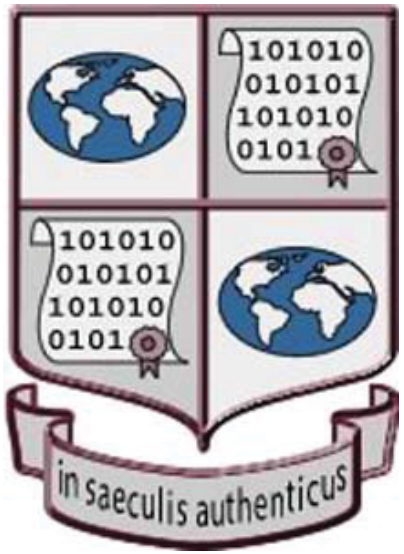


InterPARES 2 Chain of Preservation Metadata

Outline

- Basis for the study
- Process of the study
- Assumptions of the study
- Limitations of the study
- Summary of findings
- Example findings
- Next steps

Chain of Preservation Metadata

Basis for the study

Chain of Preservation Metadata

- Built on the Chain of Preservation Model
- Based on the InterPARES 1 requirements for the presumption of authenticity (findings, Benchmark Requirements)
- Does not account for metadata that may be present in *controls* of the model (e.g., details of classification scheme, recordkeeping framework metadata, etc.)

Chain of Preservation Metadata

- This means the metadata presented here are statements necessary for the presumption of authenticity outlined in InterPARES 1 Benchmark Requirements as seen through the activities of record creation, recordkeeping, and preservation
- As such it is a limited view of metadata

Chain of Preservation Metadata

- Metadata, in this study, is *the set of human and machine readable assertions about a resource* where resource is *the record created, kept, and preserved in the MCP model.*

Chain of Preservation

Process of the study

Chain of Preservation Metadata

- Process of the study:
  - Articulation of metadata to points in the model
  - By a method of interrogating the model with the question of what would be required for presuming authenticity at each stage in the chain of preservation
  - Terry Eastwood, Randy Preston, and Joseph T. Tennis were the researchers in this process

Chain of Preservation Metadata

Assumptions of the study

Chain of Preservation Metadata

- Assumptions of the study:
  - Informed and guided by the life-cycle conception of archives
  - UBC Project assumptions
  - Controls like classification assumes a vocabulary of business processes (therefore not articulated in these metadata)

