



InterPARES 2 Project

International Research on Permanent Authentic Records in Electronic Systems

*International Research on Permanent Authentic
Records in Electronic Systems (InterPARES) 2:
Experiential, Interactive and Dynamic Records*

APPENDIX 14

Chain of Preservation Model

Diagrams and Definitions

by

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Status: Final (public)

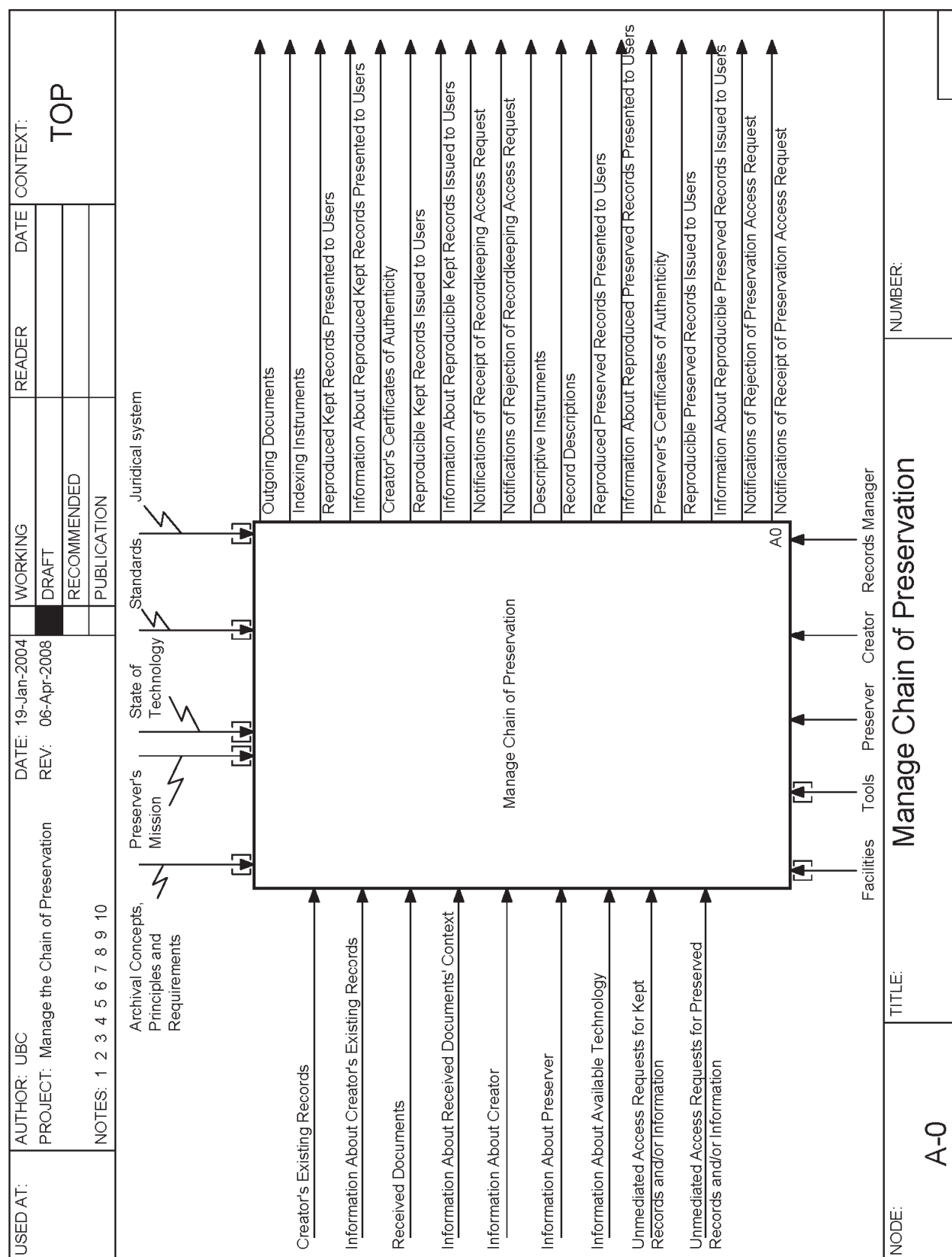
