

# Picturing The Activities in Life Cycle Management of Authentic Electronic Records

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# Outline

- The UBC Project/InterPARES models
- Creating a unified model
- The four main activities:
  - Setting the management framework
  - Creating electronic records (ER)
  - Keeping ER
  - Preserving ER

# Modeling work 1994-

- The UBC project's model of the activities during management of active records, 1994-97
- InterPARES I (1999-2001) model of the selection function (appraisal and disposition)
- InterPARES I model of the preservation function

# Creating a Unified Model

- Purpose: to picture all the activities during the life cycle that contribute to the chain of preservation of ER; a focus on actions that protect the reliability, authenticity, and accuracy of ER.
- The problem the creator's versus preserver's perspective: think of what needs to be done at all stages to ensure the long-term preservation of ER

# Constraints

- Archival science
- Juridical system
- National and international standards
- State of technology
- Preserver's mission

# The Framework for the Chain of Preservation

- Developing the framework
  - Gathering and analyzing information about creator's records and their context
- Designing the framework
  - Record making, keeping, and preservation systems
- Implementing the framework
  - To acquire, test and activate all the components of the record-making, recordkeeping, and permanent preservation systems
- Maintaining the framework

# Record-making system

- Main Components:
  - Integrated business and documentary procedures
  - Record-making metadata schemes
  - Record-making access privileges
  - Record forms designs
  - Record-making technological requirements (hardware and software needed to make records)

# Record-keeping system

- Main components of RK system:
  - RK metadata schemes
  - Registration scheme
  - Classification scheme
  - Retention schedule
  - RK retrieval system
  - Procedures for maintaining authentic ER
  - RK access privileges
  - RK technological requirements



# Permanent Preservation System

- Main components:
  - Appraisal strategies and procedures
  - Disposition rules and procedures
  - Preservation system (strategies, rules and procedures, technological requirements)
  - Descriptive system (strategies, rules and procedures, technological requirements)
  - Preservation retrieval system (strategies, rules and procedures, technological requirements, access privileges)

# Manage Record Making

- Making electronic records:
  - identify persons, dates, action or matter, and attachments of documents
  - classify documents
  - register ER
  - send out ER
  - send ER to be stored
- Receiving ER: identify persons, etc. of incoming documents; classify them; register received ER; send received ER to be stored
- Monitoring performance of record aking system

# Manage Record Keeping

- Maintaining electronic records:
  - managing information about kept records
  - managing storage of kept records (place digital components and metadata of records into storage and maintain them)
  - updating stored ER (actions needed to keep records accessible, legible, and intelligible over time)
- Facilitating access to electronic records
- Carrying out disposition: apply retention decision, and destroy or transfer records

# Preserving Selected Records

Comprises five main activities:

- Managing permanent preservation system
- Appraising ER for permanent preservation
- Acquiring selected ER
- Preserving accessioned records
- Outputting ER

# Appraising ER

Comprises five activities:

- Analyzing information about kept records and their context
- Assessing the value of records
- Determining the feasibility of preservation
- Making appraisal decisions
- Monitoring appraised records

# Assessing Value

Involves:

- Assessing continuing value as for traditional records
- Assessing the authenticity of records (more next slide)
- Determining the value of records

# Assessing Authenticity

Involves:

- Compiling evidence supporting the presumption of authenticity
- Measuring this evidence against the requirements for authentic records
- If necessary, verifying authenticity in cases where there is insufficient evidence to warrant the presumption of authenticity

# Determining the Feasibility of Preservation

Involves:

- Determining record elements to be preserved in order to protect authenticity
- Identifying digital components to be preserved
- Reconciling preservation requirements with present and expected future preservation capabilities



# Making Appraisal Decisions

- Defined as: To decide on *and document* the retention and disposition of records based on valuation and feasibility information, and to agree on *and document* the terms and conditions of transfer of the records to the preserver.
- At the end of the process of appraisal, there should be adequate documentation of the decision and of the appraised records and their context, including their technological context, such that future archival treatment of them can be carried out. So, appraisal is the first step in preservation.

# Monitoring Appraised Records

- Defined as: To keep track of changes to appraised records and/or their context that might make it necessary to adjust or redo an appraisal.
- For example, some administrative or technological change, or change to the classification scheme, might call for adjustment to an appraisal. A migration of records might require the appraisal to be redone.

# Acquiring Selected ER

Involves:

- Registering transfers
- Verifying authorization for transfers
- Verifying transfers (that they meet the terms and conditions for transfer)
- Confirming the feasibility of preservation
- Accessioning records

# Preserving accessioned records

Involves:

- Managing preservation information about ER
- Managing storage of preserved ER
- Updating digital components

# Managing Information About ER

Involves:

- Compiling information for preservation, description, and output
- Describing acquired records
- Updating information on preservation actions
- Retrieving information for requests

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# Managing Storage of ER

Involves:

- Placing digital components in storage
- Monitoring storage
- Correcting storage problems
- Refreshing storage (medium) of digital components
- Retrieving digital components from storage

# Outputting records

Involves:

- Managing retrieval requests
- Reviewing retrieved components and info.
- Reconstituting ER and then either
- Presenting ER to requesters or
- Packaging output together with information to allow requesters to reproduce ER



# To learn more

- Models available at [www.interpares.ca](http://www.interpares.ca)
- UBC project and model explained in Duranti, Eastwood, and MacNeil, *The Preservation of the Integrity of Electronic Records* (2001).
- *InterPARES 1 selection and preservation models explained in Duranti, ed., The Long-term Preservation of Authentic Electronic Records ...* (2002) & website