Chain of Preservation Metadata

Limitations of the study

Chain of Preservation Metadata

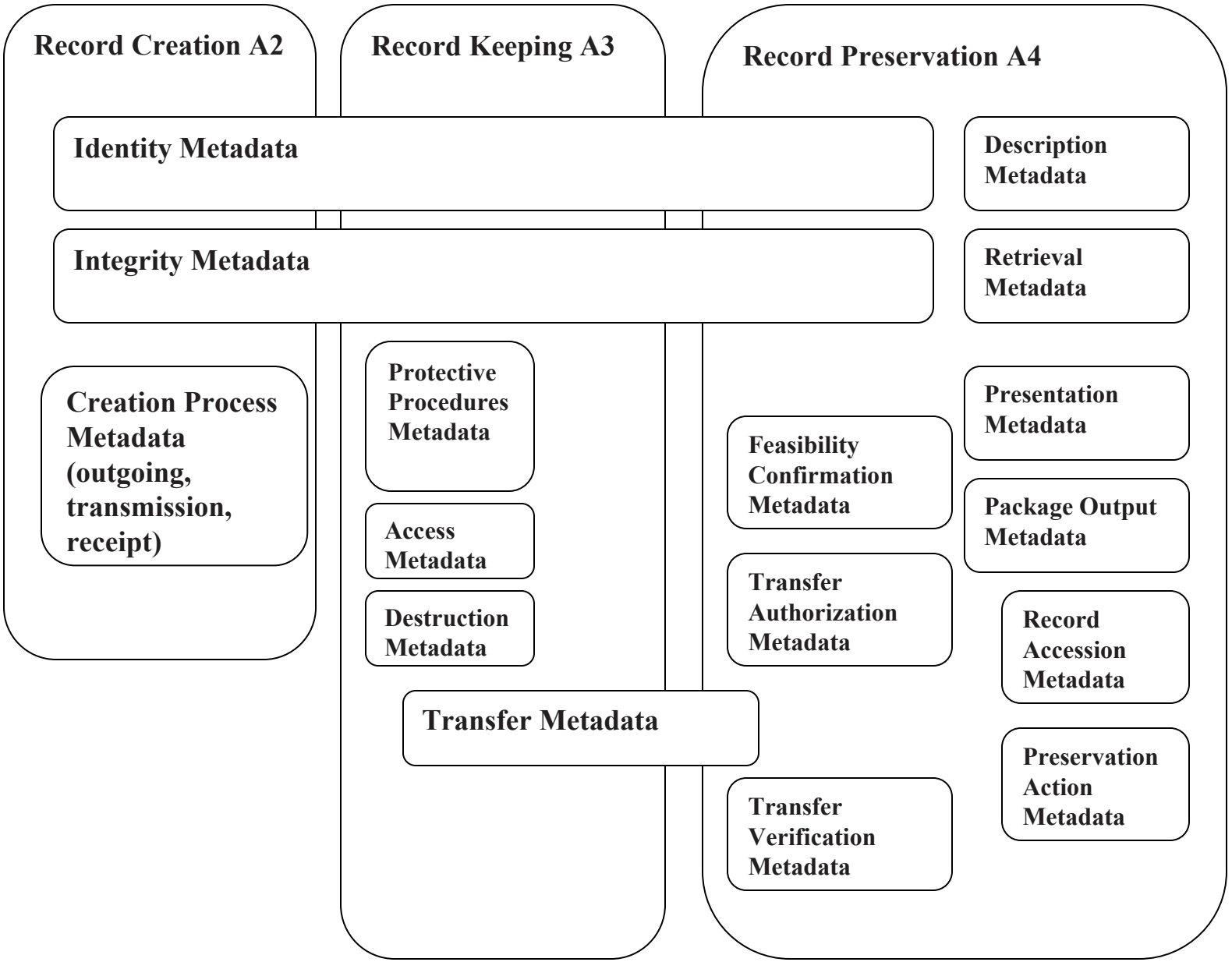
- Limitations of the study
  - Guided by one conception (life-cycle) so the vision of that conception is reflected in the model
  - Also the method of interrogation based on presumption of authenticity is limited because it does not account for retrieval or the details of "control metadata" - i.e., metadata from the controls of the model.
  - Remains untested

Chain of Preservation Metadata

Summary of Findings

Chain of Preservation Metadata

- Summary of Findings
  - 16 types of Metadata Assertions
  - 2 types cut across the three stages of the life-cycle (record creation, recordkeeping, and record preservation)
  - 1 type bridges two stages (recordkeeping and record preservation)
  - The remaining 13, though built on metadata from earlier in the life-cycle, sit squarely in one stage


Record Creation A2
Record Keeping A3
Record Preservation A4
Identity Metadata
Integrity Metadata
Description Metadata
Retrieval Metadata
Creation Process Metadata (outgoing, transmission, receipt)
Protective Procedures Metadata
Access Metadata
Destruction Metadata
Transfer Metadata
Feasibility Confirmation Metadata
Transfer Authorization Metadata
Transfer Verification Metadata
Presentation Metadata
Package Output Metadata
Record Accession Metadata
Preservation Action Metadata

Chain of Preservation Metadata

Example of Some Results

Chain of Preservation Metadata

- Record Creation Metadata
- Recordkeeping Metadata
- Record Preservation Metadata

Chain of Preservation Metadata

- Record Creation Metadata
  - Identity Metadata
  - Integrity Metadata
  - Creation Process Metadata

