

# InterPARES 3 Project

International Research on Permanent Authentic Records in Electronic Systems

TEAM Mexico

## Case Study: Banco de México Records/Archives Preservation Policies

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InterPARES Project

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# About the project

## Case study purpose

To carry out a study case based on the InterPARES methodology to develop preservation records/archives policies for Banco de México

## Content

- Findings of the contextual analysis template and questions related to policies answered.
- Records/Archives Preservation Policies.



# Contextual analysis template findings.

## About Banco de México (The Bank)

The Bank was inaugurated on September 1<sup>st</sup>. 1925, and was entrusted with exclusive faculties to create currency, through the rock metallic pieces as well as paper currency issue. It was also entrusted to rule monetary circulation, types of interests and money exchange with other countries. Also it was converted into the financial consultant and banker of the Federal Government. In 1993 the Bank, by Constitutional mandate, became an autonomous agency and established as its main mission the procurement for maintaining the purchase power of the national currency



# Contextual analysis template findings.

## Our test bed partner: Direction of Coordination of Information (CID)

**Vision.** To contribute to the construction of an institutional information architecture that allows information access, preservation and dissemination for decisions taking by using information technologies.

**Mission:** To get that Bank information be available and accessible to every one that needs it and has rights to use it.

**Main functions:** to agree norms for organization of the information with the different administrative units, to supervise norms implementation by stablishing policies, procedures and quality parameters.



# Contextual analysis template findings.

## The Bank information policy

- Computing infrastructure and practices of information use are to be designed, developed, implemented, configured and maintained in such a way to guarantee its availability, integrity, and, accordingly, its privacy.
- Measures for creating and maintaining databases with historical information considered as relevant should be adopted.
- Administrative units (units) competent in computing matter will develop and operate systems for its needs. Notwithstanding standardization of computing infrastructure will be promoted.



# Contextual analysis template findings. Records Management Program

- **Information norm:** Norm of Organization. Access, Publication and Information Management.
- **Logical framework:**
  - 15 institutional metadata.
  - metadata registry for identifying and capturing records
  - clasification schema and disposition schedule
- **Technologies.**
  - System for electronic and paper records control
  - Systematic metadata filing



# Contextual analysis template. Requirements and Constraints

## Legal

- **Requirement**
  - Information must be available for every employee that has rights to use it.
- **Constraint**
  - Dispositions on access of information, accountability

## Normative

**Requirement.** Records/archives to be managed according to de life cycle model.

### Constraints

- Normative limitations that prevent CID
  - To monitor records to be preserved on the long term.
  - For identifying potential records of interactive or dynamic systems
- Lack of annotations of administrative, juridical or technological changes
- Lack of preservation policies and procedures



# Contextual analysis template findings. Requirements and Constraints, cont.

## Technological

### Requirement

- Recordkeeping system.  
Database, server, connecton.  
HTTP control server/intratet  
connections (FileNet)

### Constraint

- Records not updated whenever  
there is a new software  
version,
- Potential records that need to  
be fixed and stabilized

## Ethical

### Requirement

- Dispositions established in the  
General Terms of the Bank  
forbid the employees to inform  
others about the Bank facts,  
business, document or any  
other information or to destroy  
or alter it .
- Employees must provide with  
personal data needed by the  
Bank .





# Other findings

## What is in the RKS

- Records and its metadata elements.
- Metadata elements of electronic records kept in other servers
- Metadata registries for information coming from interactive or dynamic systems (*Datawarehouse* and *Sybase*).
- Reports and its metadata coming from interactive systems that the creator considers as records
- Metadata of paper records

## What is not in the RKS

- Electronic Records created before 2005, that require long term preservation.
- Paper records, documents, information or data created after 2005 not still registred in the RKS.



# Background of the study case

- **December 2008.** An initial version of the Contextual Analysis Template was completed through a series of interviews carried out with employees of CID and after revising different documents related to regulations, norms and organization of the Bank.
- **January 2009.** Requirements for authenticity were applied due to:
  - The lack of clarity in certain topics of the template
  - The issue of a new internal norm for information organization, access, editing and management
- **August 2009.** A second version of the Template for Case Study Contextual Analysis and Report of the questions to be answered by the researchers for preservation policies, were completed and presented to the TEAM and other reserarchers.
- **December 2009.** First version in Spanish of the Preservation Policies for the Bank.
- **January 2010.** First English version of the Preservation Policies of Banco de México.