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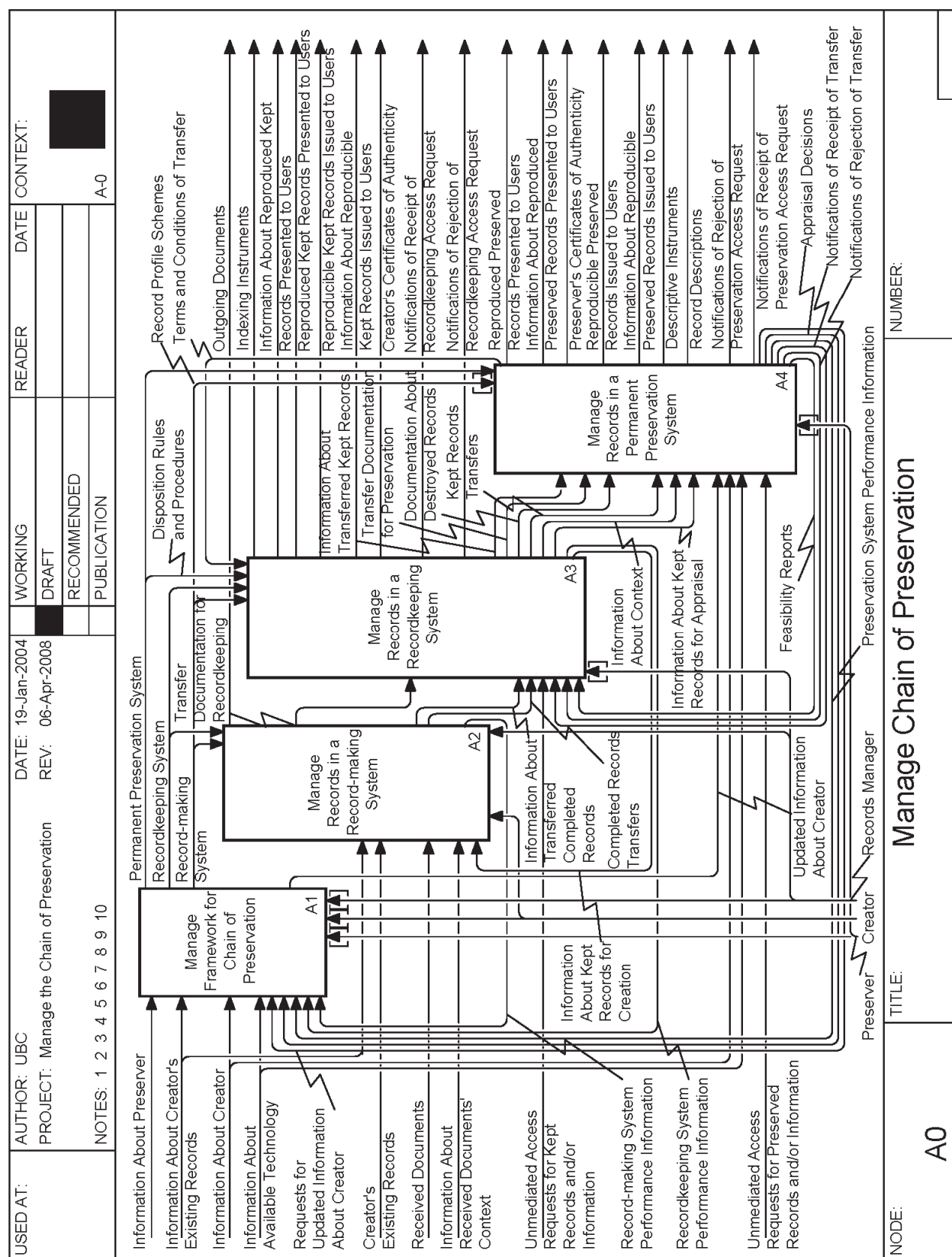
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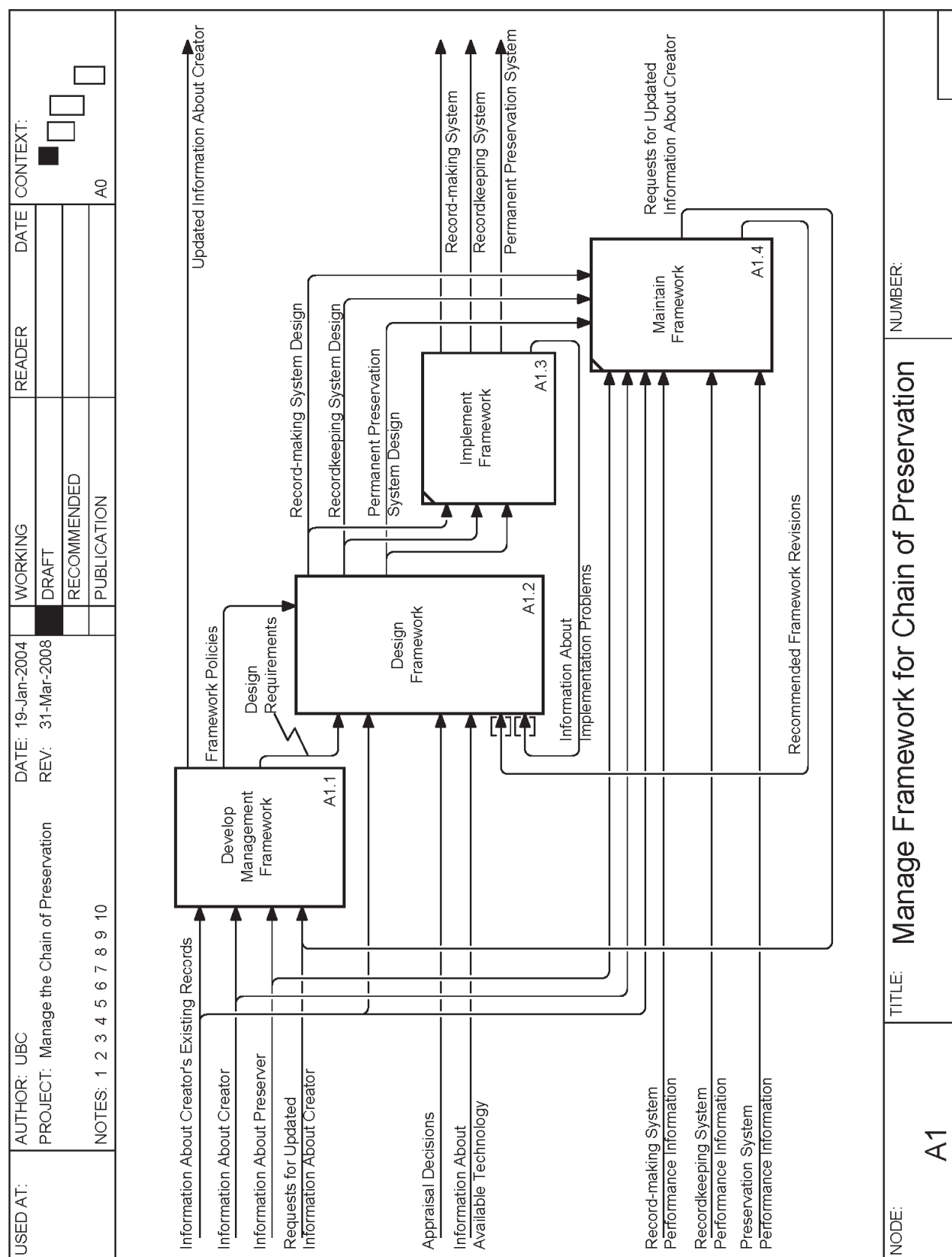
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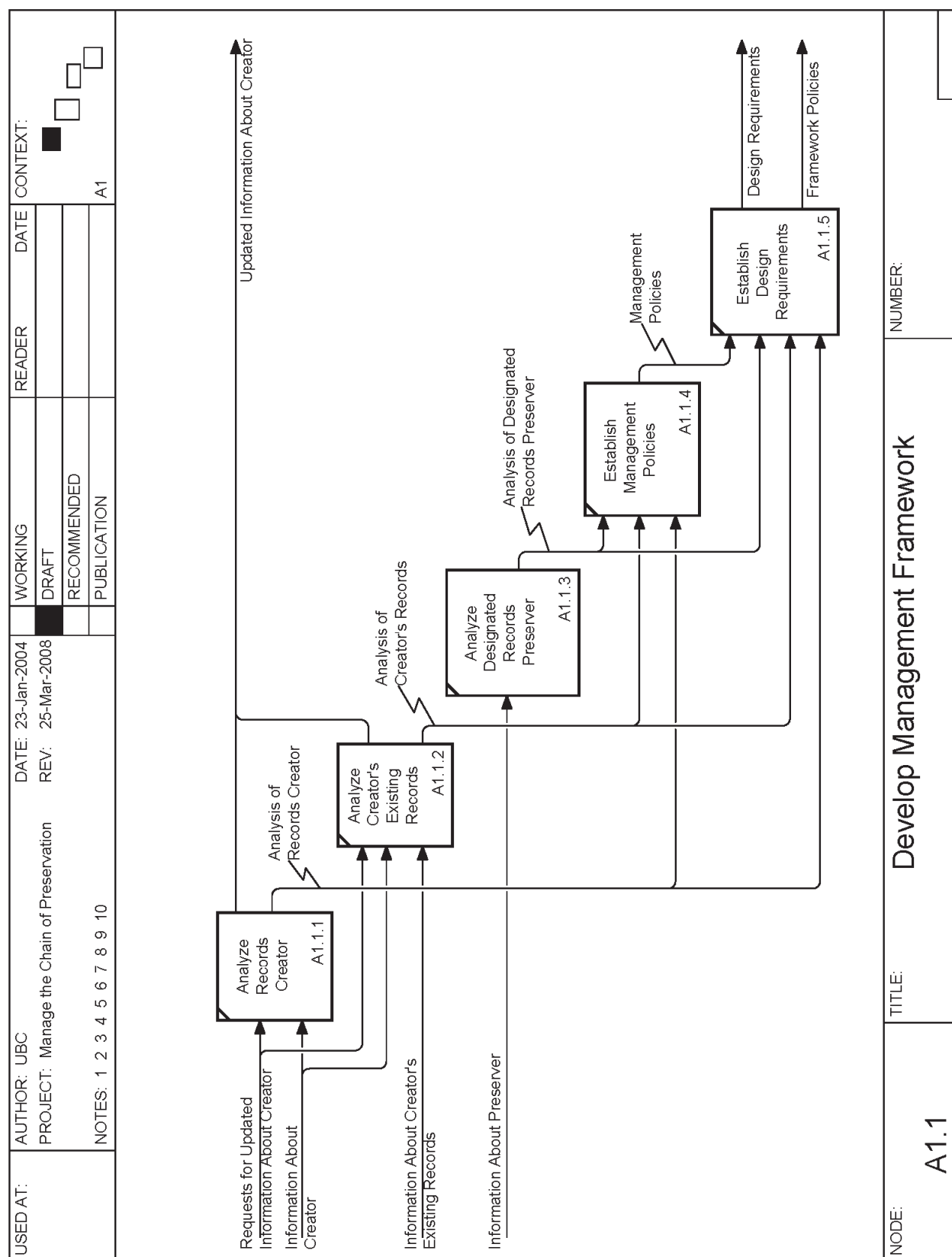
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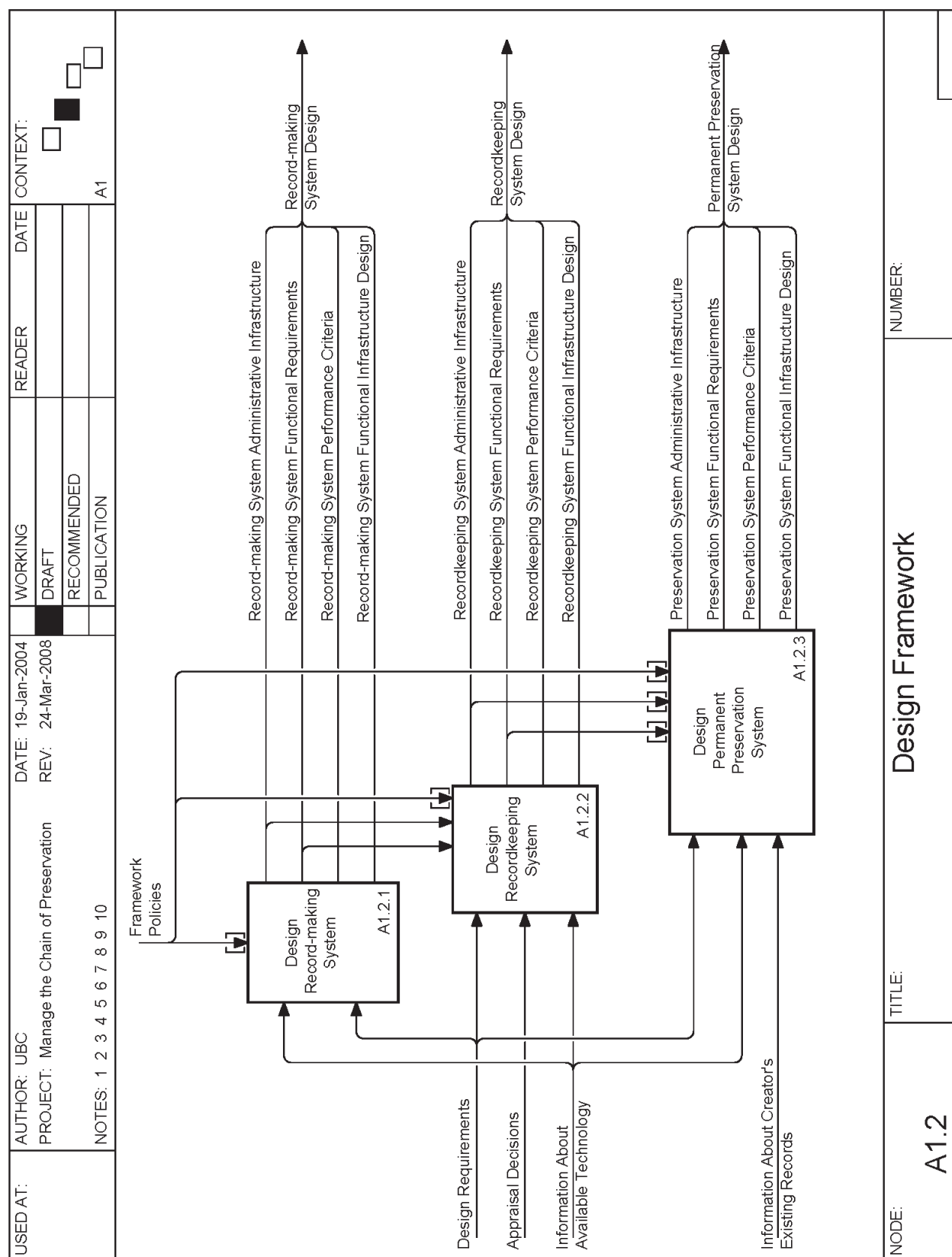
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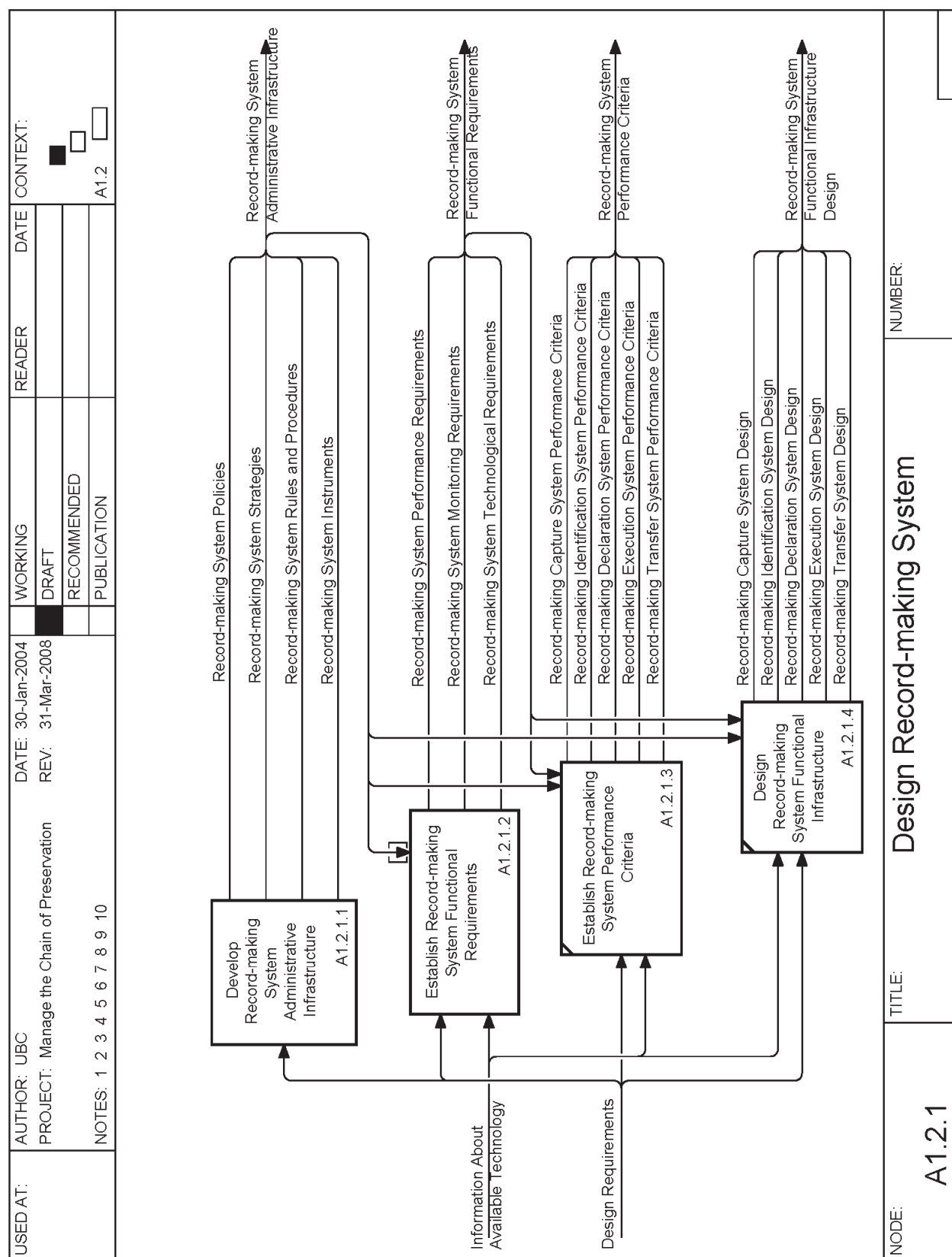