Chain of Preservation

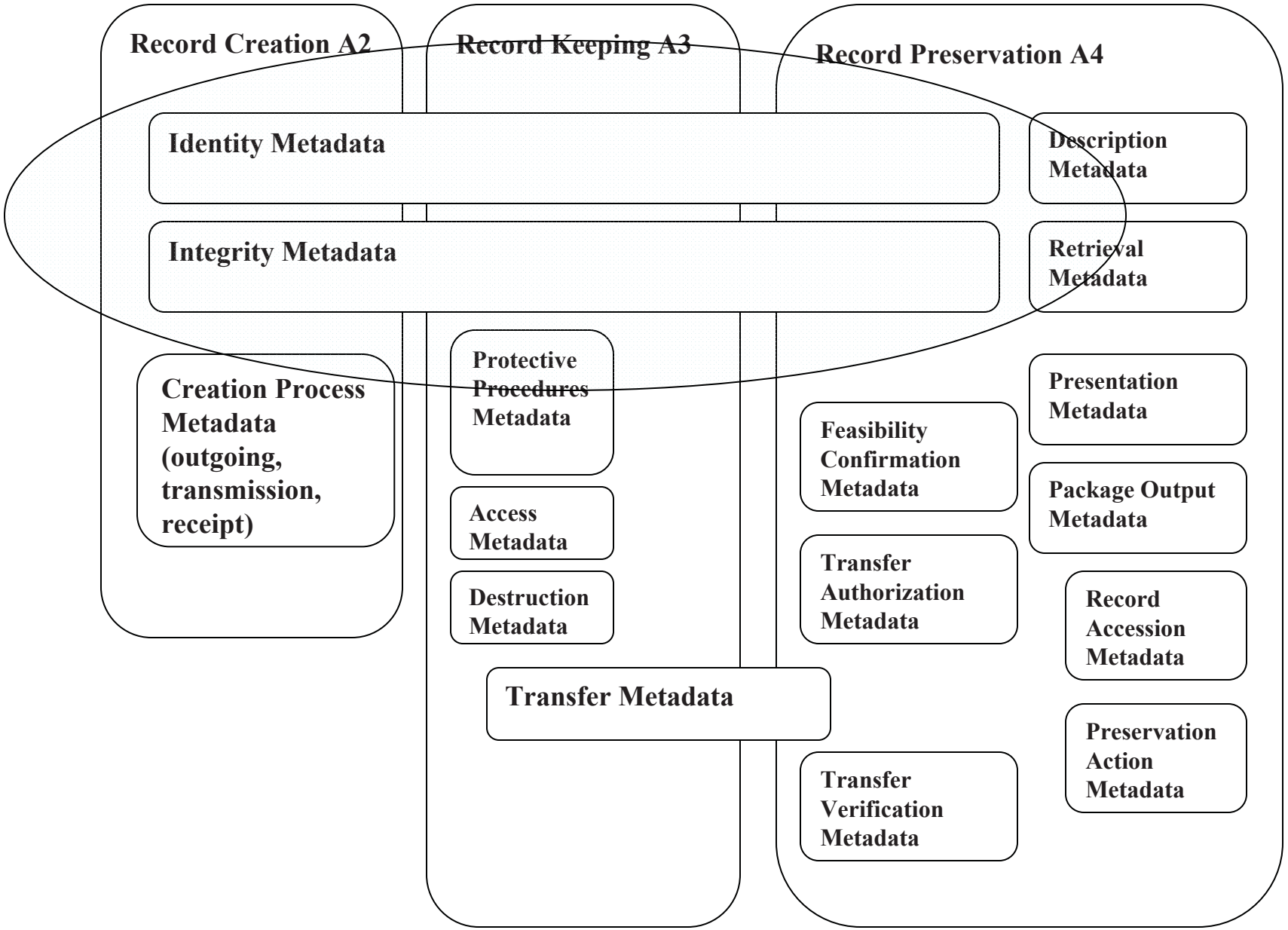
- Recordkeeping Metadata
  - Protective Procedures Metadata
  - Access Metadata
  - Destruction Metadata
  - Transfer Metadata

Chain of Preservation Metadata

- Record Preservation Metadata
  - Transfer Authorization Metadata
  - Transfer Verification Metadata
  - Feasibility Confirmation Metadata
  - Record Accession Metadata
  - Preservation Action Metadata
  - Description Metadata
  - Retrieval Metadata
  - Presentation Metadata
  - Package Output Metadata

Chain of Preservation Metadata

- I will talk about:
  - Identity Metadata
  - Integrity Metadata
  - Transfer Metadata
  - Description Metadata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Chain of Preservation

- 2 types the cut across the stages of the life-cycle are:
  - Identity Metadata
  - Integrity Metadata

