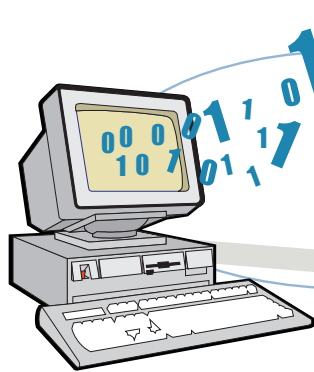# InterPARES Project

International Research on Permanent Authentic Records in Electronic Systems

How **do you know it's** **the** *real* **thing?**

Today?

100 years from *now*?

Research Domain 1

What is required to prove the authenticity of electronic records?
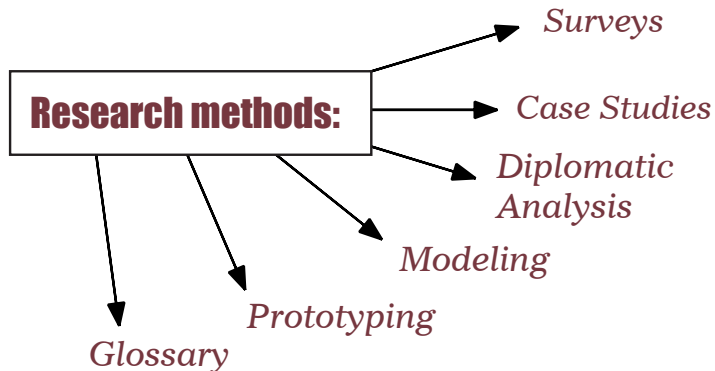
Research Domain 2

How do we select electronic records for preservation?

Research Domain 3

How do we preserve authentic electronic records?

Research Domain 4

What policies, strategies & standards will protect the authenticity of electronic records over time?

Research methods:

