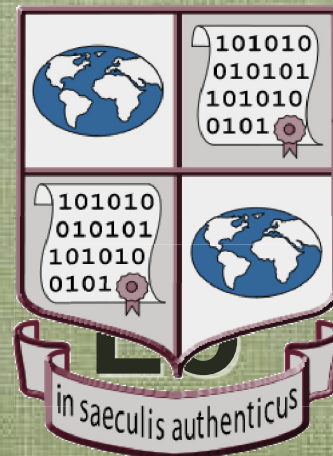
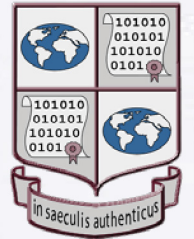


InterPARES Framework for the Development of Policies, Strategies and Standards



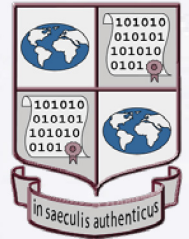
Malcolm Todd
InterPARES Policy cross-Domain
European co-Chair

InterPARES definition of Policy:



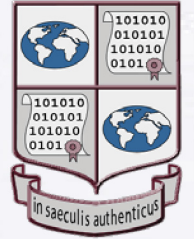
A formal statement of direction or guidance as to how an organisation will carry out its mandate, functions or activities, motivated by determined interests or programmes

Purpose



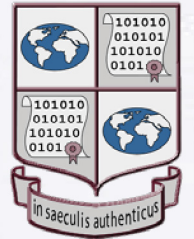
- To establish a flexible, consistent and solid basis for the development of policies, strategies and standards
- To provide a core of concepts capable of balancing different cultural, social and juridical perspectives on a variety of issues, such records trustworthiness, access to information, data privacy, and intellectual property
- To demonstrate the need for a strong continuing relationship between records creators and records preservers throughout the lifecycle of the records
- To show the nature of such relationship and the ways in which it should play out

Approach



- Addressing barriers to preservation / introducing enablers
- Independent of details of the legal or archival system or current technology
- Distil findings of both phases of InterPARES research
- *Also based on policy and case studies undertaken in InterPARES2*
- Extensible to account for the records of dynamic, interactive and experiential systems

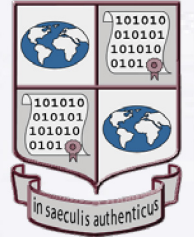
Fixed form and a stable content



[C1] Digital entities must have fixed documentary form and a stable content to be considered records and to be capable of being preserved over time

[P5] Authentic copies should be made for preservation purposes only from the creator's records, that is from digital entities that have a fixed documentary form and a stable content

Fixed form and a stable content



- Definition of record derived from the traditional archival science definition:

A document made or received in the course of a practical activity as an instrument or by-product of such activity, and set aside for action or reference

- Distinction between physical / documentary form and necessity of stable content
- Consequences of expanding into ‘bounded variability’ and prospective as opposed to memorial records to take account of dynamic, interactive and experiential systems [IP2]

Digital Components



[C2] Records creation procedures should ensure that the digital components of records can be separately maintained and reassembled over time

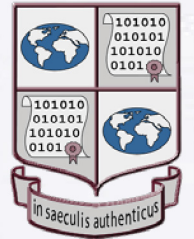
[P4] Records preservation procedures should ensure that digital components of records can be separately preserved and reassembled over time.

Digital Components



- Separation of physical medium, form and content
- May be manifest as different digital components, stored separately
- Particularly clear with records from dynamic, interactive and experiential systems but also present with emails
- Need to preserve ability to reassemble from components according to intent; fixed content and relationships
- Policy governance for creator and preserver.....

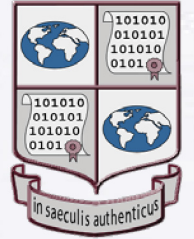
Creation, Maintenance, and Preservation Requirements



[C3] Record creation and maintenance requirements should be formulated in terms of the purposes the records are to fulfill, rather than in terms of the available or chosen record-making and record-keeping technologies available

[P6] Preservation requirements should be formulated in terms of the purpose or desired outcome of preservation, rather than in terms of the available or chosen technologies available

Creation, Maintenance, and Preservation Requirements



- Technologies change faster than the purposes for which records are needed
- Business requirements the records have to fulfil are not technological requirements
- Technology is an implementation not a policy issue
- Archival science and techniques have to *continue to evolve*

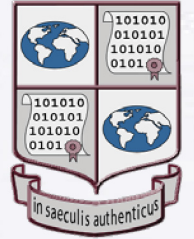
Records Trustworthiness



[C4] Records creation and maintenance policies, strategies and standards should address the issues of record reliability, accuracy, and authenticity expressly and separately

[P2] Records preservation policies, strategies and standards should address the issues of record accuracy and authenticity expressly and separately

Records Trustworthiness



- Separate issues conceptually
- Reliability = content related [ability to stand as fact; *cf* creator's competence]
- Accuracy = accepted at time of business transaction and subsequently verified not to have changed
- Authenticity = trustworthiness based on identity and integrity