- Based on Benchmark Requirements of InterPARES 1

Chain of Preservation

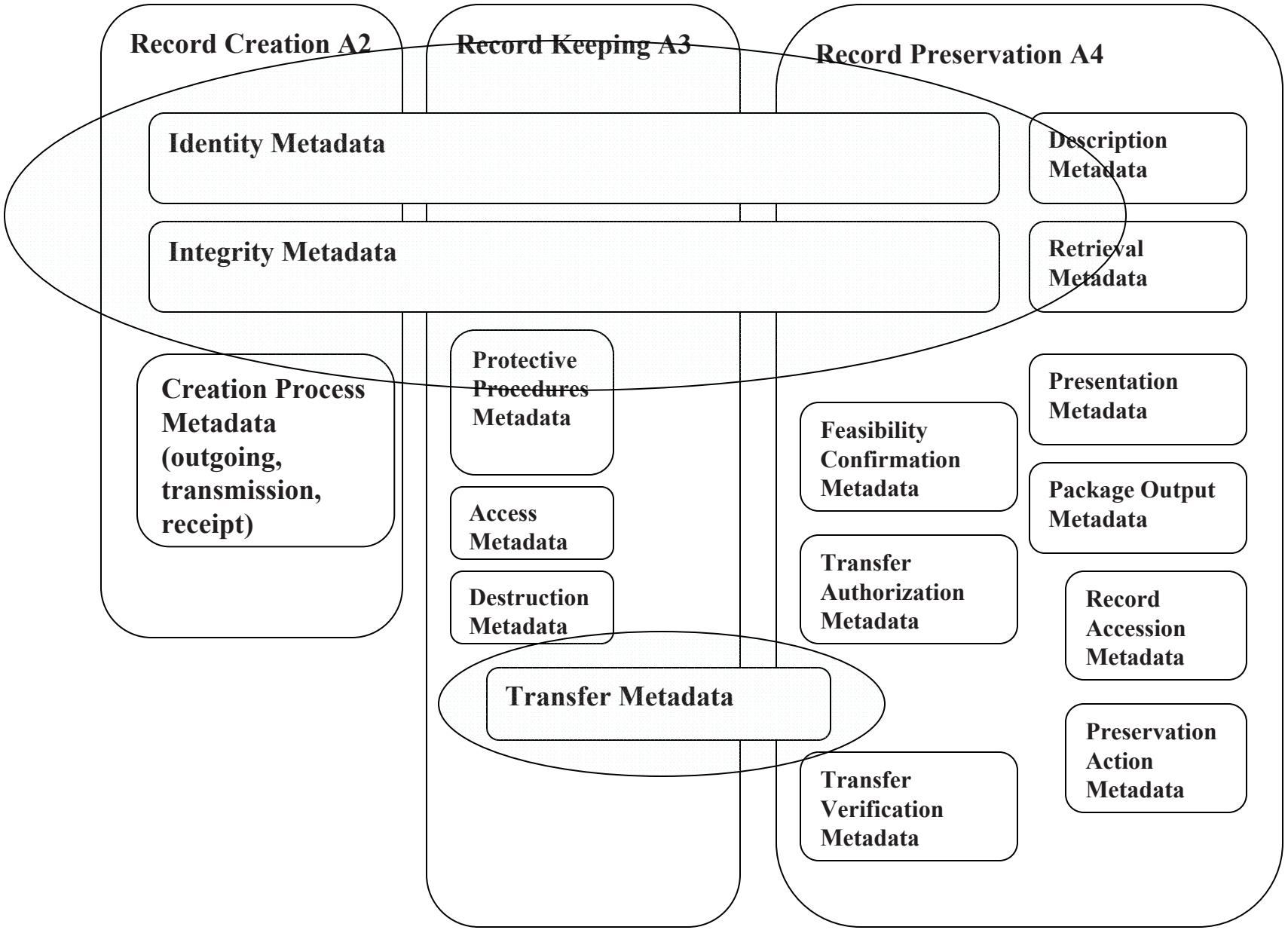
- Identity Metadata:
  1. Name of Author
  2. Name of Writer
  3. Name of Originator
  4. Name of Addressee
  5. Name of Action or Matter
  6. Chronological Date
  7. Indication of Attachments (& Location of Attachments)
  8. Date of Transmission
  9. Time of Transmission
  10. Date of Receipt

Chain of Preservation

- Integrity Metadata:
  1. Expression of Archival Bond (Identity?)
     (Classification Code, File Identifier, etc.)
  2. Archival Date (Identity Metadata?)
  3. Name of Handling Office (if not evident from classification code)
  4. Name of Office of Primary Responsibility (if not evident from classification code)