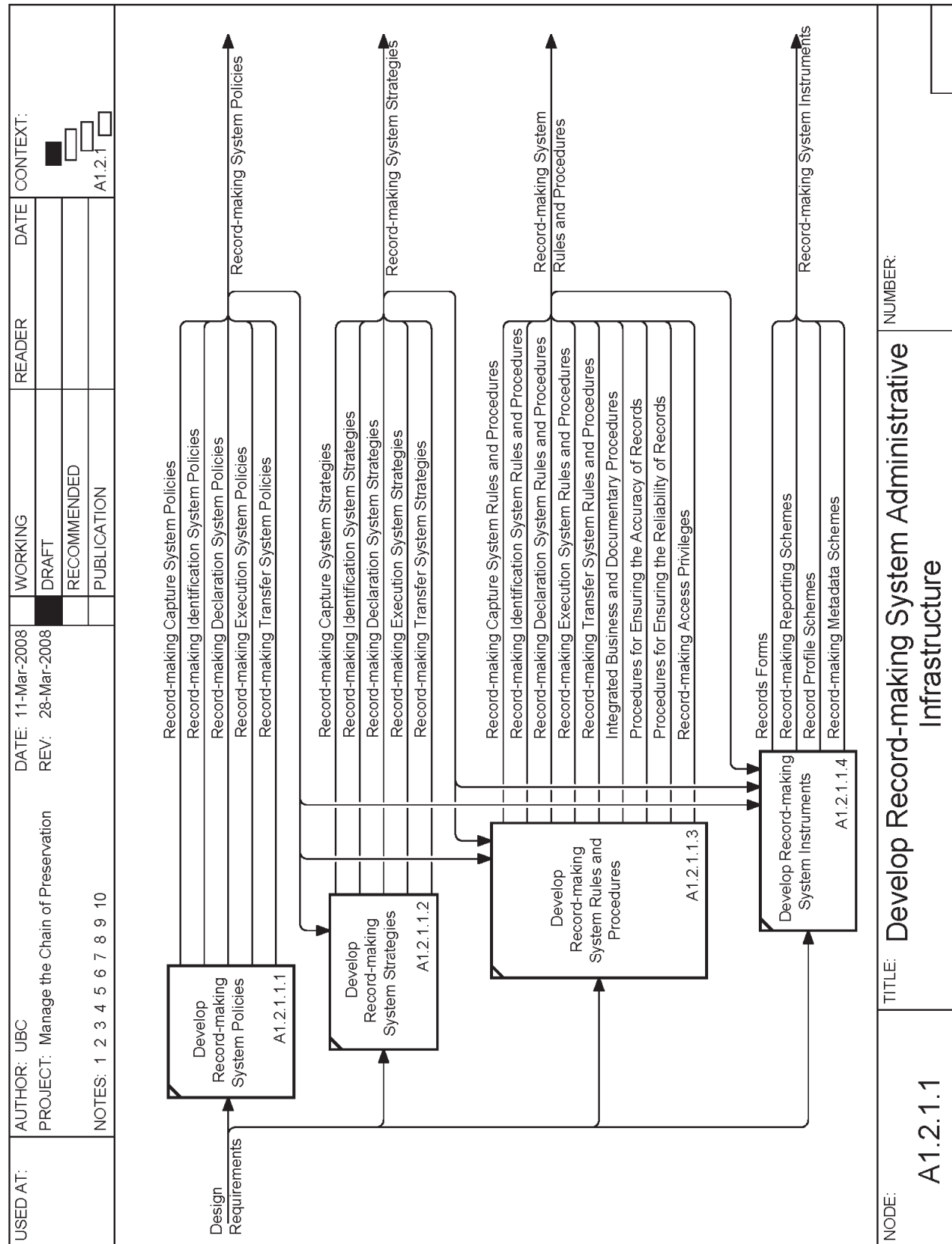



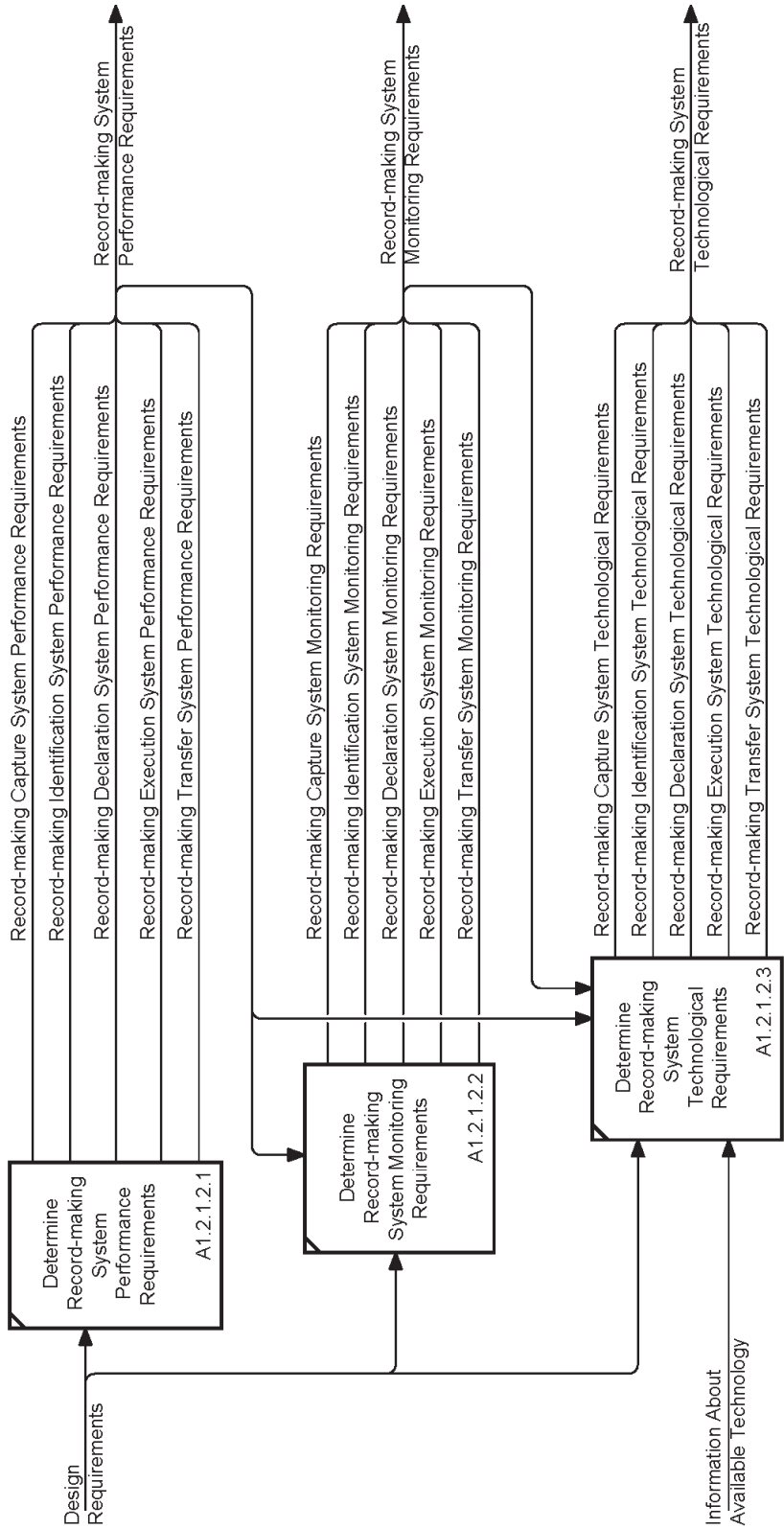


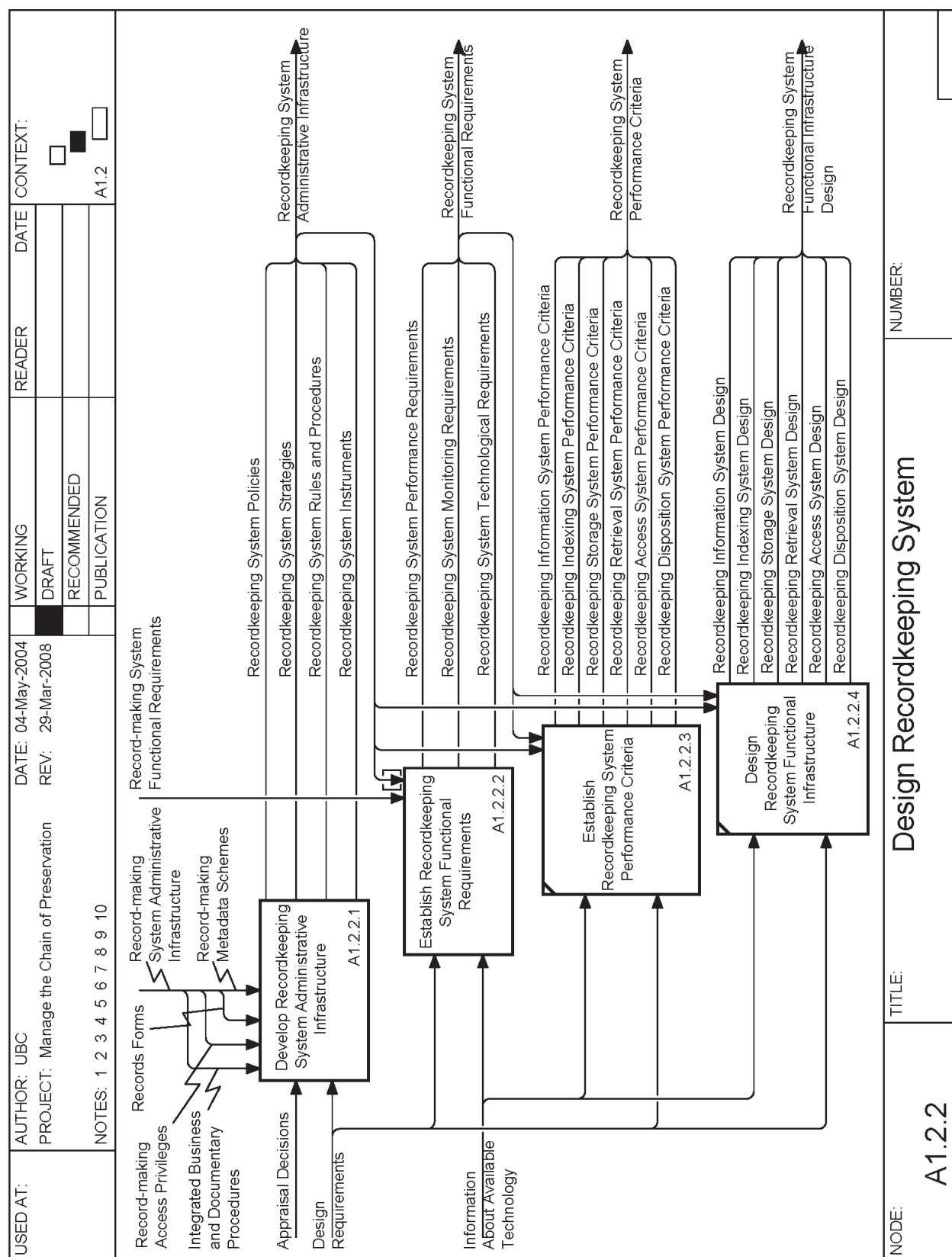


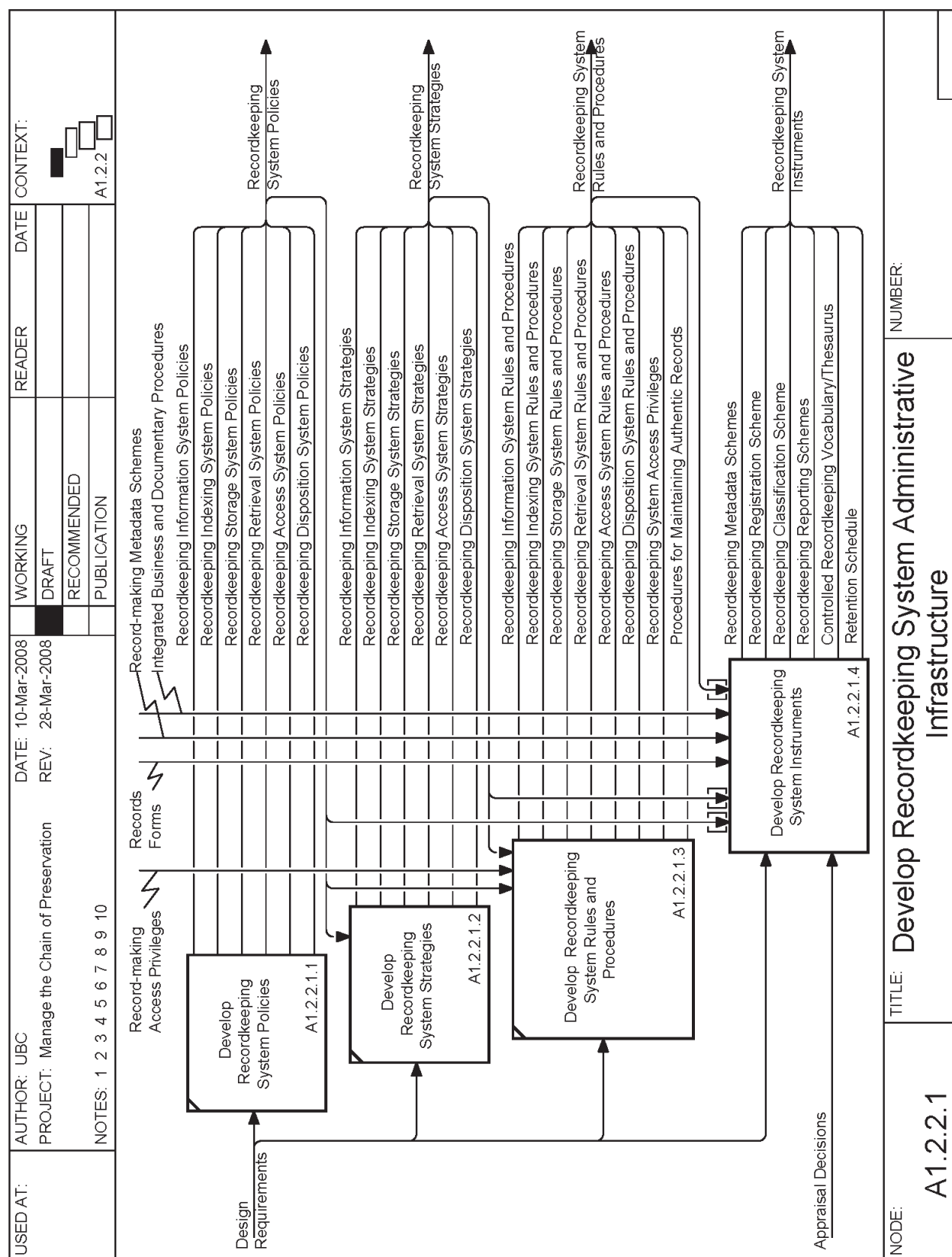


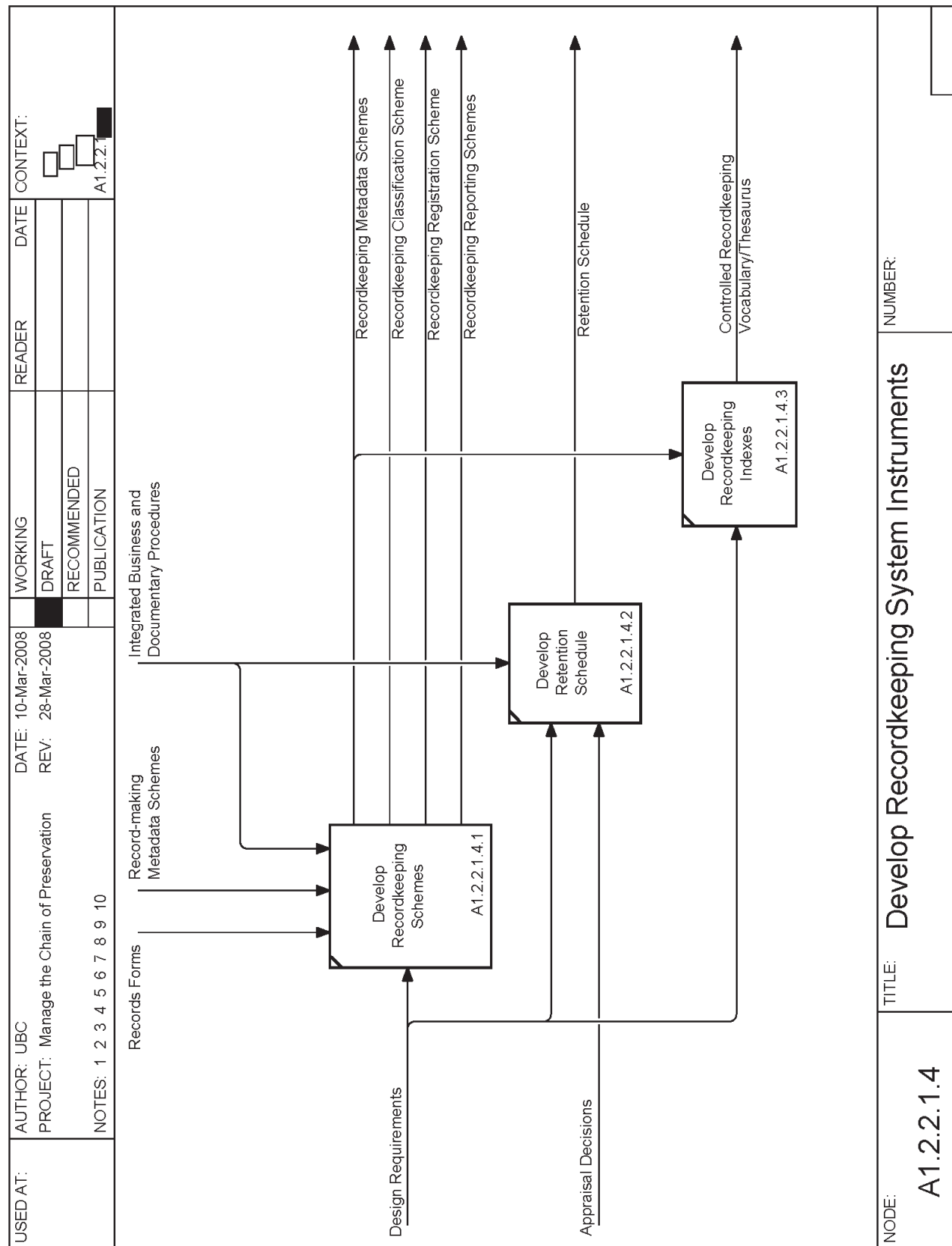


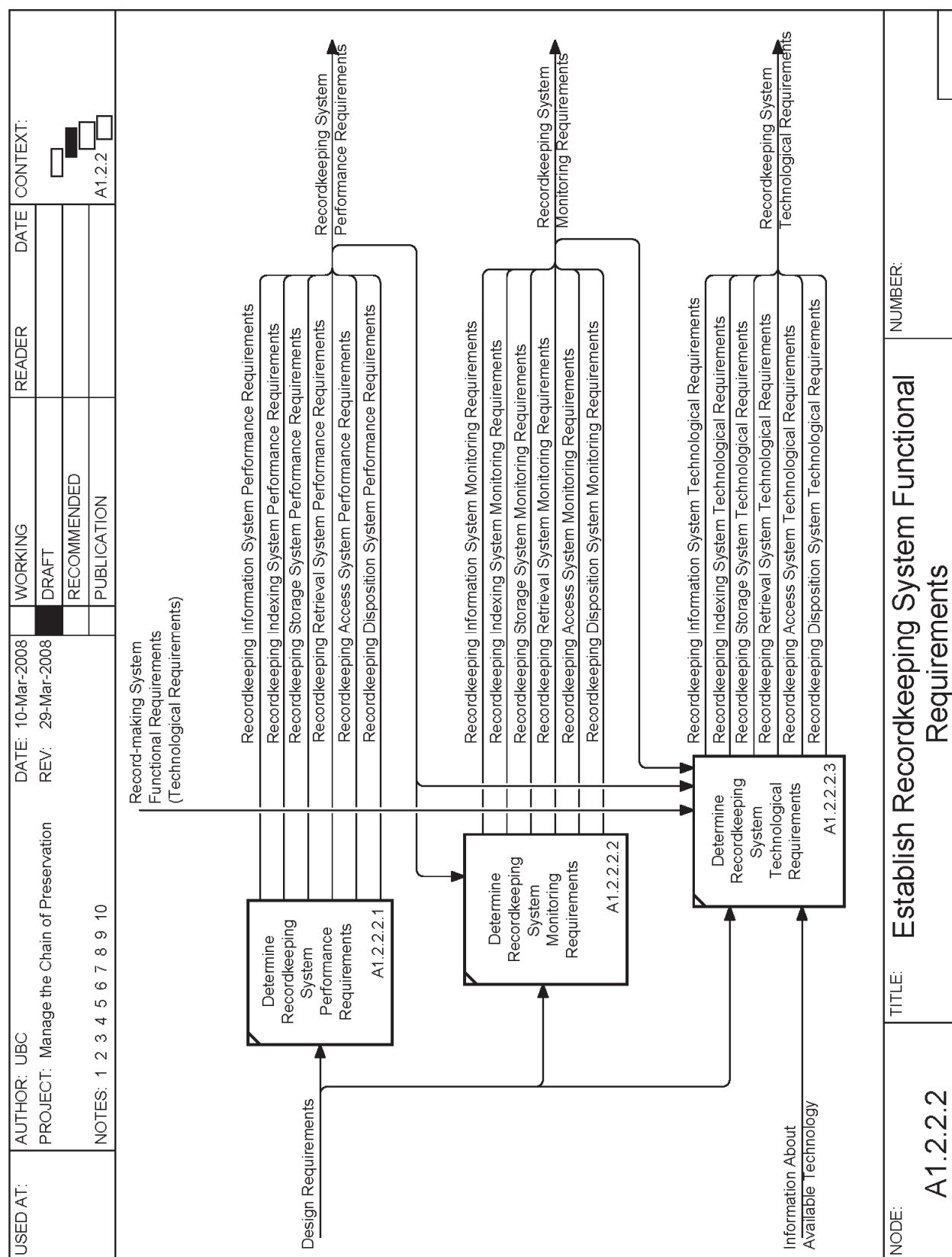


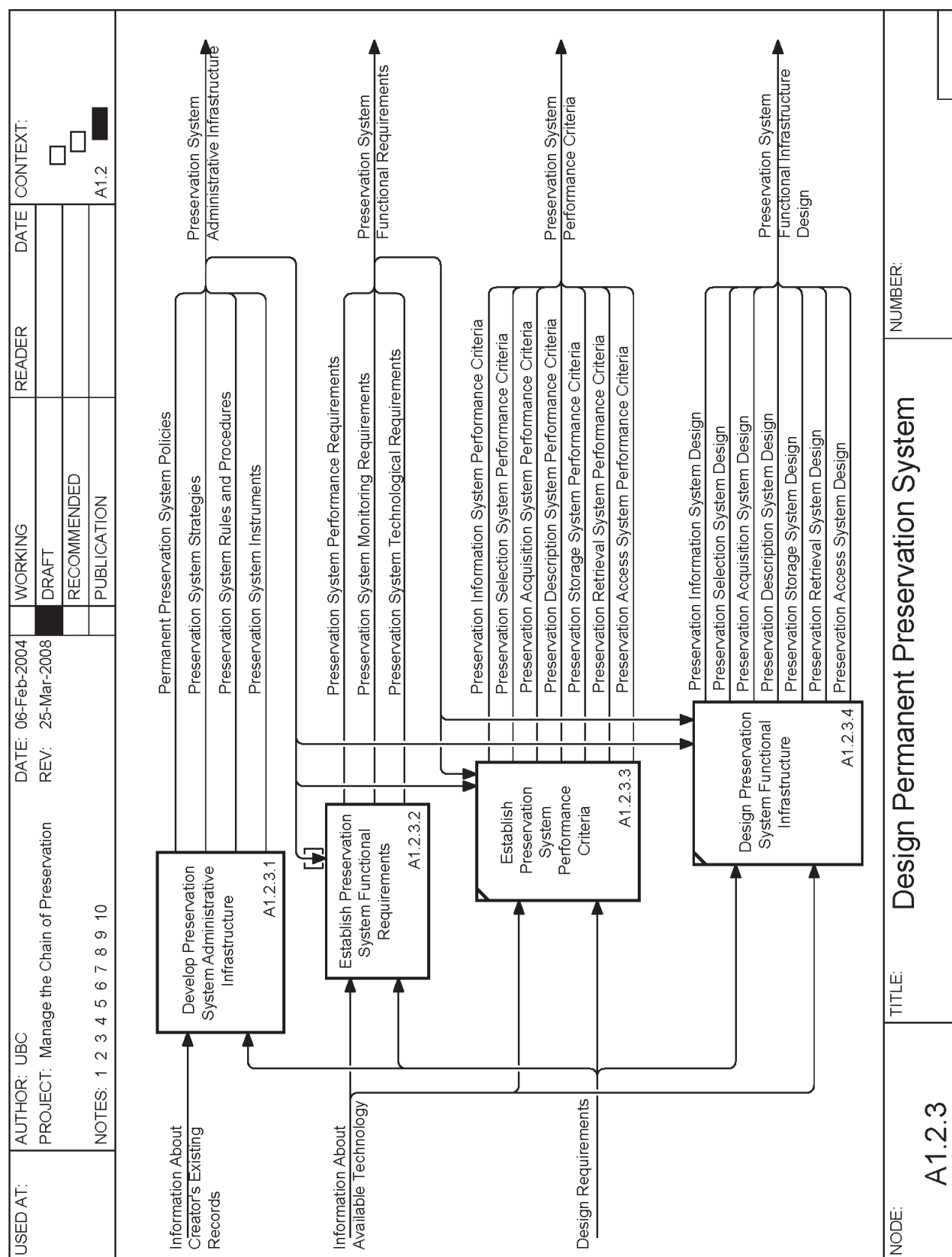
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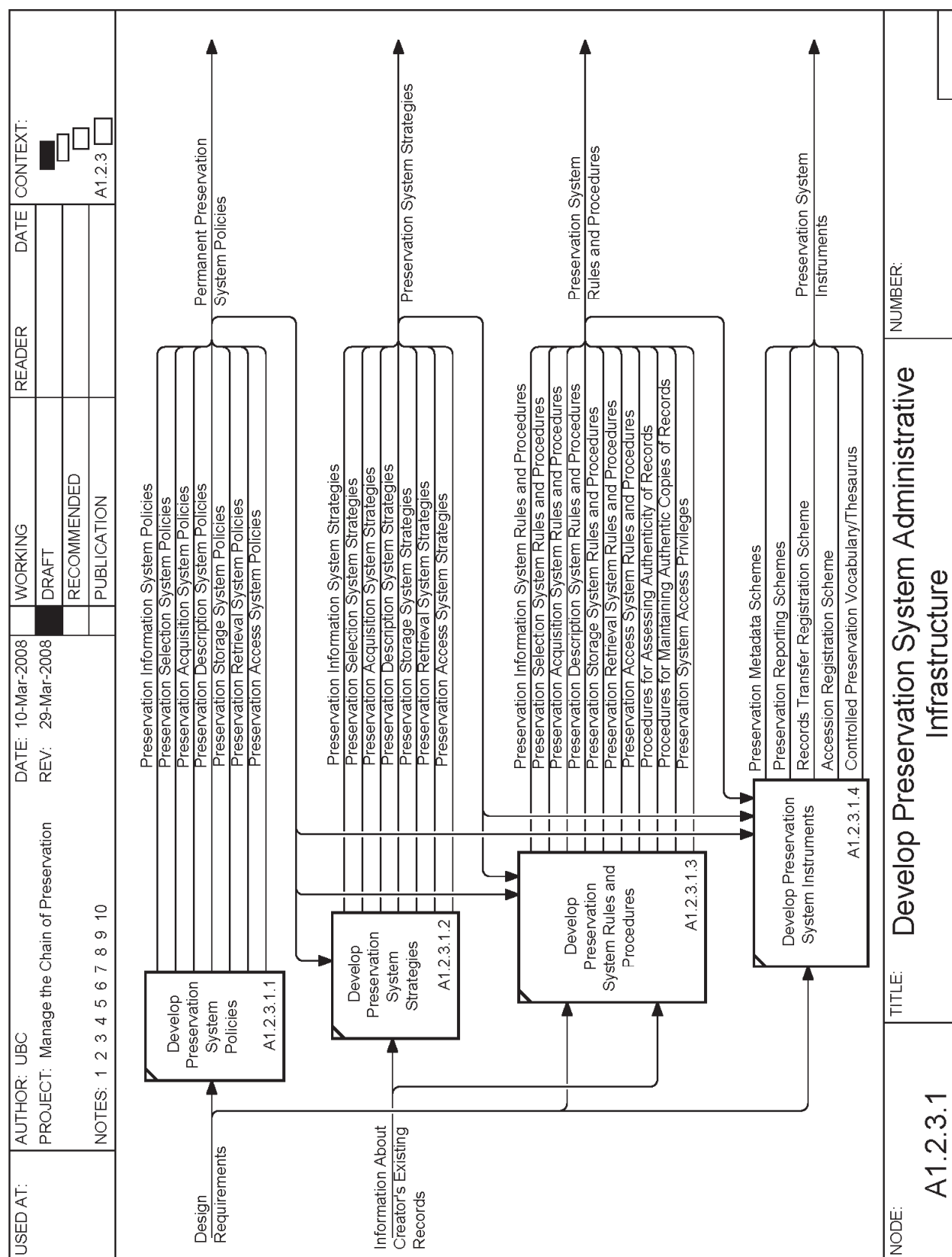












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Design Requirements

Determine Preservation System Performance Requirements
A1.2.3.2.1

Determine Preservation System Monitoring Requirements
A1.2.3.2.2

Determine Preservation System Technological Requirements
A1.2.3.2.3

Preservation Information System Performance Requirements

- Preservation Selection System Performance Requirements
- Preservation Acquisition System Performance Requirements
- Preservation Description System Performance Requirements
- Preservation Storage System Performance Requirements
