RECORDS:
GUIDELINES FOR ORGANIZATIONS



IP 1 & 2 Final Products

Benchmark and Baseline Requirements

Authenticity requirements for assessing and maintaining the authenticity of digital records

<< REQUIREMENT SET A >>

To support a presumption of authenticity the preserver must obtain evidence that:

REQUIREMENT A.1: Expression of Record Attributes and Linkage to Record

The value of the following attributes are explicitly expressed and inextricably linked to every record. These attributes can be distinguished into categories, the first concerning the identity of records, and the second concerning the integrity of records.

A.1.a Identity of the record:

- A.1.a.i Names of the persons concurring in the formation of
 - name of author^a
 - name of writer^b (if different from the author)
 - name of originator^c (if different from name of author)
 - name of addressee^d

A.1.a.ii Name of action or matter

A.1.a.iii Date(s) of creation and transmission, that is:

- chronological date^e
- received date^f
- archival date^g
- transmission date(s)^h

A.1.a.iv Expression of archival bondⁱ (e.g., classification code)

A.1.a.v Indication of attachments

A.1.b Integrity of the record:

A.1.b.i Name of handling office^j

A.1.b.ii Name of office of primary responsibility^k (if different from the handling office)

A.1.b.iii Indication of types of annotations added to the record

A.1.b.iv Indication of technical modifications^l

REQUIREMENT A.2: Access Privileges

The creator has defined and effectively implemented access privilege modification, annotation, relocation, and destruction of records.

<< REQUIREMENT SET A (cont) >>

REQUIREMENT A.3: Protective Procedures: Loss and Corruption of Records

The creator has established and effectively implemented procedures to prevent, detect, correct loss or corruption of records.

REQUIREMENT A.4: Protective Procedures: Media and Technology

The creator has established and effectively implemented procedures to guarantee the identity and integrity of records against media deterioration and across technological change.

REQUIREMENT A.5: Establishment of Documentary Forms

The creator has established the documentary forms of records associated with each process either according to the requirements of the juridical system or those of the creator.

REQUIREMENT A.6: Authentication of Records

If authentication is required by the juridical system or the needs of the organization, the creator has established specific rules regarding which records must be authenticated, by what means and by whom.

REQUIREMENT A.7: Identification of Authoritative Record

If multiple copies of the same record exist, the creator has established procedures to identify which record is authoritative.

REQUIREMENT A.8: Removal and Transfer of Relevant Documentation

If there is a transition of records from active status to semi-active and inactive status, the creator has established and effectively implemented procedures determining what documentation has to be removed and transferred to the preserver along with the records.

<< REQUIREMENT SET B >>

The preserver should be able to demonstrate that:

REQUIREMENT B.1: Controls over Records Transfer, Maintenance, and Reproduction
The procedures and system(s) used to transfer records to the archival institution or program; maintain them; and reproduce them embody adequate and effective controls to guarantee the records' identity and integrity, and specifically that:

B.1.a Unbroken custody of the records is maintained;

B.1.b Security and control procedures are implemented and monitored; and

B.1.c The content of the record and any required annotations and elements of documentary form remain unchanged after reproduction.

REQUIREMENT B.2: Documentation of Reproduction Process and its Effects

The activity of reproduction has been documented, and this documentation includes:

B.2.a The date of the records' reproduction and the name of the responsible person;

B.2.b The relationship between the records acquired from the creator and the copies produced by the preserver;

B.2.c The impact of the reproduction process on their form, content, accessibility and use; and

B.2.d In those cases where a copy of a record is known not to fully and faithfully reproduce the elements expressing its identity and integrity, such information has been documented by the preserver, and this documentation is readily accessible to the user.


REQUIREMENT B.3: Archival Description

The archival description of the fonds containing the electronic records includes—in addition to information about the records' juridical-administrative, provenancial, procedural, and documentary contexts—information about changes the electronic records of the creator have undergone since they were first created.