Surveys

Case Studies

Diplomatic Analysis
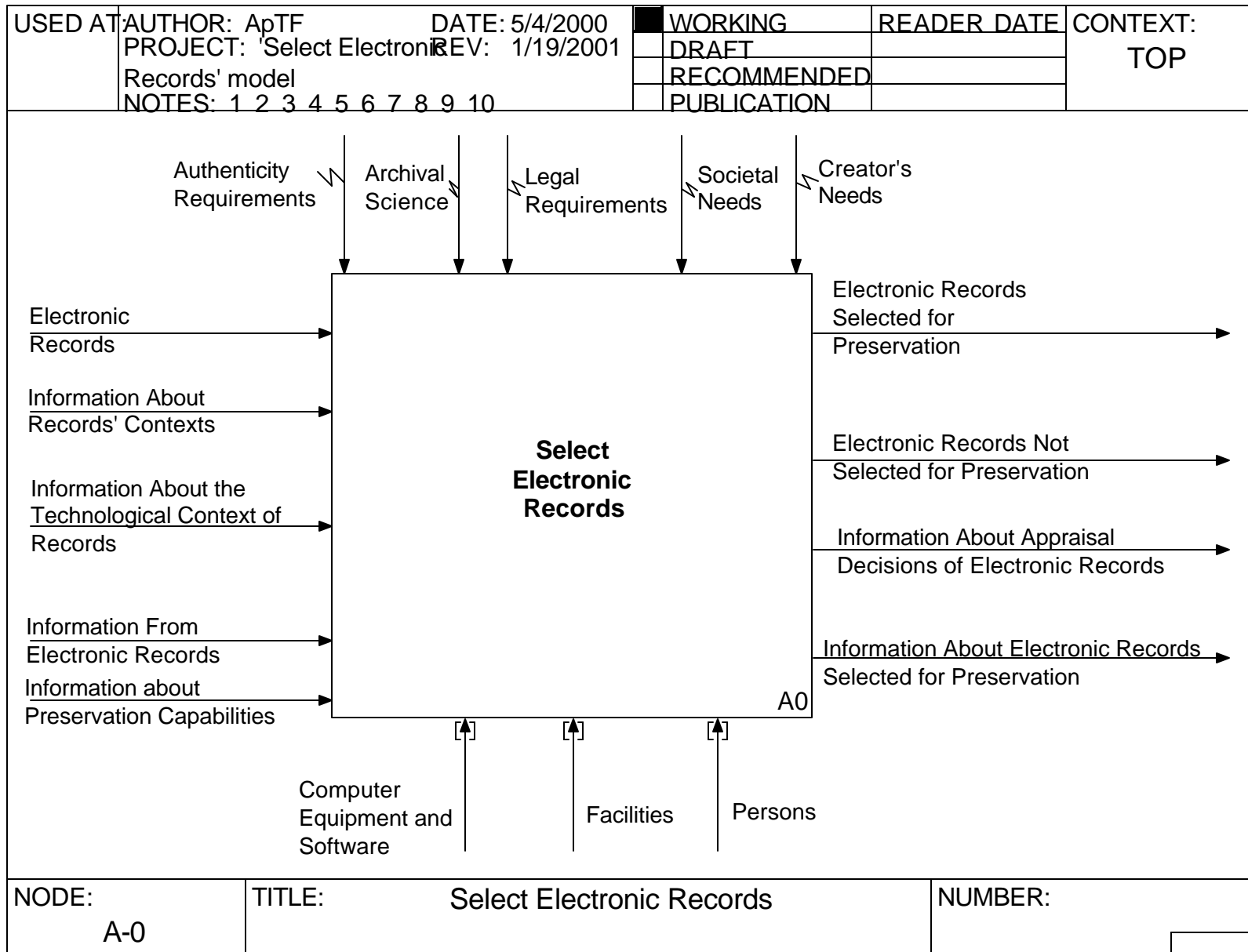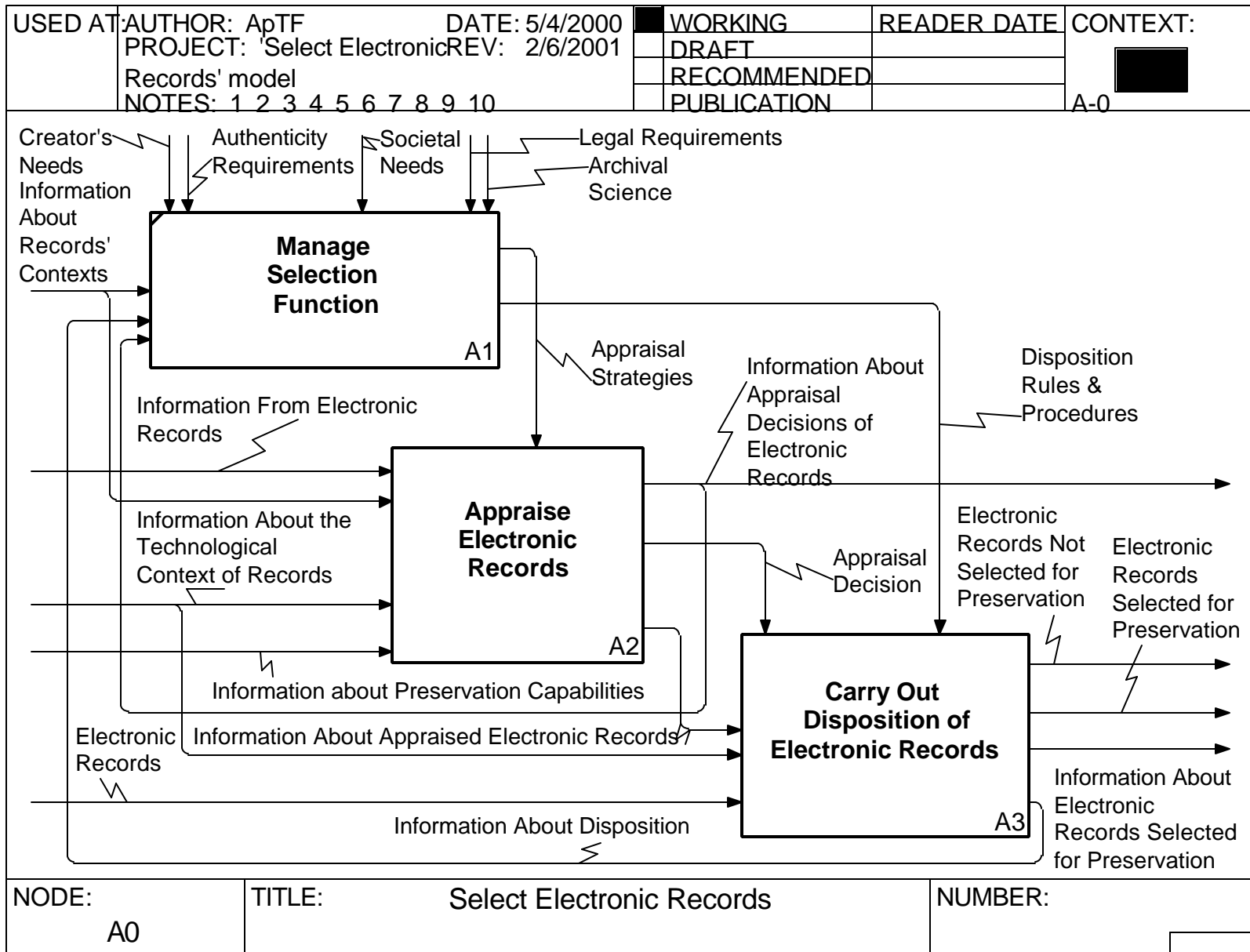
Modeling