- Preservation Retrieval System Performance Requirements
- Preservation Access System Performance Requirements

Preservation Information System Monitoring Requirements

- Preservation Selection System Monitoring Requirements
- Preservation Acquisition System Monitoring Requirements
- Preservation Description System Monitoring Requirements
- Preservation Storage System Monitoring Requirements
- Preservation Retrieval System Monitoring Requirements
- Preservation Access System Monitoring Requirements

Preservation Information System Technological Requirements

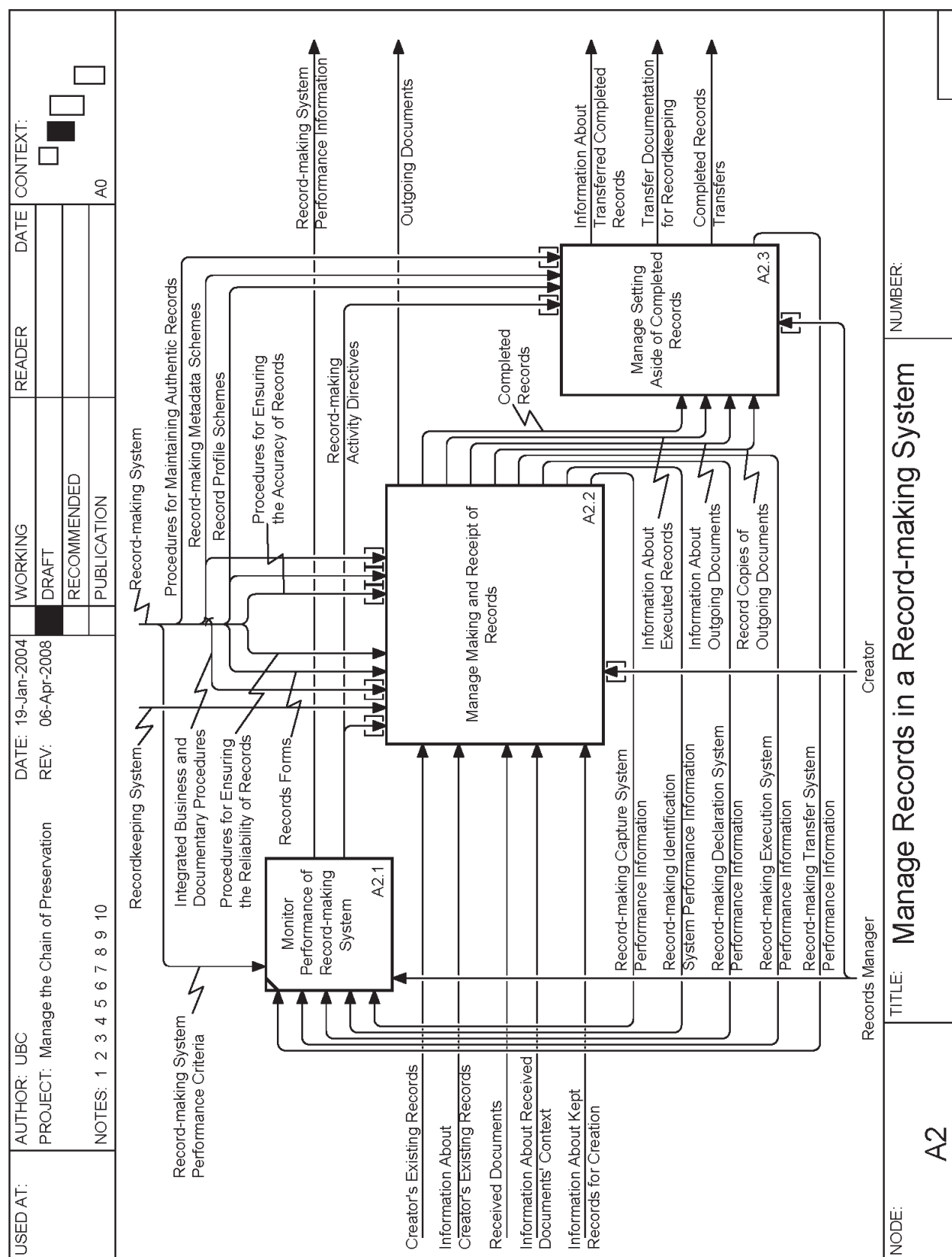
- Preservation Selection System Technological Requirements
- Preservation Acquisition System Technological Requirements
- Preservation Description System Technological Requirements
- Preservation Storage System Technological Requirements
- Preservation Retrieval System Technological Requirements
- Preservation Access System Technological Requirements