Chain of Preservation

- These metadata assertions shape the record in the information system - allowing the record creator(s), recordkeeper(s), and preserver(s) to append other metadata to the record (or groups of records).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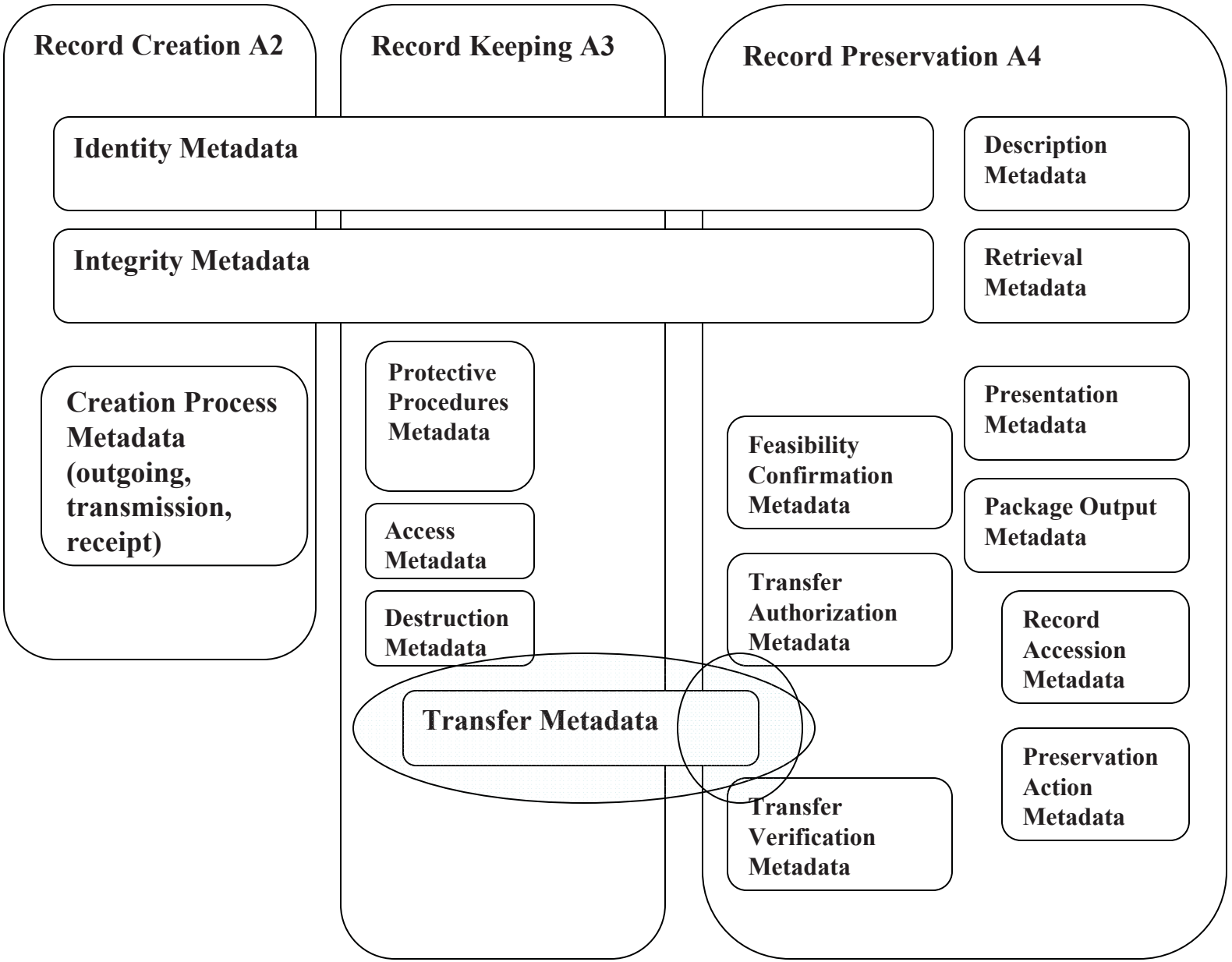
Preservation Action Metadata