Prototyping

Glossary

Research benefits:

Holding *governments, organizations, and individuals accountable*
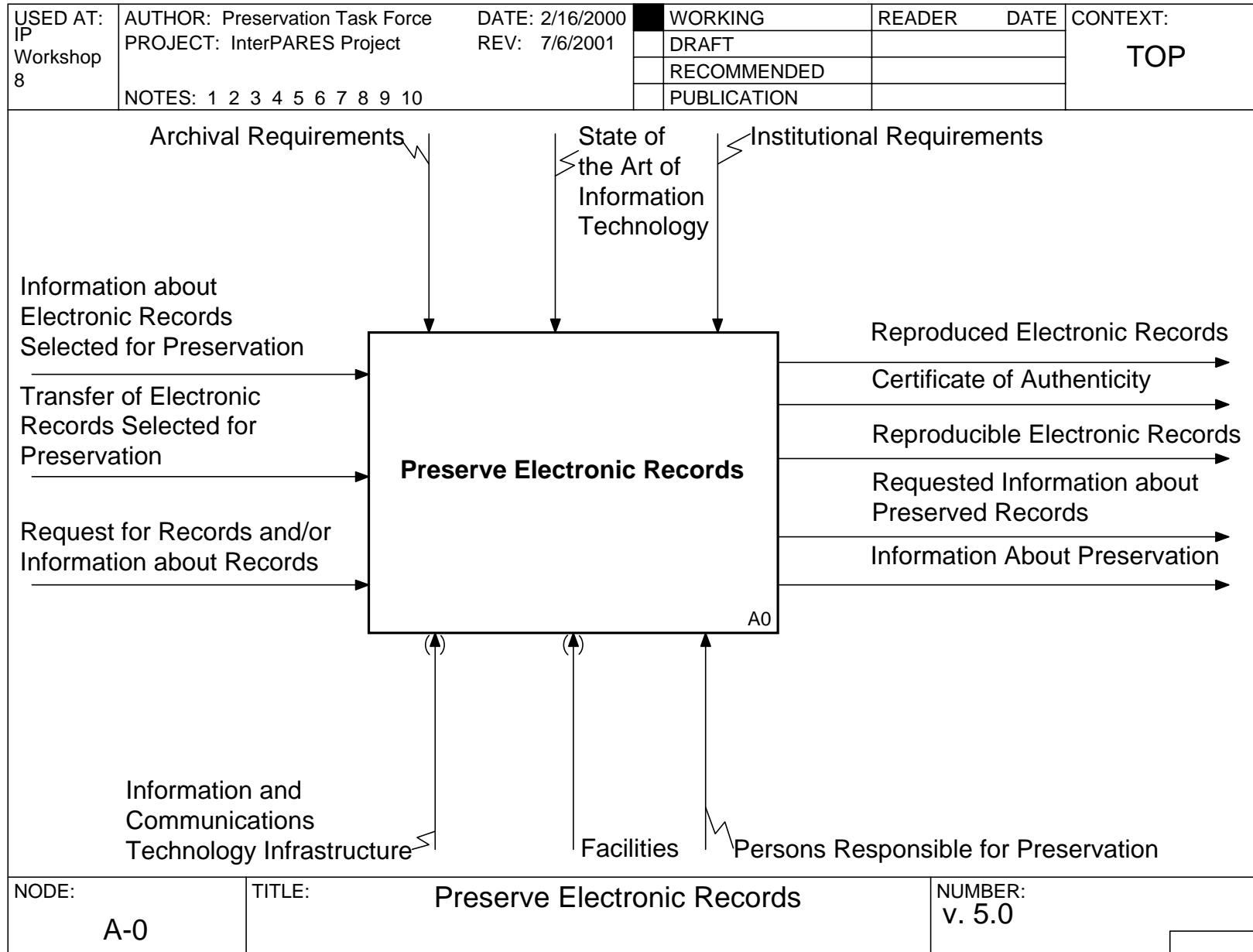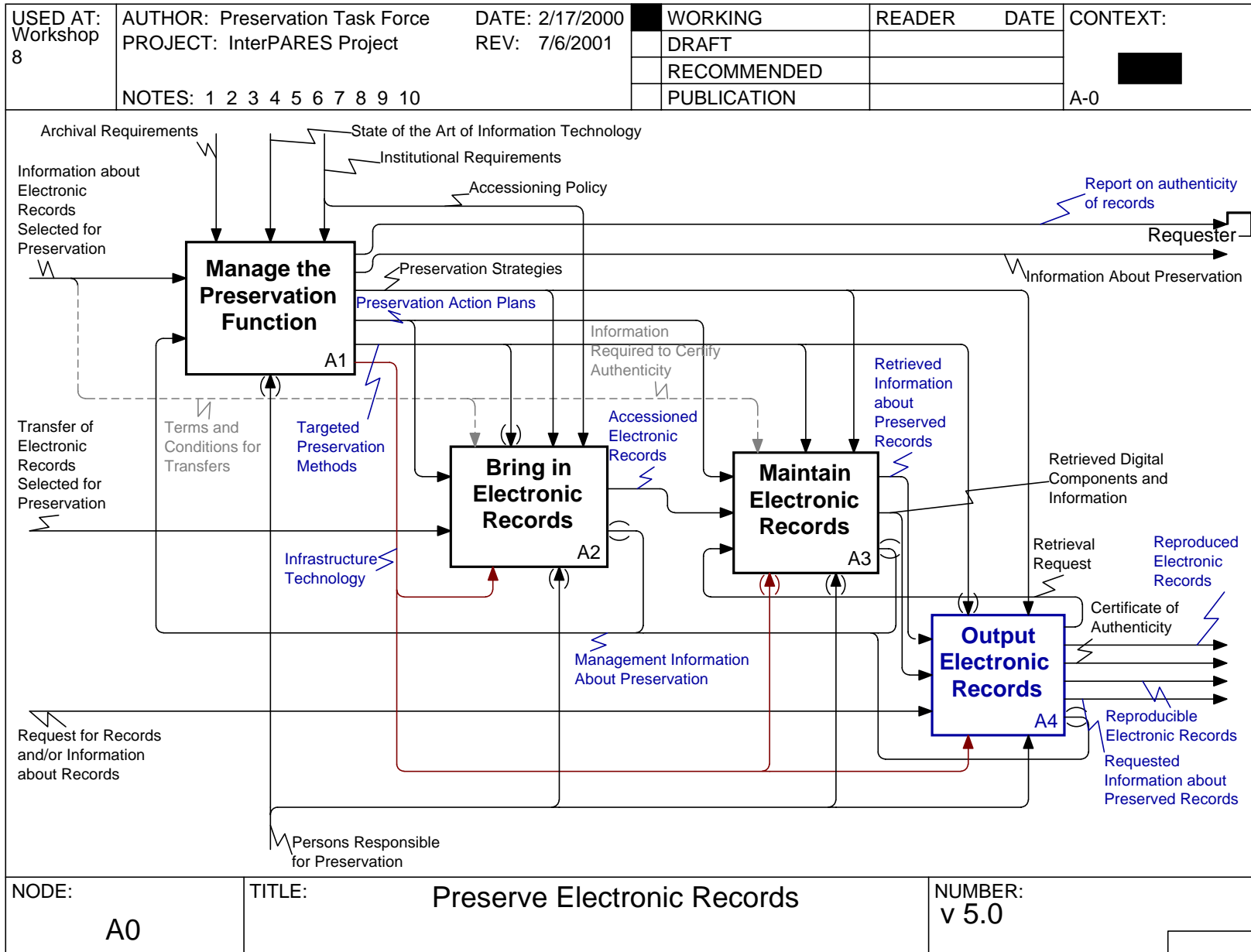
Ensuring *the trustworthiness of research sources and data*