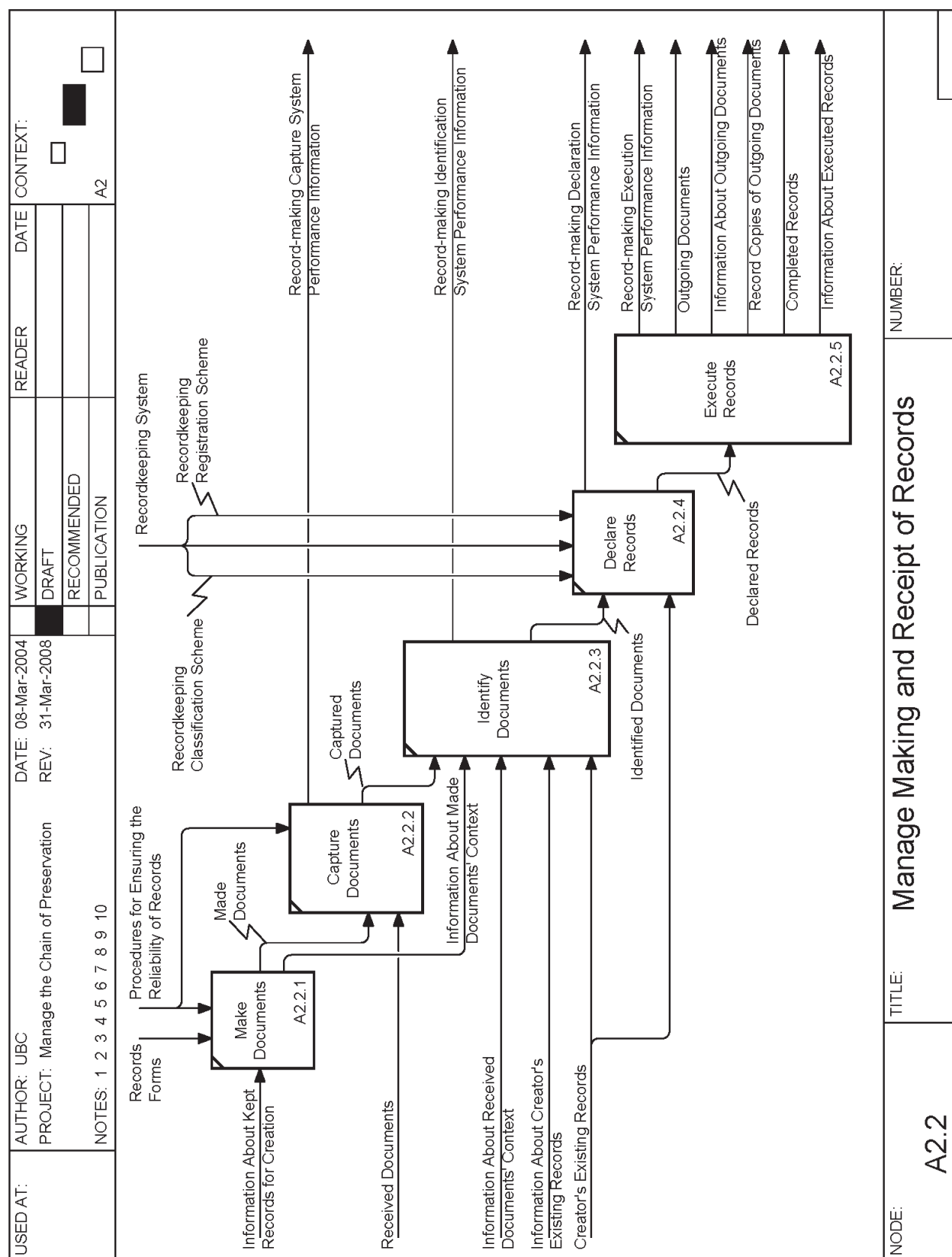
Preservation System Performance Requirements

Preservation System Monitoring Requirements

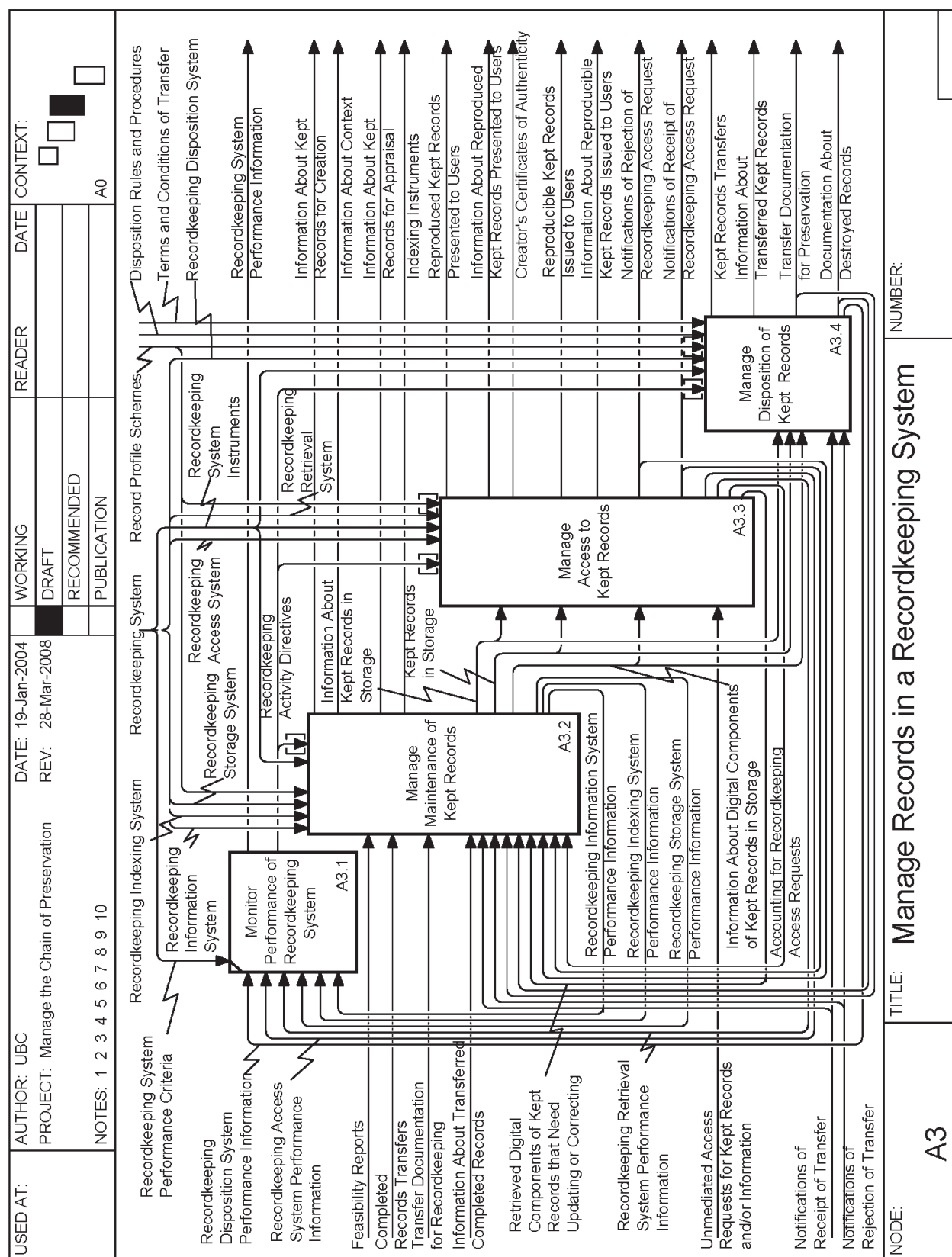
Preservation System Technological Requirements