IP 1 & 2 Final Products

File Format Selection Guidelines

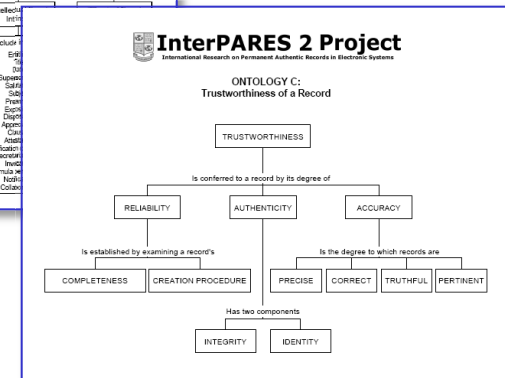
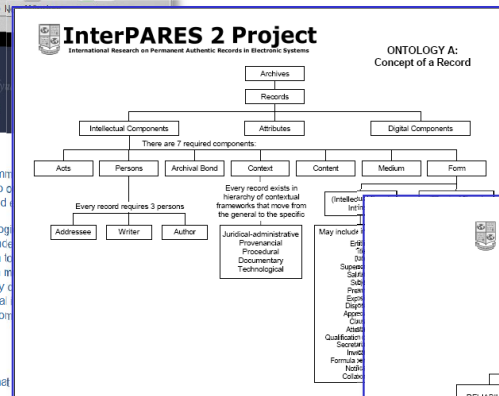
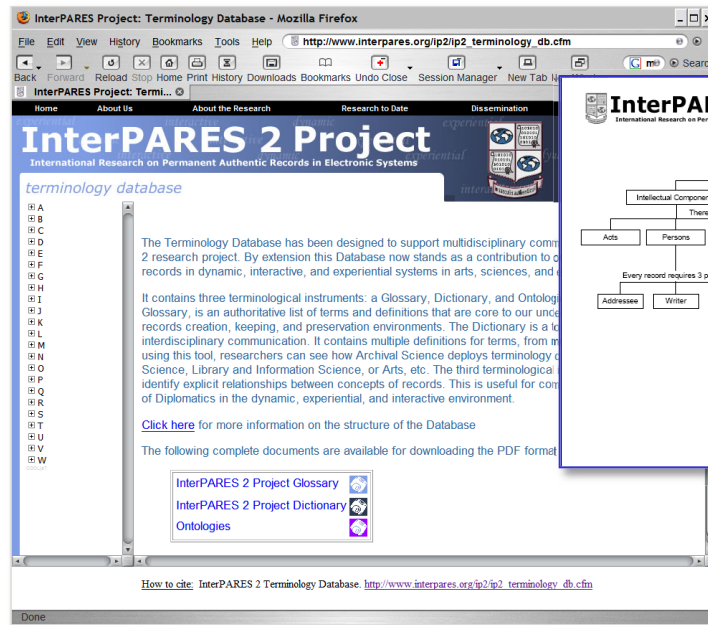
Principles and criteria for adoption of file formats, wrappers and encoding schemes

 InterPARES 2 Project <small>International Research on Permanent Authentic Records in Electronic Systems</small>	<small>Selecting Digital File Formats for Long-Term Preservation</small> <small>B. MacLellan</small>
Title: General Study 11 Final Report: Selecting Digital File Formats for Long-Term Preservation	Table of Contents
Status: Final (public)	Introduction 1
Version: 1.1	1. Terminology 1
Release: March 2007	1.1 What is a file format? 1
Author: The InterPARES 2 Project	1.2 "Open" file formats 3
Writer(s): Evelyn Peters McLellan	1.3 "Standard" file formats 4
Project Unit: Domain 3 (Methods of Appraisal & Preservation)	1.4 "Stable" file formats 5
URL: http://www.interpares.org/display_file.cfm?doc=ip2_file_formats(complete).pdf [English]	1.5 Standardizing terms 5
http://www.interpares.org/display_file.cfm?doc=ip2_file_formats_tchiers_numeriques.pdf [French]	2. Selection criteria 6
	2.1 Widespread use 6
	2.2 Non-proprietary origin 7
	2.3 Availability of specifications 8
	2.4 Platform independence (interoperability) 9
	2.5 Compression 10
	2.6 Discussion of criteria 11
	3. Policy implications 13
	4. Recommendations for developing and implementing policies 16
	Appendix A: list of repositories reviewed 18
	Appendix B: URLs of documents reviewed 19
	Bibliography 21
	<small>InterPARES 2 Project Domain 3 v1.1 (March 2007) 1</small>

IP 1 & 2 Final Products

Terminology Database

Including a glossary, a dictionary and ontologies



Two Records Management Models

[illegible]

Luciana Duranti, ed. *The Long-term Preservation of Authentic Electronic Records: Findings of the InterPARES Project* (San Miniato: Archilab, 2005). Available on line at

Luciana Duranti and Randy Preston, eds.
*InterPARES 2: Interactive, Dynamic and
 Experiential Records* (Roma: ANAI, 2008).
 Available on line at

Why a Third Phase?

A study of the effectiveness of workshop and seminar experiences for increasing archivists' skills in digital preservation and their ability to implement these skills in their repositories has shown that **very few participants were able to implement the skills** once they returned to their work environments

Wendy M. Duff, M., Amy Marshall, Carrie Limkilde and Marlene van Ballegooie (2006)
“Digital Preservation Education: Educating or Networking?” *The American Archivist*
69(1): 188-212. In the context of ERPANET.