Preserving *the authentic recorded memory of our society*

USED AT:	AUTHOR: ApTF DATE: 5/4/2000	■ WORKING	READER DATE	CONTEXT:
	PROJECT: 'Select Electronic REV: 1/19/2001	DRAFT		
	Records' model	RECOMMENDED		TOP
	NOTES: 1 2 3 4 5 6 7 8 9 10	PUBLICATION		

Authenticity Requirements

Archival Science

Legal Requirements

Societal Needs

Creator's Needs

Electronic Records

Information About Records' Contexts

Information About the Technological Context of Records

Information From Electronic Records

Information about Preservation Capabilities

Select Electronic Records

A0

Electronic Records Selected for Preservation

Electronic Records Not Selected for Preservation

Information About Appraisal Decisions of Electronic Records

Information About Electronic Records Selected for Preservation

Computer Equipment and Software

Facilities

Persons

NODE: A-0	TITLE: Select Electronic Records	NUMBER:

USED AT:	AUTHOR: ApTF	DATE: 5/4/2000	■	WORKING	READER DATE	CONTEXT:
	PROJECT: 'Select Electronic	REV: 2/6/2001		DRAFT		
	Records' model			RECOMMENDED		■
	NOTES: 1 2 3 4 5 6 7 8 9 10			PUBLICATION		A-0

Creator's Needs Information About Records' Contexts

Authenticity Requirements

Societal Needs

Legal Requirements

Archival Science

Manage Selection Function — A1

Information From Electronic Records

Information About the Technological Context of Records

Appraisal Strategies

Information About Appraisal Decisions of Electronic Records

Disposition Rules & Procedures

Appraise Electronic Records — A2

Appraisal Decision

Electronic Records Not Selected for Preservation

Electronic Records Selected for Preservation

Information about Preservation Capabilities

Electronic Records

Information About Appraised Electronic Records

Carry Out Disposition of Electronic Records — A3

Information About Electronic Records Selected for Preservation

Information About Disposition

| NODE: A0 | TITLE: Select Electronic Records | NUMBER: |

USED AT: IP Workshop 8	AUTHOR: Preservation Task Force PROJECT: InterPARES Project NOTES: 1 2 3 4 5 6 7 8 9 10	DATE: 2/16/2000 REV: 7/6/2001	■ WORKING	READER DATE	CONTEXT:
			DRAFT		TOP
			RECOMMENDED		
			PUBLICATION		

Archival Requirements

State of
the Art of
Information
Technology

Institutional Requirements

Information about
Electronic Records
Selected for Preservation

Reproduced Electronic Records

Transfer of Electronic
Records Selected for
Preservation

Certificate of Authenticity

Reproducible Electronic Records

Preserve Electronic Records

Requested Information about
Preserved Records

Request for Records and/or
Information about Records

Information About Preservation

A0

Information and
Communications
Technology Infrastructure

Facilities

Persons Responsible for Preservation

NODE: A-0	TITLE: Preserve Electronic Records	NUMBER: v. 5.0

USED AT: Workshop 8	AUTHOR: Preservation Task Force PROJECT: InterPARES Project	DATE: 2/17/2000 REV: 7/6/2001	■	WORKING	READER DATE	CONTEXT:
				DRAFT		
				RECOMMENDED		■
	NOTES: 1 2 3 4 5 6 7 8 9 10			PUBLICATION		A-0

Archival Requirements

State of the Art of Information Technology

Institutional Requirements

Information about Electronic Records Selected for Preservation

Accessioning Policy

Report on authenticity of records

Requester

Manage the Preservation Function

A1

Preservation Strategies

Information About Preservation

Preservation Action Plans

Information Required to Certify Authenticity

Retrieved Information about Preserved Records

Transfer of Electronic Records Selected for Preservation

Terms and Conditions for Transfers

Targeted Preservation Methods

Accessioned Electronic Records

Bring in Electronic Records

A2

Maintain Electronic Records

A3

Retrieved Digital Components and Information

Infrastructure Technology

Retrieval Request

Reproduced Electronic Records

Management Information About Preservation

Output Electronic Records

A4

Certificate of Authenticity

Request for Records and/or Information about Records

Reproducible Electronic Records

Requested Information about Preserved Records

Persons Responsible for Preservation

NODE: A0	TITLE: Preserve Electronic Records	NUMBER: v 5.0

Preserving Authentic Electronic Records
A Report on the InterPARES Project

US-InterPARES Project
International Research on Permanent Authentic Records in Electronic Systems

Philip B. Eppard
ECURE 2001

Purpose of the InterPARES Project

- To develop the theoretical and methodological knowledge essential for the permanent preservation of records generated electronically.