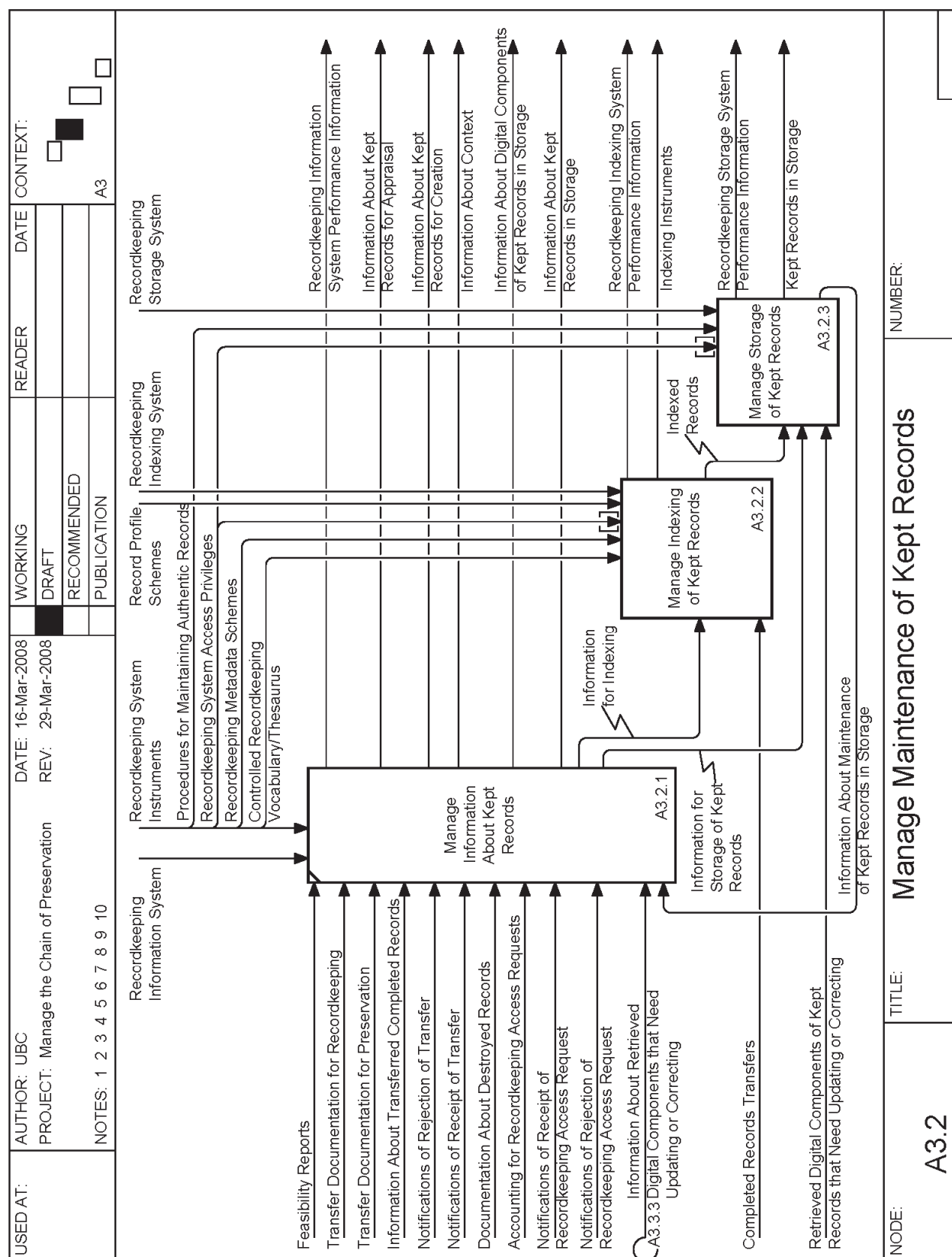
Information About Available Technology

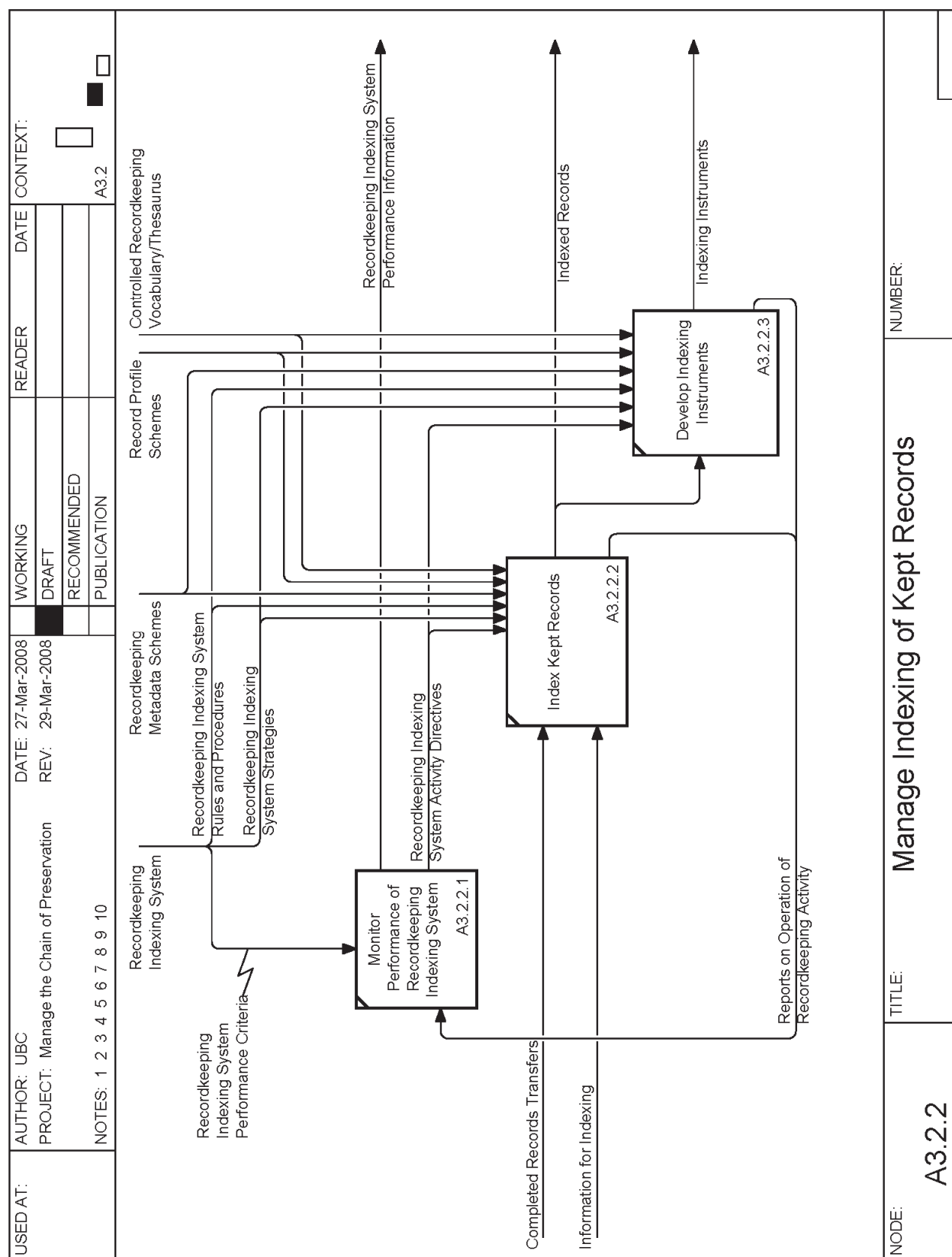


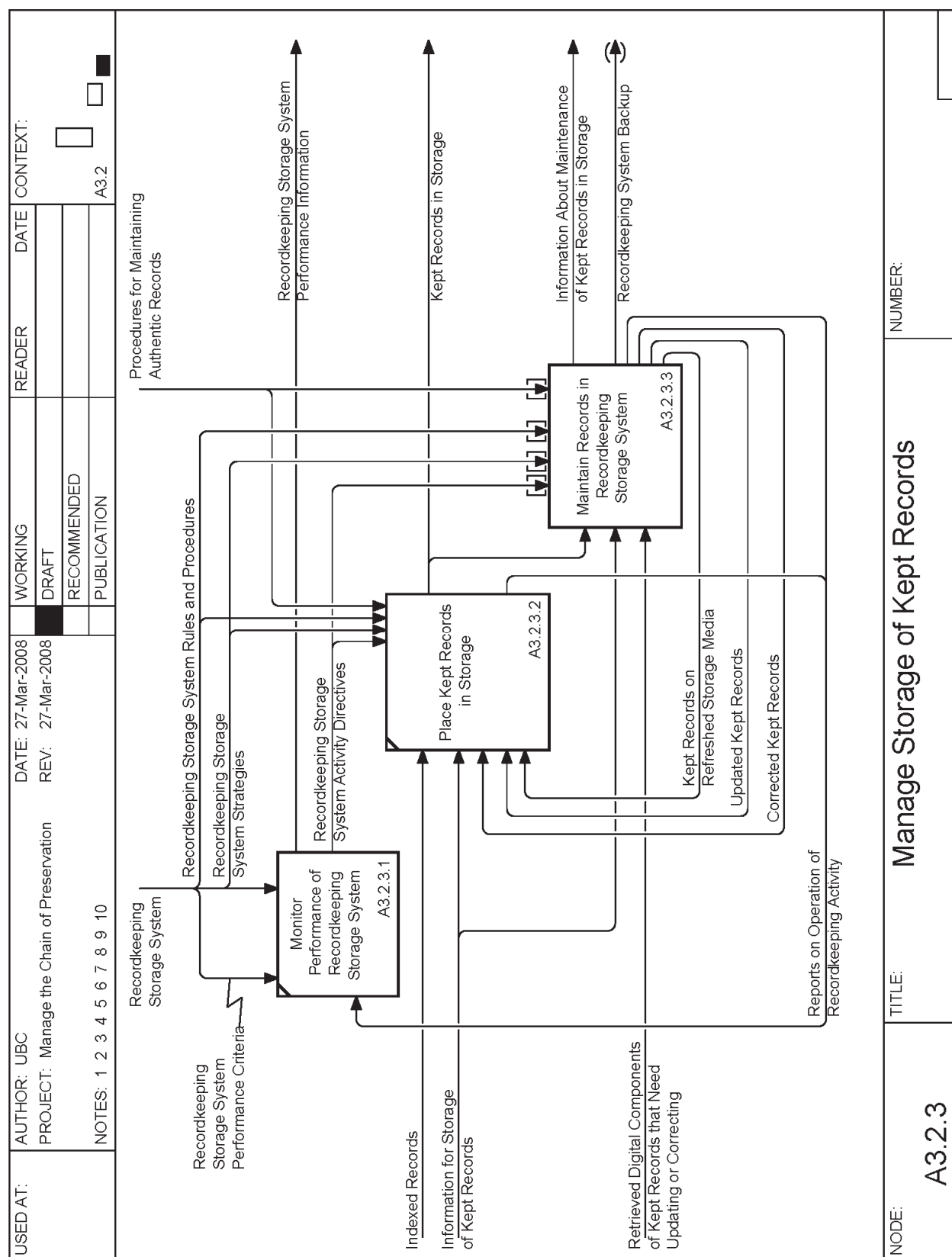


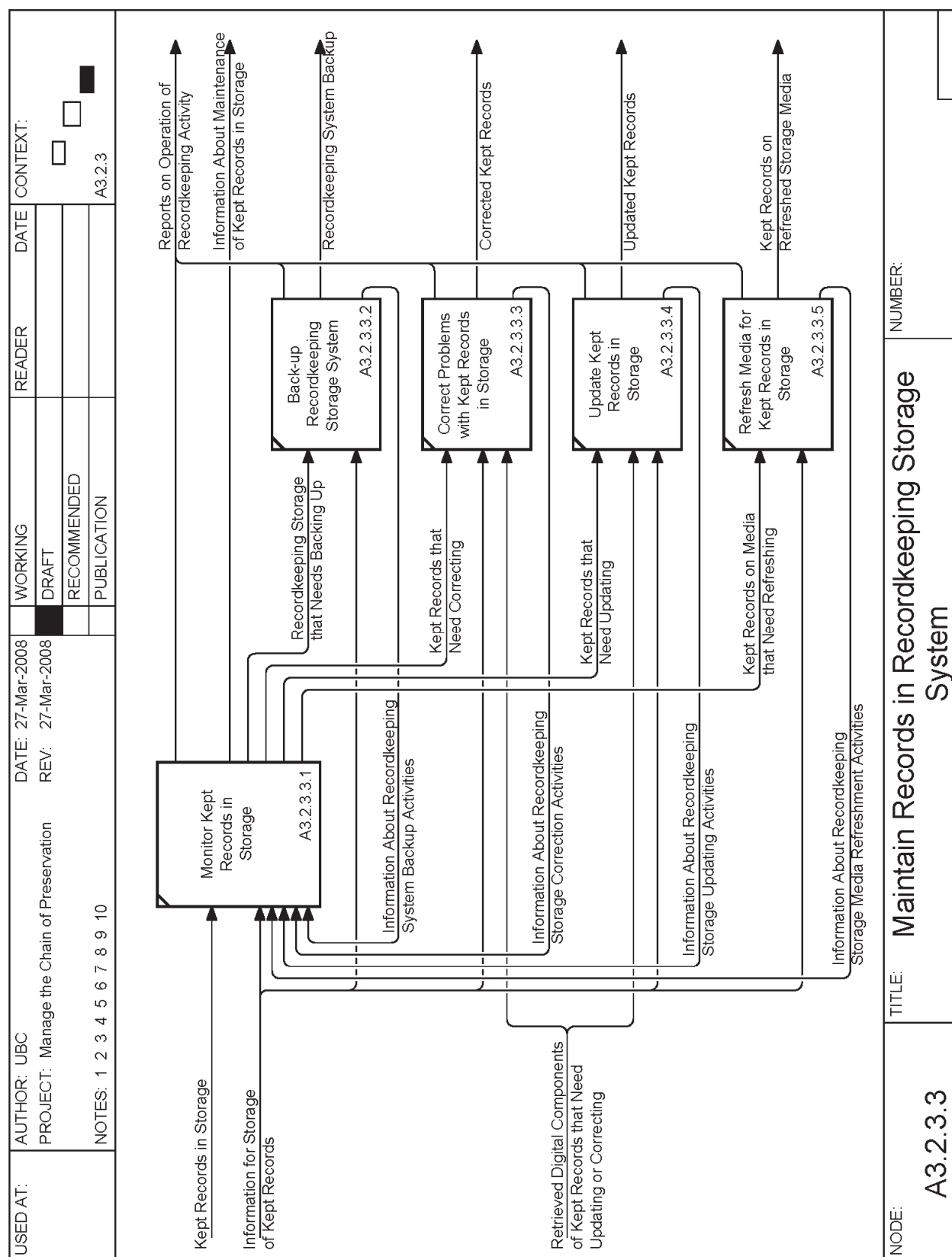
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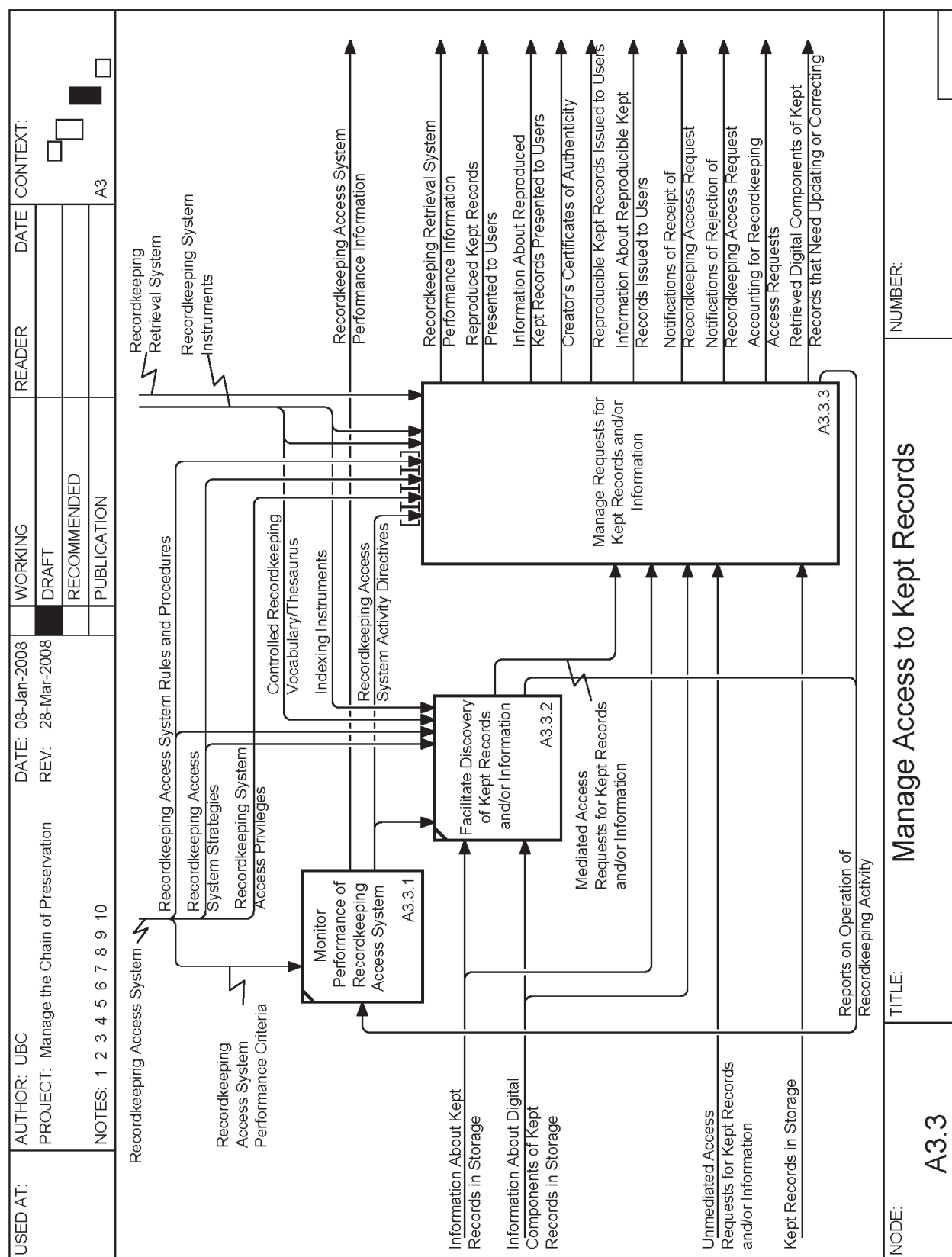