Feedback on the outcomes of the two phases of InterPARES from archivists working in institutions smaller than national archives has consistently shown **concern about their downward-scalability and their relevance** to small and medium sized organizations



Goal of InterPARES 3

To **enable small and low-resources** public and private **archival organizations and programs** (units within records creating organizations)— which are responsible for the digital records resulting from government, business, research, art and entertainment, social and/or community activities—**to preserve** over the long term **authentic records** that satisfy the requirements of their stakeholders and society's needs for an adequate record of its past.



Expected Products

1. **Policies, strategies and procedures** for small archival organizations or programs, and **guidelines** for the records creators whose records fall under their responsibility.
2. **Action plans** for the specific case studies carried out in the course of the Project.
3. **Criteria to determine “most-at-risk” materials** e.g., checklist of age (date created, date last accessed), physical carrier, operating system, software used, equipment required and its availability, etc.

Expected Products (cont.)

4. **Guidelines for addressing digital preservation requirements** that apply to specific types of records, but not to other materials.
5. **Evaluation models for assessing the degree of success**, if any, of the chosen preservation action.
6. **Cost-benefit models** for various types of archival organizations or programs and for various kinds of records and/or systems.
7. **Ethical models** that identify and make explicit the consequences for individuals and society of types of preservation measures or lack thereof.

Expected Products (cont.)

8. **Training and education modules** for preservers, professional associations and university programs; and **awareness and education modules for non-archivists**, such as IT professionals, vendors and service providers; human resources and financial managers; doctors, communities of practice, members of the general public, etc.; and **a strategy for delivering them**.
9. **Position papers** directed to key regulating, auditing and policy-making bodies, advocating the vital need of embedding planned digital preservation in the requirements they issue for the activities they regulate, audit or control.

3 Primary Components

1. **Research component**

(short-term and long-term projects, including case studies related to policy, records or systems, and general studies)

2. **Education and training component**

(in the context of research projects, apprenticeships, activities credited as part of coursework, etc.)

3. **Knowledge-mobilization component**

(workshops, seminars, colloquia, policy manuals and other publications, public lectures, etc., that meet the needs of both academic and community partners)



InterPARES 3 Composition

International Alliance

15 regional, national & multinational TEAMs:

TEAM (Theoretical Elaboration into Archival Management)
Canada (including US); Africa; Brazil; Catalonia; China;
Colombia; Italy; Korea; Malaysia; Mexico; Netherlands &
Belgium; Norway; Singapore; Turkey; and UK & Ireland

Director: Luciana Duranti

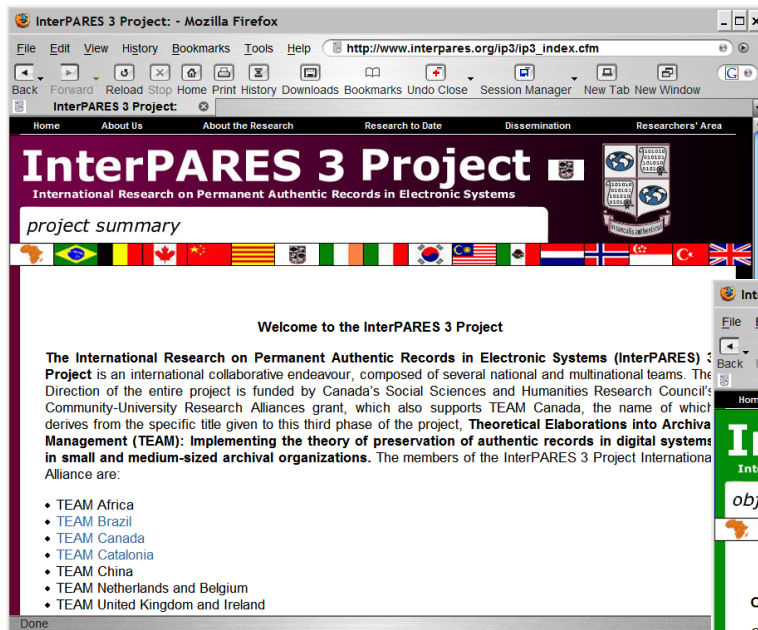
Headquarters: UBC - SLAIS (facilities provided by UBC)

Summits: Twice a year, each time hosted by a different country

Symposia: Once a year, each time hosted by a different country



InterPARES 3 Web Site



www.interpares.org





Please, give us feedback on our Preliminary Findings

InterPARES Web Site

www.interpares.org