# Banco de México Records/Archives Preservation Policies

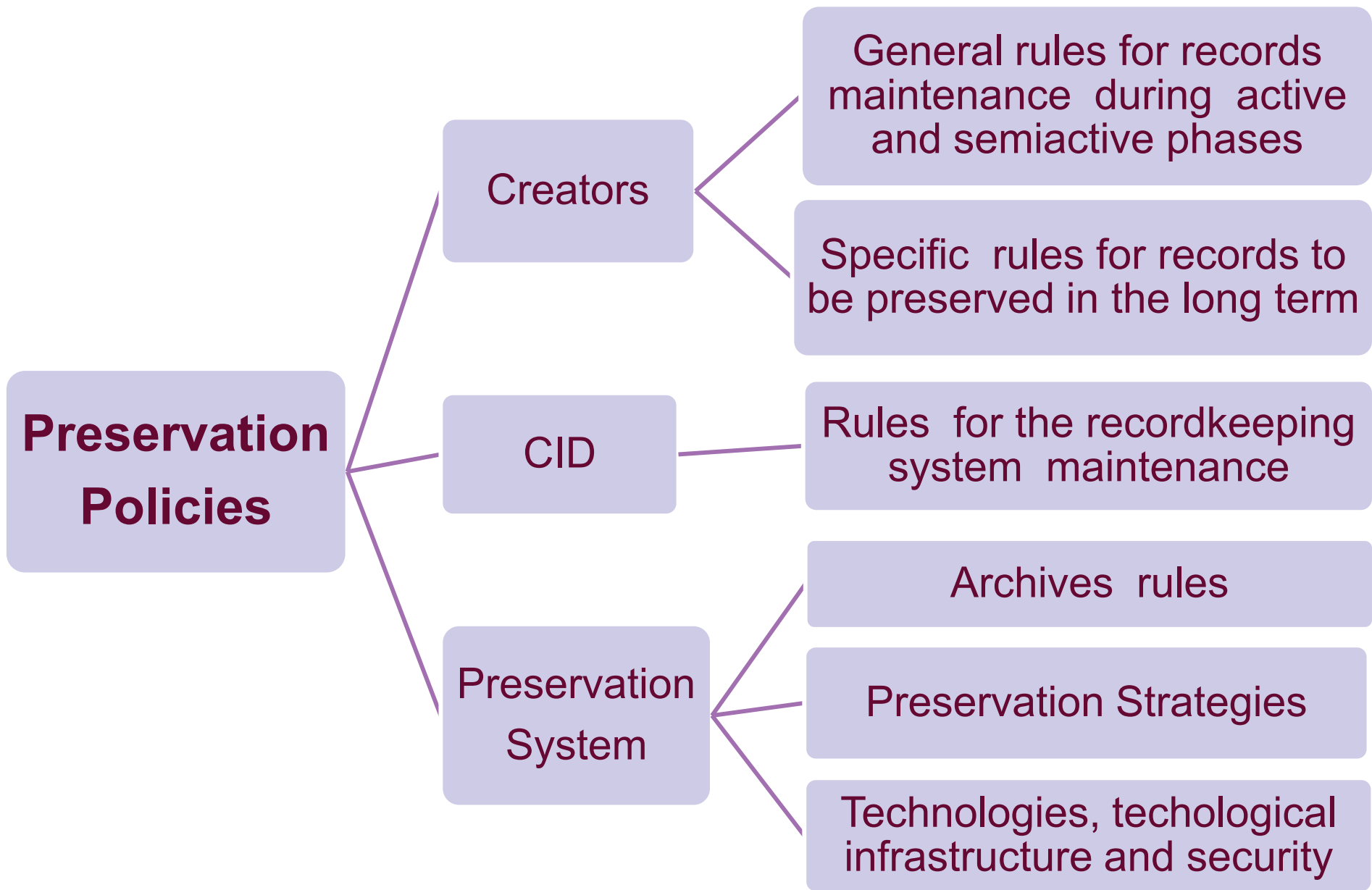
## Purpose

To establish general criteria for ruling the preservation of digital records/archives to be preserved in the long term.

## Scope

The digital records/archives to be preserved in the long term located in the RKS in other institutional servers or outside.





# Banco de México Records/Archives Preservation Policies. Some examples

## For the creator:

- Maintain software and hardware specifications used to create and maintain records.
- Document and maintain changes that, in any case, are carried out to the software and hardware used to create records and that may affect their content.
- Identify metadata of records to be maintained together with records
- Identify digital components of records in order to define if they require specific maintenance strategies and, if necessary, to develop and implement them.

## For CID

- CID is responsible for treating and maintaining the RKS as a record itself
- The RKS also must include metadata for:
  - Indications for: electronic signature presence or withdrawal, other authentication forms, existence of duplicated materials in other series
- Metadata and metadata lists of the RKS will be considered as record.
- The Records/Archives office will coordinate with units to establish the strategy for updating, migrating, refreshing digital records kept in the RKS.



# Banco de México Records/Archives Preservation Policies. Some examples for the Archives Unit

- **Organizational infrastructure and structure:** mission, responsibilities definition, human resources and training programs.
- **Accountability procedures:** legal support to maintain archives in the long term, documentation of the history of any procedural, software and hardware changes that may have impacted in the archives, transparency and accountability actions; also administrative procedures and self evaluation must be included.
- **Financial sustainability.** plans for the short and long term as well as annual plans for revision.
- **Preservation system** that must include:
  - **Reception processes.** specification on the documentation required for transference, verification process of the records to be transferred and transfer acceptance.
  - **Ingest.** identification and definition of the information that will be preserved; unique, visible and persistent records identification; metadata acquisition; archival packages integration as well as integrity archives auditing.
  - **Access.** It will include: definition and dissemination services, sending services, requirements for access, authentication and control as well as registering actions of actions and authentic copies issuing.



# Banco de México Records/Archives Preservation Policies. Some examples for the Archives Unit

## Technologies, technological infrastructure and security.

**System infrastructure.** CID in coordination with Systems Direction will establish the software and hardware updates agenda, as well as migration or refreshment and documentation of changes, and trial processes for critical changes.

**Security.** The Records/Archives Office will carry out analysis and systematic control of resources needs, and will also establish responsibilities, authorizations for changes within the system, as well as operative contingency plans.

**Disaster Plan.** The Records/Archives Office from the “worst scenario” for the digital archive will elaborate a disaster plan which will be revised periodically.

## Certification

The definition of an archival plan, resources and strategies for the digital archives will be subject to international certification standards.



THANK YOU  
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