Chain of Preservation Metadata

- Transfer Metadata
  - Indication of Records Transferred
  - Name of Person Effecting Transfer
  - Name of Entity to Whom Records are Transferred
  - Date of Transfer
  - Time of Transfer
  - Transfer Number
  - (Links to Other Records if Aggregate Records, or Indication that this is a Single Record)
  - Authorization for Records Transfer (Number? Link to Documentation?) (AG)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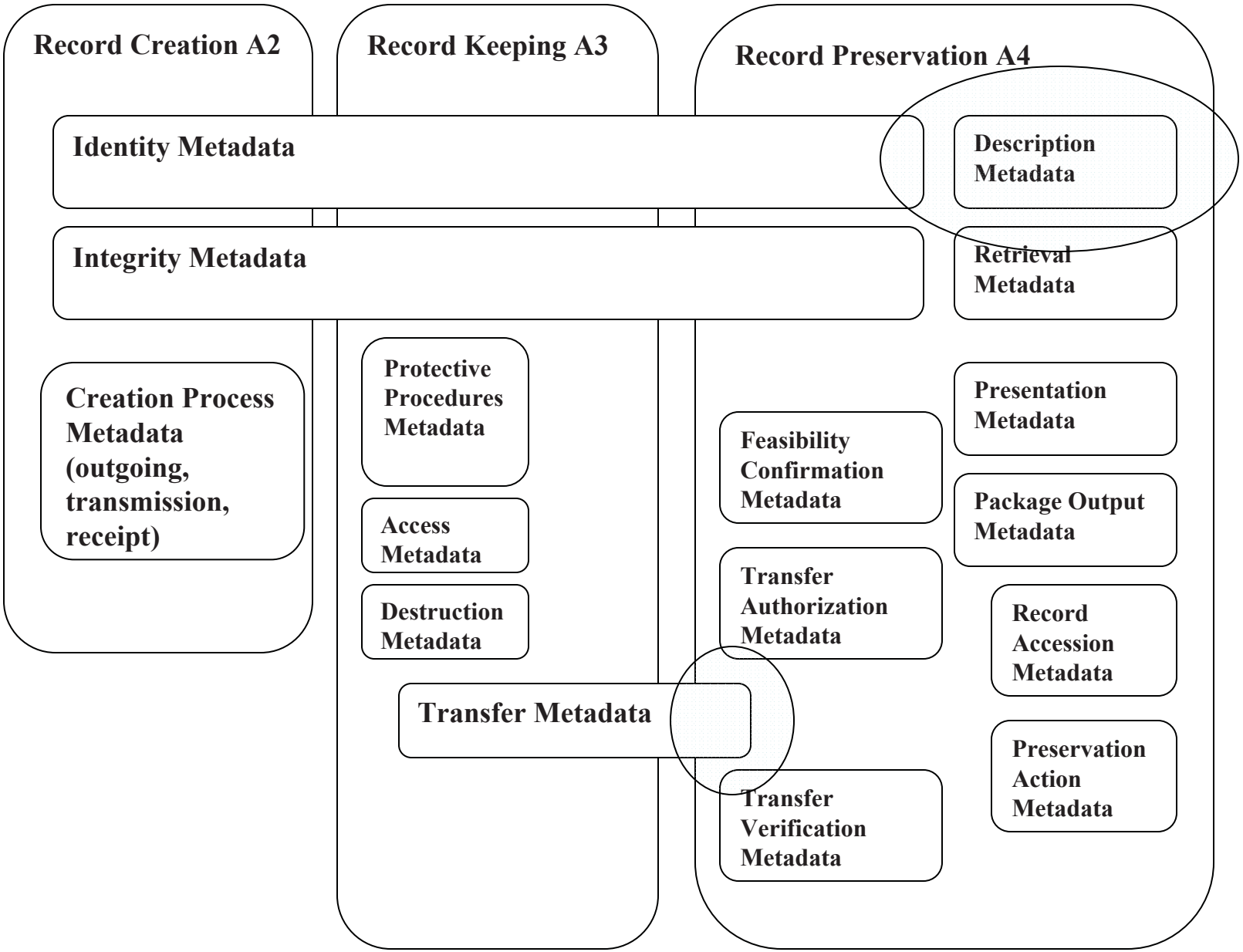
Record Accession Metadata
Preservation Action Metadata

Chain of Preservation Metadata

- Transfer Metadata
  - Name of Persons Effecting Transfer
  - Date Transfer Received
  - Time Transfer Received
  - Name of Person Registering Transfer
  - Transfer Number (as Assigned by Person Transferring to Preserver)
  - * carried from Keeping to Preservation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Chain of Preservation Metadata

- Description Metadata
  - *Categories of Metadata to be used as Evidence for Description*
    - Metadata carried forward to this point (A4.4.1.2)
    - Information for Preservation (see glossary)
    - Information about Appraised Records
    - Information about Accessioned Records
    - [change these terms all to *metadata*]

Chain of Preservation

- Description Metadata is not synonymous Archival Description process or product.
- Here we follow MacNeil (1995) and separate out purposes, functions, and objects of design - metadata is different from description here.

Chain of Preservation Metadata

Next Steps

Chain of Preservation Metadata

1. Identify “attribute-value pairs”
2. Compare these “attribute-value pairs” to RKMS, and other schemas. (this requires at least a two-level analysis: theory and metadata)
3. Articulate a theory of life-cycle metadata as compared to continuum metadata (Australian initiatives)
4. Place these findings in context of the literature.

References

- MacNeil, H. (1995). “Metadata strategies and archival description: comparing apples and oranges.” In *Archivaria* 39(Spring):22-32.