- To formulate model policies, strategies, and standards capable of ensuring their preservation.

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International Research on Permanent Authentic Records in Electronic Systems

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Previous UBC Project

Born out of previous UBC research.
- "The Preservation of the Integrity of Electronic Records" ("The UBC Project").
- Defined the requirements for creating, handling and preserving reliable and authentic electronic records in *active* recordkeeping systems.

With U.S. Department of Defense.
- Developed DoD Records Management standard 5015.2.

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International Research on Permanent Authentic Records in Electronic Systems

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Participants

- International Team
- National Research Teams
  - Canada, USA, Italy, Australia, China
- Multi-National Research Teams
  - Europe (UK, Ireland, France, Netherlands, Sweden)
- National Archival Institutions
- Global Industry Team

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International Research on Permanent Authentic Records in Electronic Systems
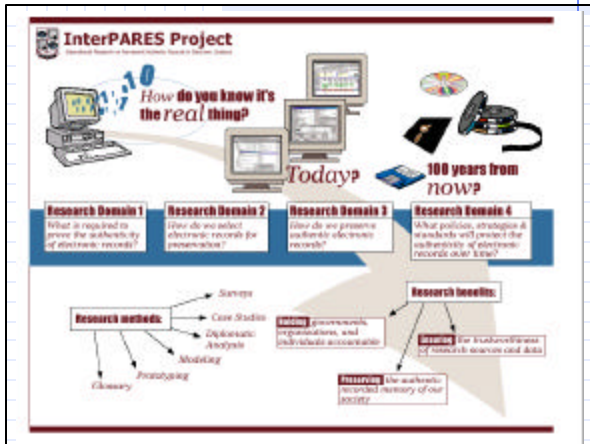
Organization

Task Forces

1. Authenticity 3. Preservation
2. Appraisal 4. Strategies

Glossary Committee

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Methods & Analysis

- Contemporary Archival Diplomatics

- Functional Analysis

- Narrative Analysis

- IDEF0 Activity Modeling

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Authenticity Task Force

Research Question:
- What is required to prove the authenticity of electronic records?

Research Methods:
- Literature Review
- Functional & Narrative Analysis of Case Studies
- Contemporary Archival Diplomatic Analysis

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Template for Analysis

Based on elements of records identified
by the study of diplomatics

1. Medium
2. Extrinsic elements
3. Intrinsic elements
4. Annotations
5. Context or framework

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Systems Studied by ATF

- Relational databases
- Accounting systems
- Records management systems
- Patent grants systems
- Student Registration Systems
- Info Management Systems
- Government Registries
- Computer Aided Design

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Conceptual Requirements for Assessing Authenticity

Benchmark requirements

- Before records are transferred to the preserver's custody

Baseline requirements

- After records are transferred to the preserver's custody

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Benchmark Requirements

1. Expression of Record Attributes & Linkage to Record
2. Access Privileges
3. Protective Procedures: Loss and Corruption of Records
4. Protective Procedures: Media and Technology

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Benchmark Requirements (cont.)

5. Establishment of Documentary Forms

6. Authentication of Records

7. Identification of Authoritative Record

8. Removal and Transfer of Relevant Documentation

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Baseline Requirements

1. Controls over Records Transfer, Maintenance, and Reproduction

2. Documentation of Reproduction Process and its Effects

3. Archival Description

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Authenticity Findings

- Authenticity often expressed implicitly, rather than explicitly

- Medium in not significant in assessing authenticity of records

- Records are inextricably embedded in their contexts

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Appraisal Task Force

Research Question:
- How do we select electronic records for preservation?