[Shifting balance of responsibilities between creator and preserver]

Trusted Record-making System



[C5] A trusted record making system should be used to generate records that can be presumed reliable and accurate

No corresponding requirement for the Preserver other than as a Record Creator itself

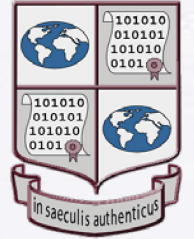
Trusted Record-making System



Rules, tools and procedures

- “fit” of business and recordmaking procedures
- Metadata schemes
- Classification system
- Access controls according to roles

Trusted Recordkeeping and Record Preservation Systems

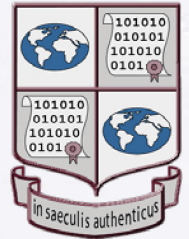


[C6] A trusted recordkeeping system should be used to maintain records that can be presumed accurate and authentic

[P11] Archival appraisal should assess the authenticity of the records.

[P12] Archival description should be used as a collective authentication of the records in a fonds

Trusted Recordkeeping and Record Preservation Systems



- Assurance of continuing identity and integrity of records [including across transfer of custody]
- Roles of trusted parties internally as well as the identified preserver, incl. recordkeeping system [presumption]
- Collective authenticity through migrations assured by archival description as well as metadata of individual records
- Preserver's role in assessing and monitoring appraised records and feeding back to creator [feasibility of preserving identity and integrity using capability, knowledge, resources]

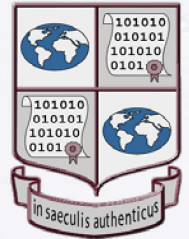
Preservation Begins at Creation



[C7] Preservation considerations should be embedded in all activities involved in record creation and maintenance if a creator wishes to maintain and preserve authentic records beyond its operational business need

[P7] Preservation considerations should be embedded in all activities involved in each phase of the records lifecycle if their continuing authentic existence over the long term is to be ensured

Preservation Begins at Creation



- Concept of a lifecycle is compatible with preservation as a continuous process
- Preserver's input required into the design and operation of the recordkeeping system
- Monitoring of appraised records to ensure that appraisal decision still holds good

Trusted Custodian



[C8] A trusted custodian should be designated as the preserver of the creator's records

[P1] A designated record preserver fulfills the role of trusted custodian

Trusted Custodian



- Identified entity to take responsibility for preservation, legal and physical custody
- May be internal or external, but must be neutral, competent and run a trusted preservation system
- Collaboration on acquisition and preservation policies, sustainable preservation strategy
- Chain of custody: trusted preservation system is an extension of the creator's system [authenticity]

Business Processes



[C9] All business processes that contribute to the creation and/or use of the same records should be explicitly documented

[P10] Archival appraisal should identify and analyze all the business processes that contribute to the creation and/or use of the same records

Business Processes



- More than one process may be involved
- Records may be reused for other processes
- Necessary to inform disposition policies
- Need to be recorded in record metadata and procedural records
- Identity and integrity: baseline and benchmark requirements from InterPARES1

Intellectual Property Rights



[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] Third-party property rights attached to the creator's records should be explicitly identified and managed in the preservation system

Intellectual Property Rights



- Interest of parties other than author or addressee
- Reproduction of records invokes copyright [including viewing, migrating, etc.]
- Much more urgent for preserver than previously
- Need to be captured at record creation
- Need to be assessed at appraisal [feasibility]
- Needs policy governance, advice to creator, preservation system design

Privacy Rights



[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] Privacy rights and obligations attached to the creator's records should be explicitly identified and protected in the preservation system

Privacy Rights



- Use of personal data contained in the record may be subject to restrictions and subject access
- Archival purpose needs to be recognised as compatible with original purpose or exempt
- Maintenance and preservation systems administration must implement privacy protection driven from record metadata
- Preserver must be trusted to respect privacy
- Constraint on appraisal: timing and feasibility

Records Sharing Across Jurisdictions



[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] 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

Records Sharing Across Jurisdictions



- Circumstances of records' creation [*cf* previous 2 principles] must guide subsequent use
- Policies of preserver must respect original creating environment; creator must notify, record, negotiate
- Policy attention to divergent legal contexts

Reproduction of Records



[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 of its first created manifestation and each is to be considered at any given time the record of the creator

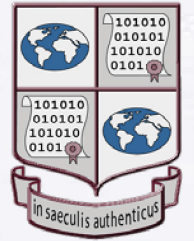
[P3] Reproductions of a creators' records made for purposes of preservation by their trusted custodian are authentic copies of the creator's records

Reproduction of Records



- Authentic copy with the force of the [transient] first copy
- Procedural governance of reproduction of records; relied on in the ordinary course of business
- Preservation copies [for transmission to the preserver] have a different purpose and are in a different stage of the lifecycle
- Preserver's ability to certify preserved record as authentic based on relationship with creator and completeness of form and documentation

InterPARES Web Site



www.interpares.org