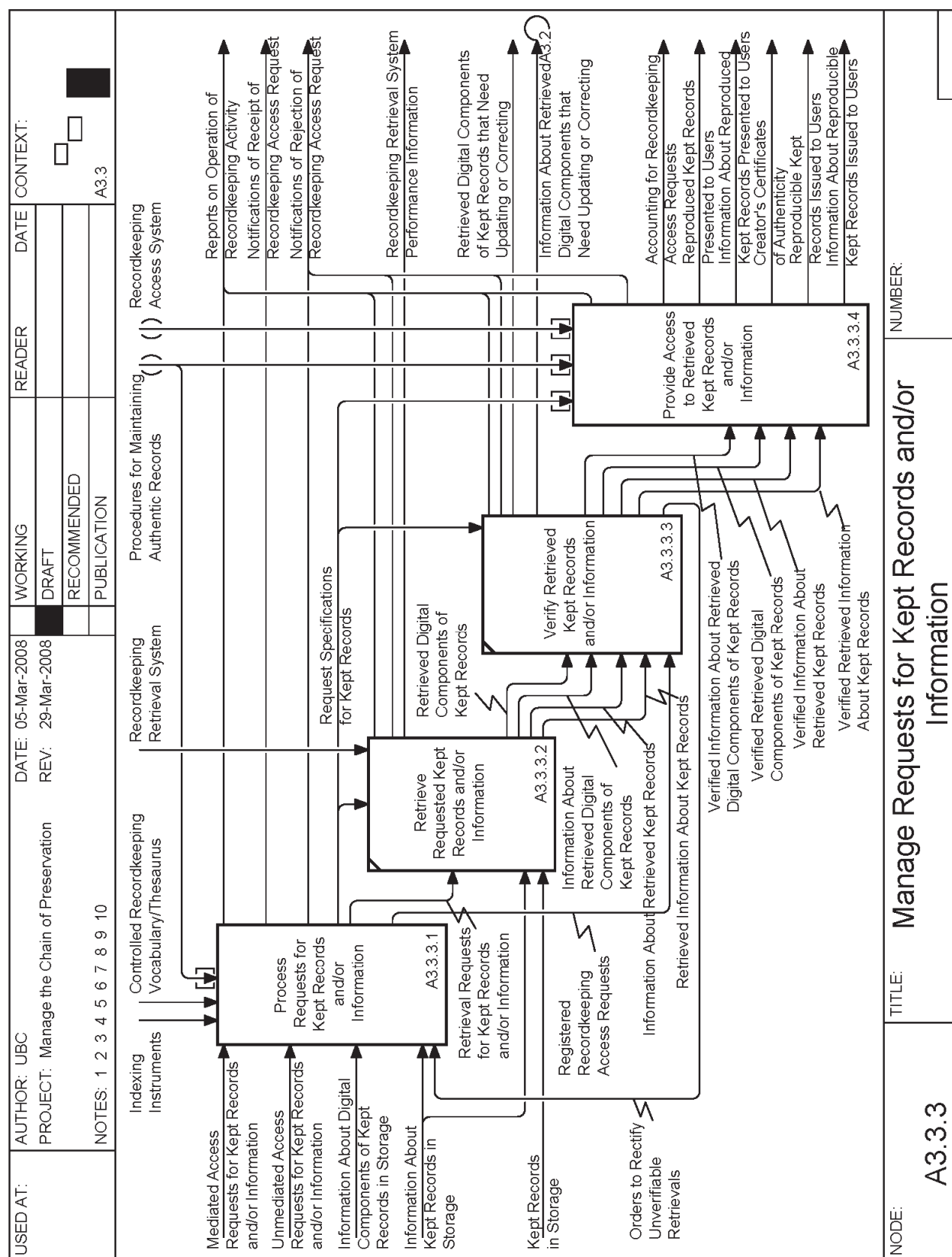


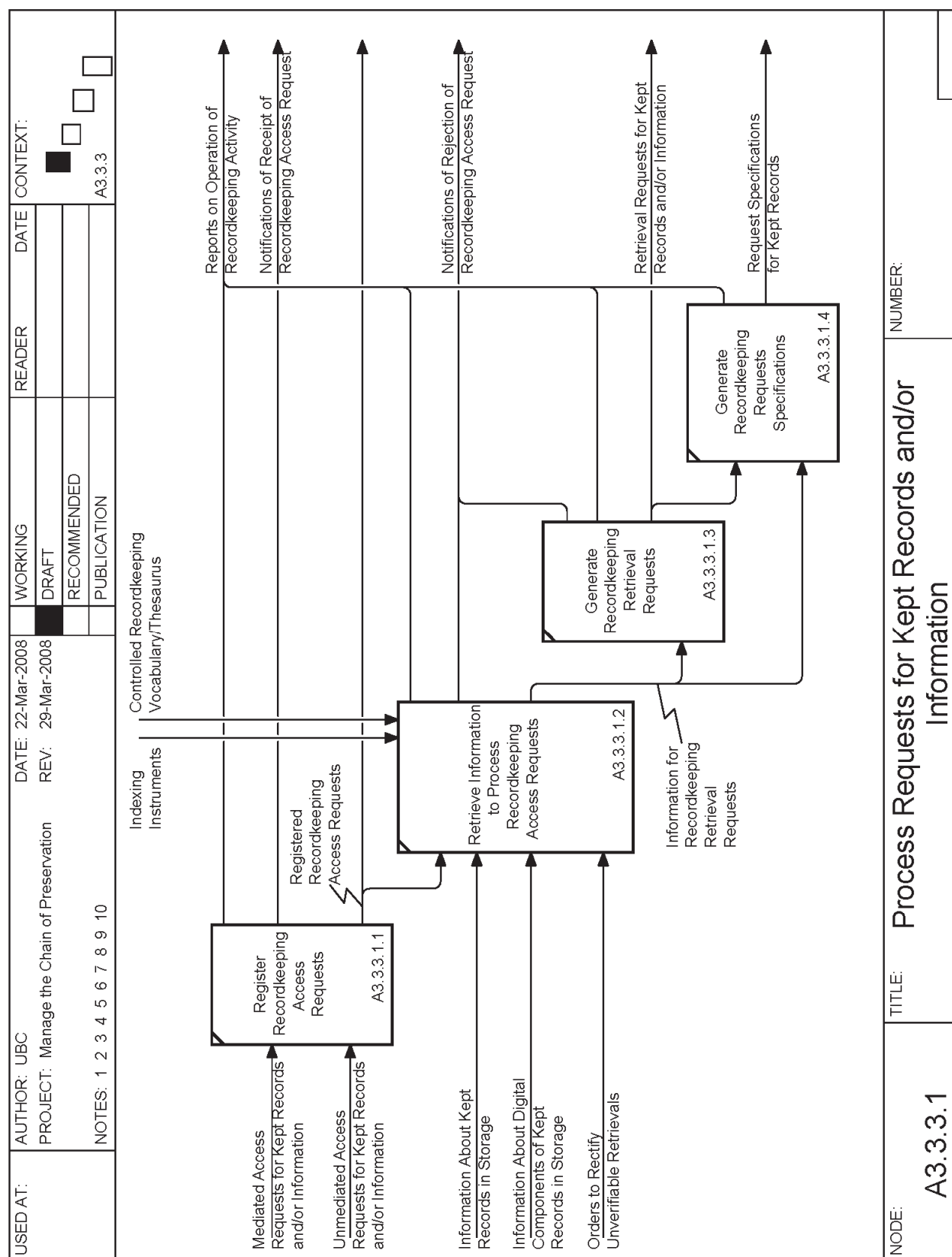


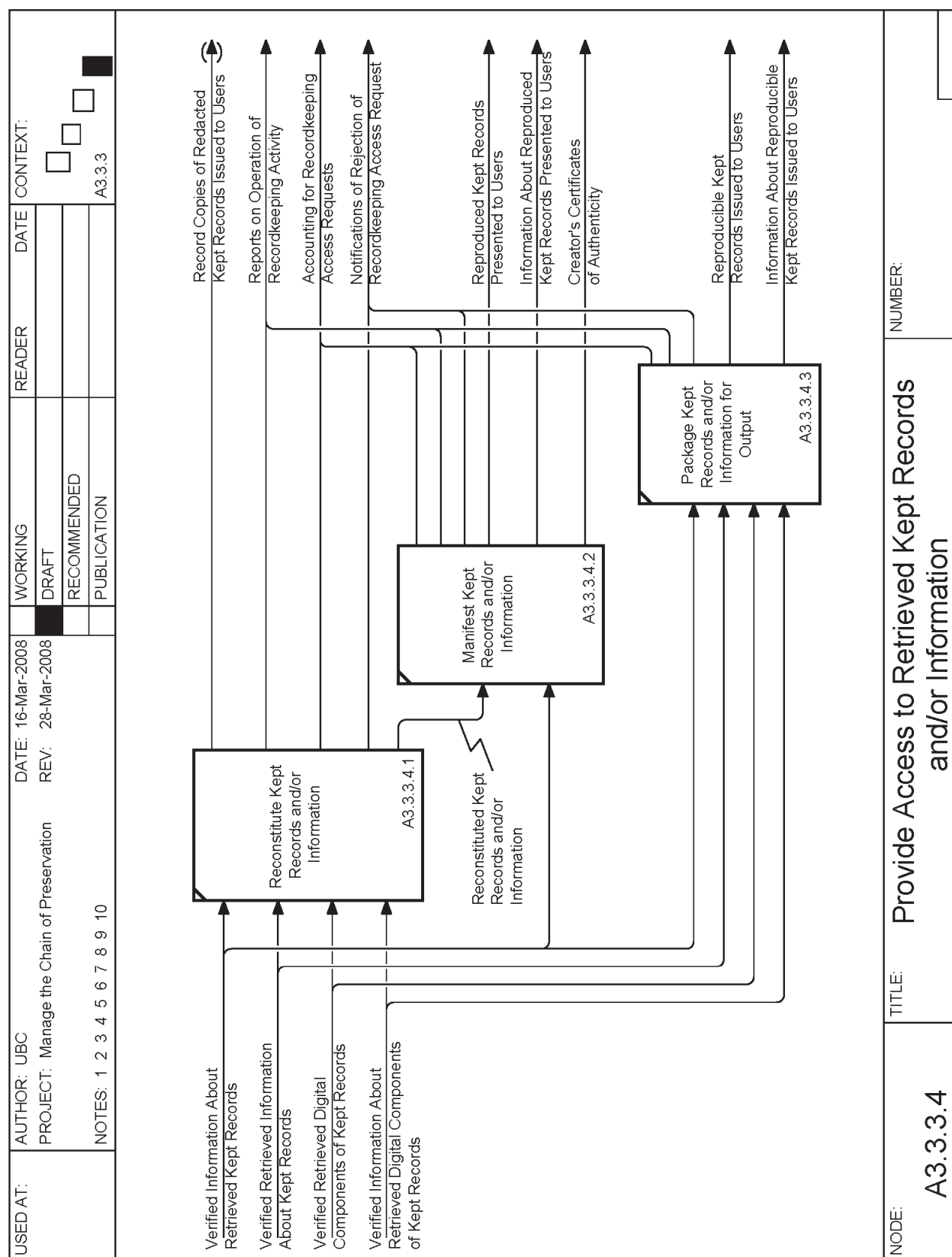


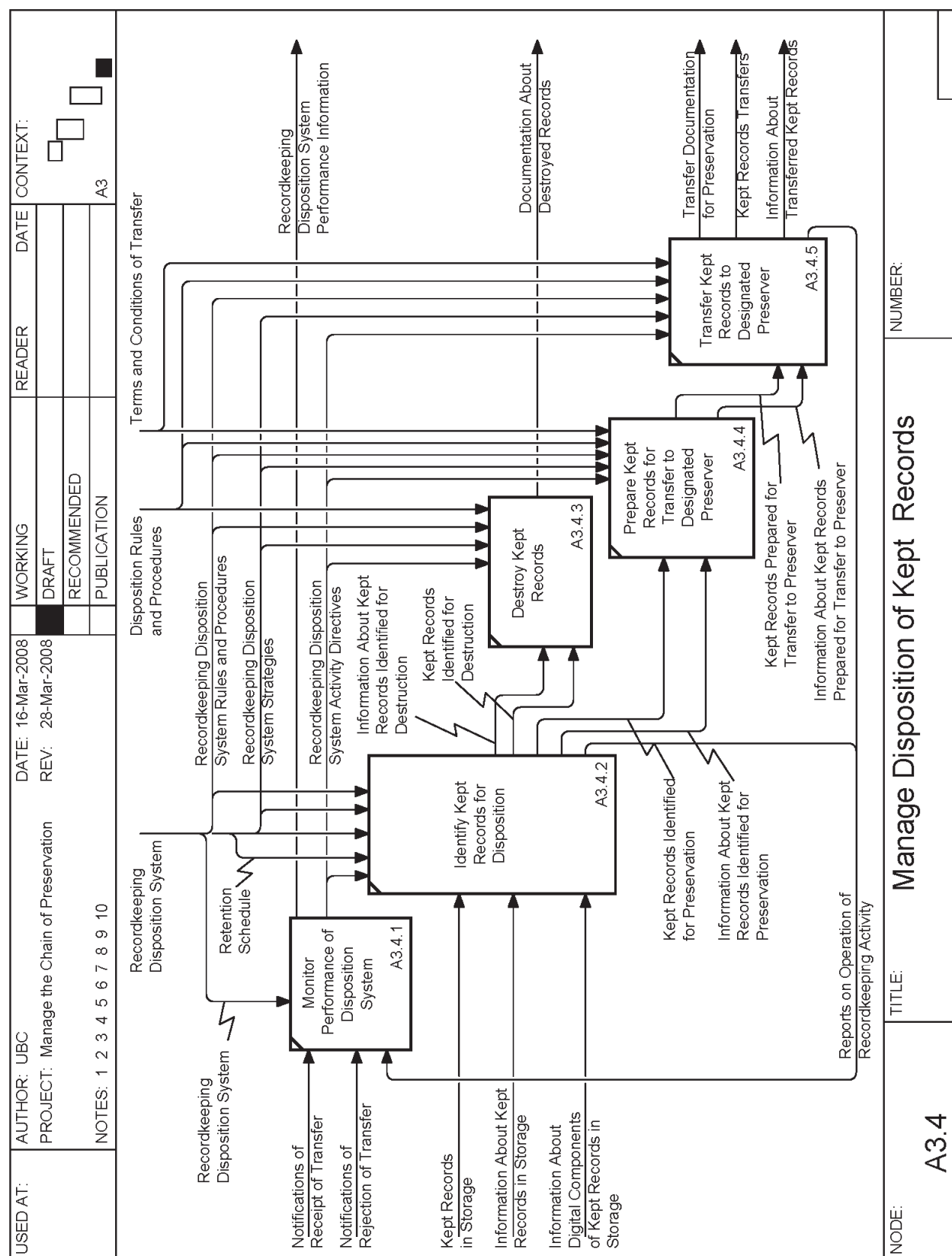


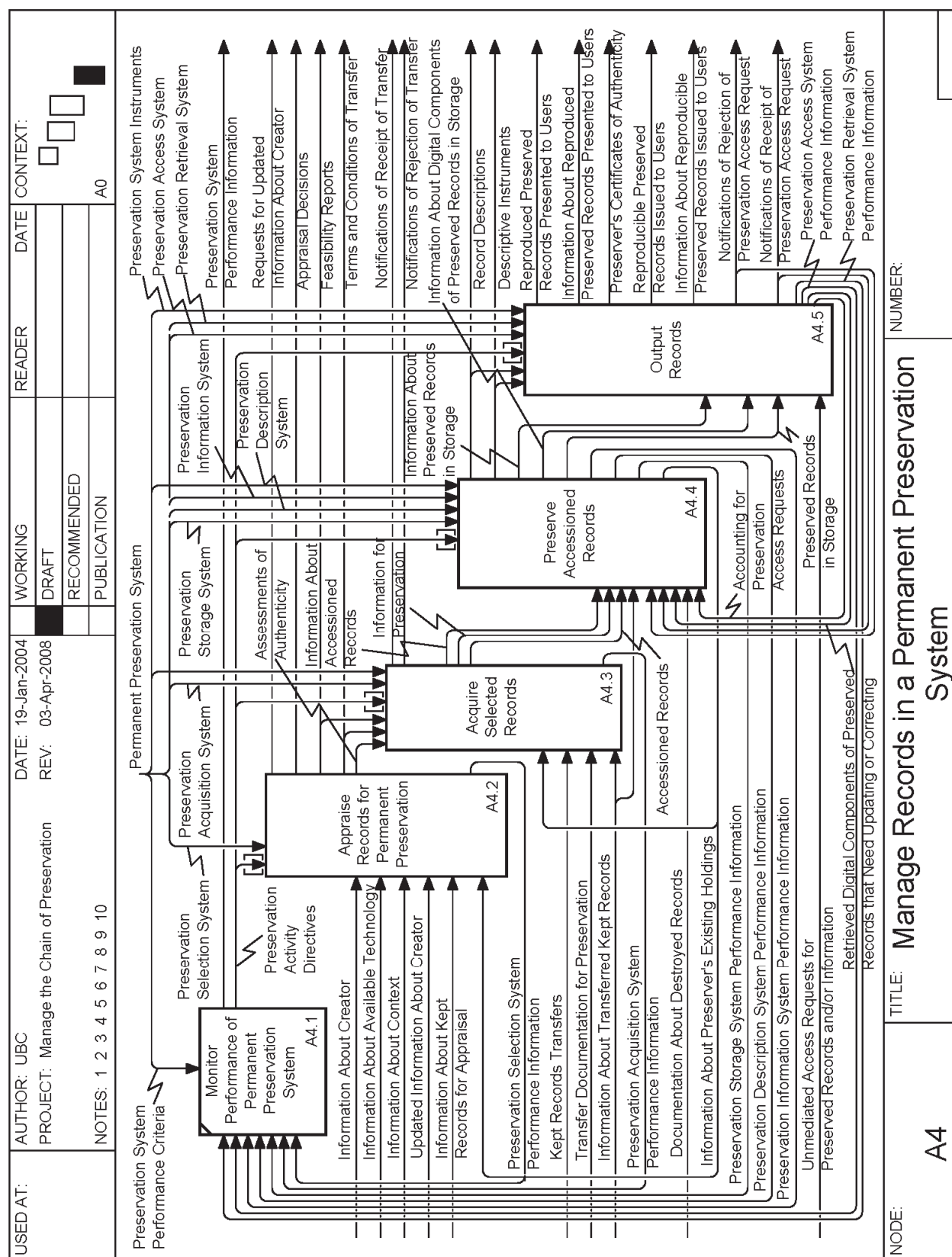


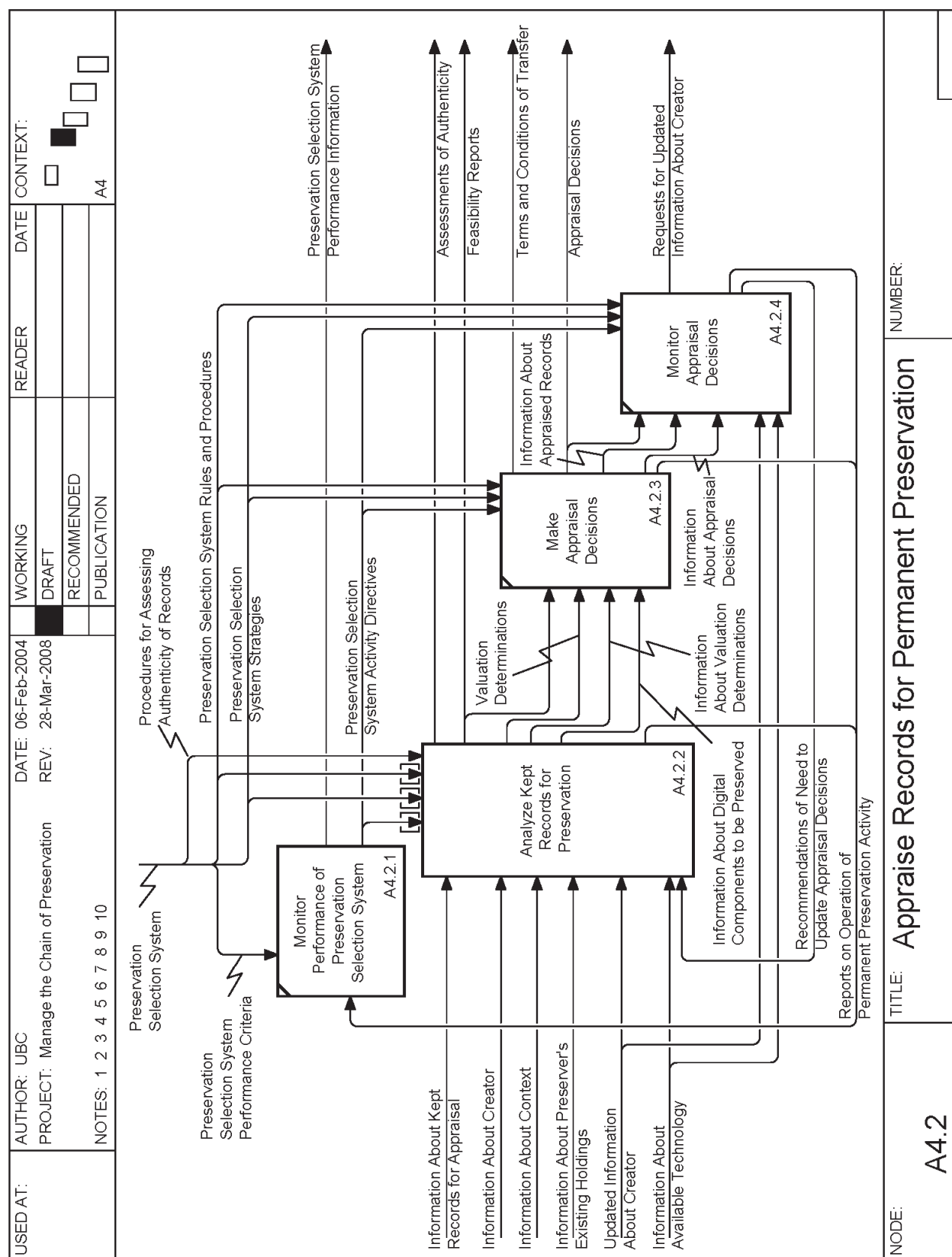


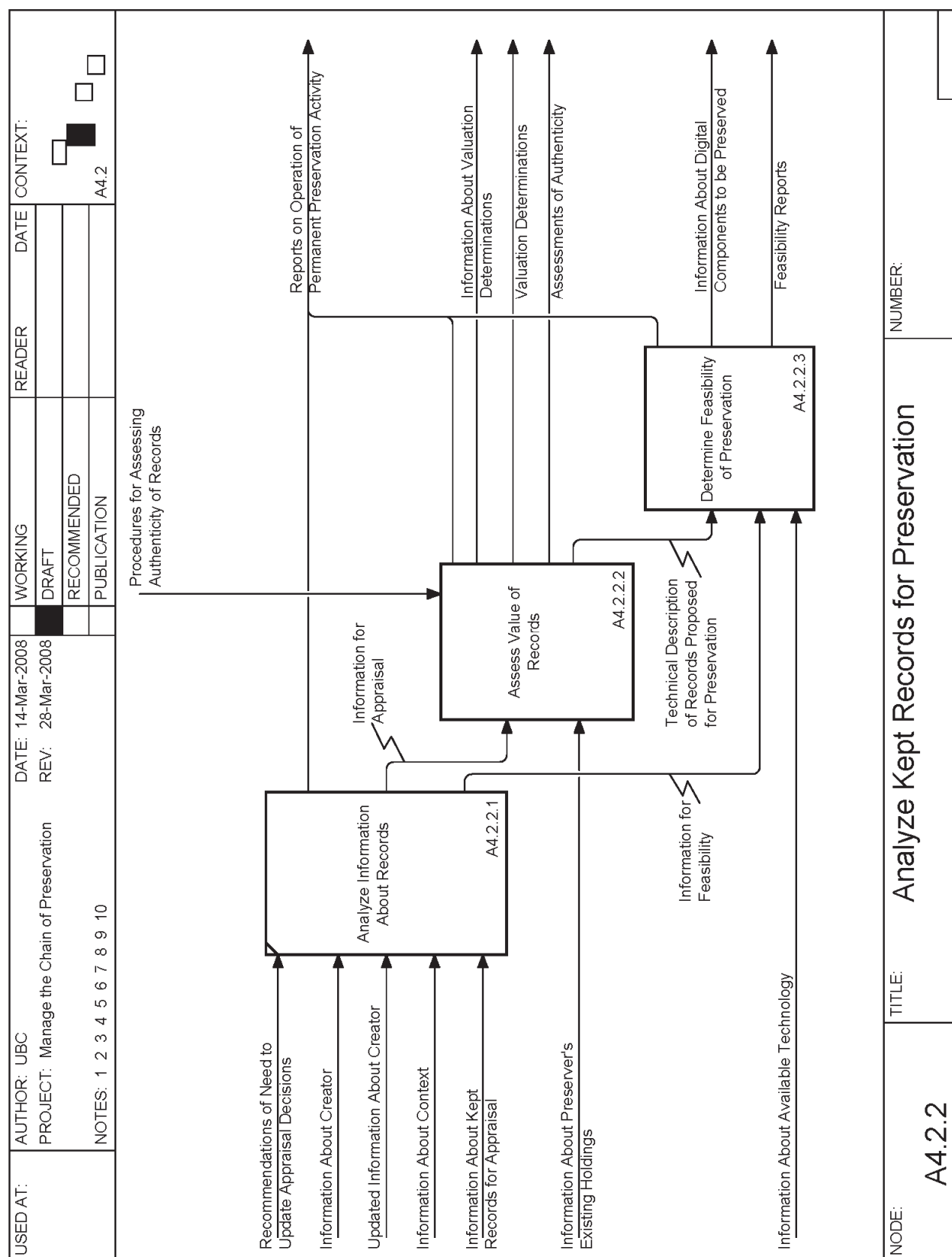












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Procedures for Assessing
Authenticity of Records

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graph TD
    A[Information for Appraisal] --> B[Assess Continuing Value of Records  
A4.2.2.2.1]
    B --> C[Assess Authenticity of Records  
A4.2.2.2.2]
    C --> D[Reports on Operation of Permanent Preservation Activity]