Research Methods
- Literature Review
- Activity Modeling

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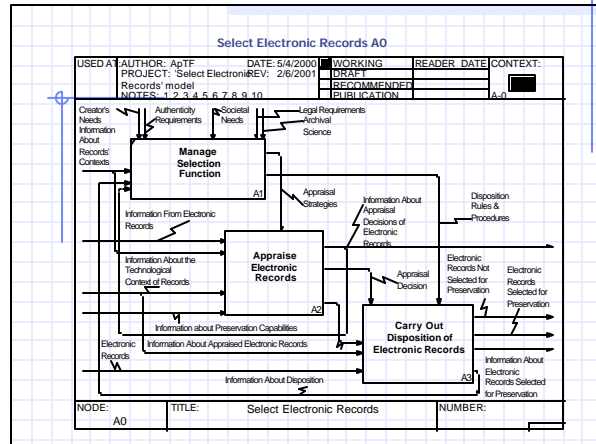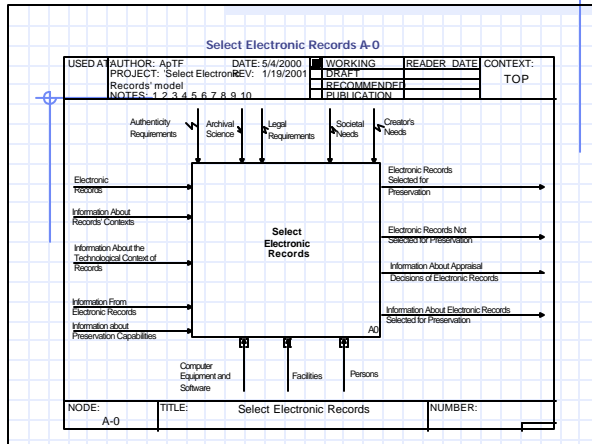
Appraisal Findings

- Assess authenticity of the records

- Determine the feasibility of preservation

- Records must be appraised early

- The appraisal decision must be regularly monitored

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Preservation Task Force

Research Question:
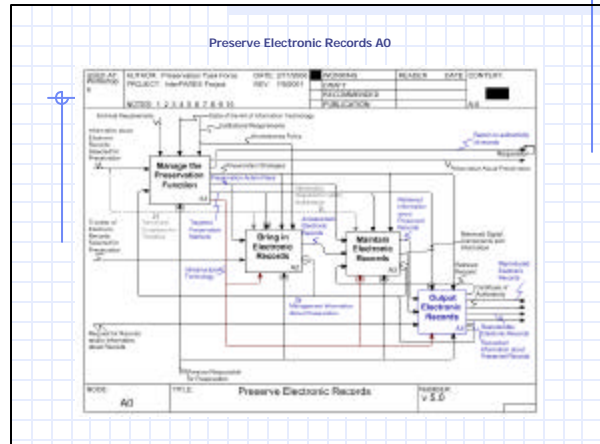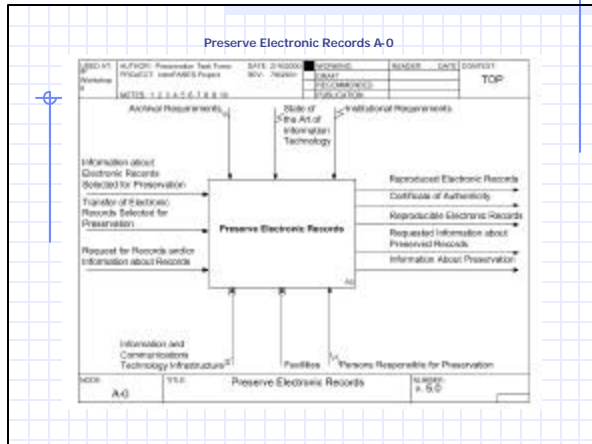- How do we preserve authentic electronic records?

Research Methods:
- Literature Review
- Surveys
- Case Studies
- Activity Modeling

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Preserve Electronic Records A-0

Preserve Electronic Records A0

Preservation Findings

- Identification of digital components of electronic records

- Systematic & dynamic controls for preservation

- Archival requirements for preservation

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Preservation Findings (cont.)

- 'Original' electronic records vs. copies of electronic records

- Preservation means reproduction

- Chain of preservation

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Strategies Task Force

Research Question:

- What policies, strategies and standards will protect the authenticity of electronic records over time?

Adapt the recommendations of the other task forces to each national environment

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Further Information

US-InterPARES Website
http://is.gseis.ucla.edu/us-interpares/

InterPARES Website
http://www.interpares.org

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InterPARES 2

Records generated by interactive, dynamic, experiential, sensory and performance systems

- Electronic Government

- The Arts

- eCommerce

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