    C --> E[Technical Description of Records Proposed for Preservation]
    C --> F[Assessments of Authenticity]
    D --> G[Determine Value of Records  
A4.2.2.2.3]
    E --> G
    F --> G
    G --> H[Information About Valuation Determinations]
    H --> I[Valuation Determinations]
    I -- "Assessments of Continuing Value" --> A
  
```

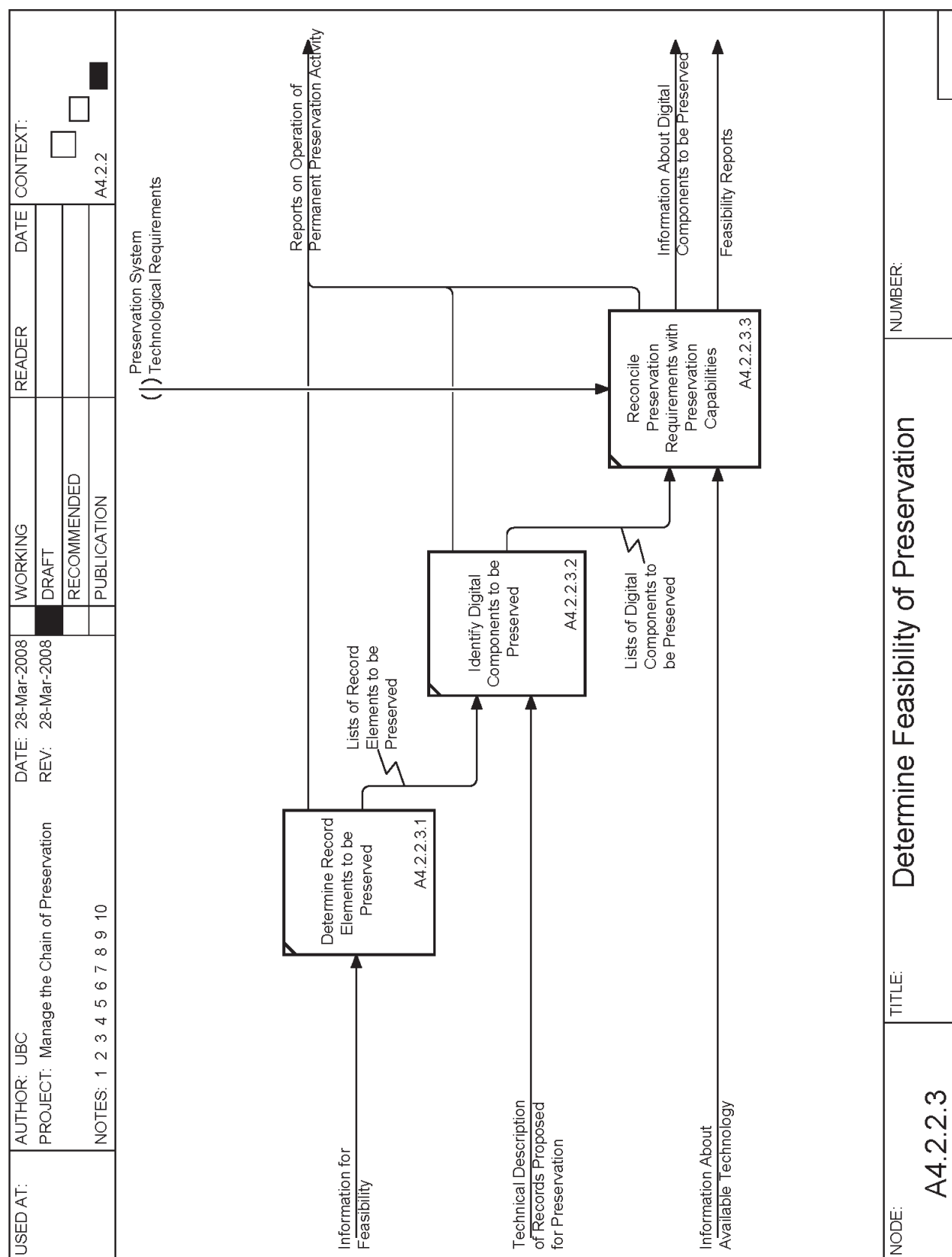

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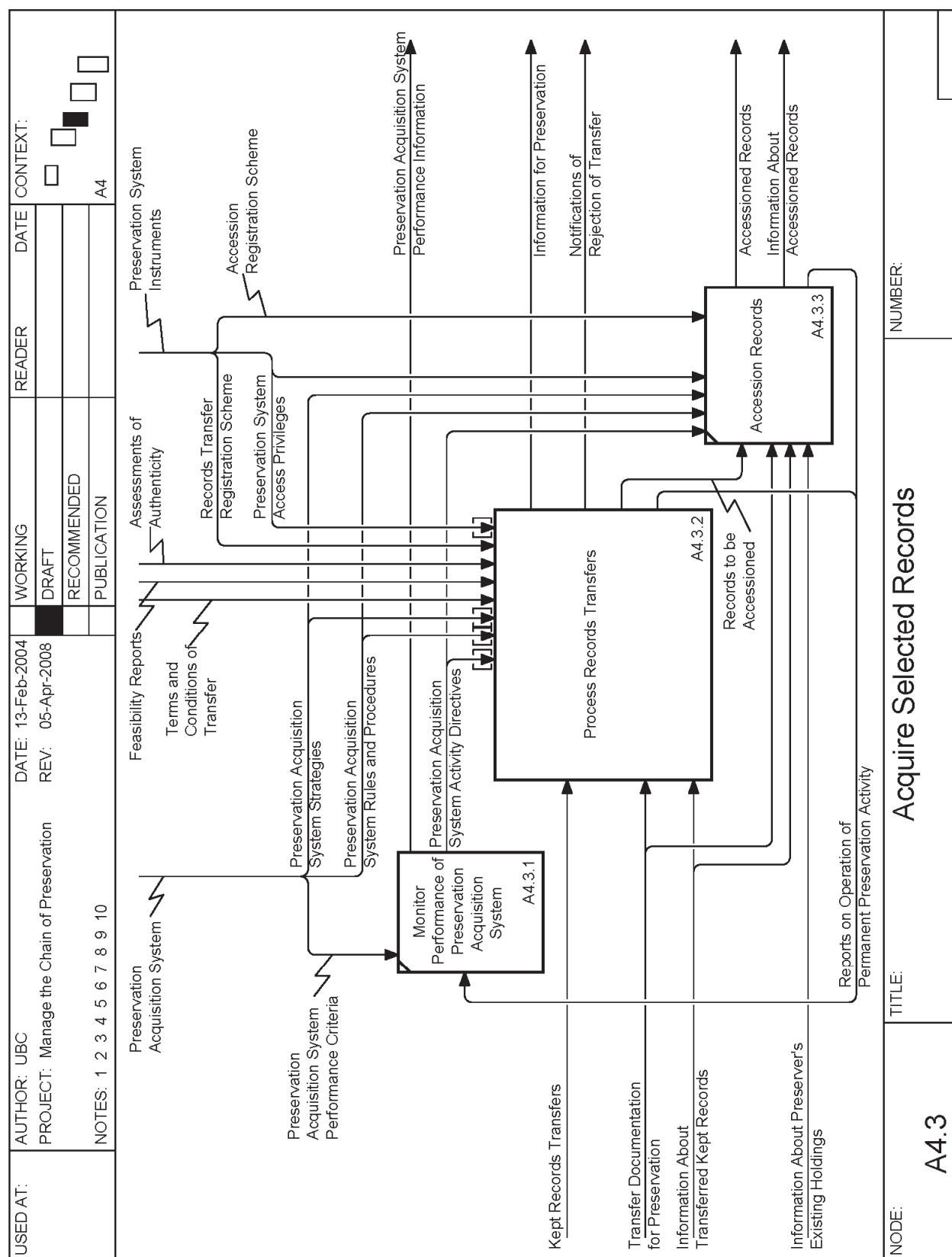
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graph TD
    A[Information for Appraisal] --> B[Compile Evidence Supporting the Presumption of Authenticity  
A4.2.2.2.1]
    B --> C[Evidence for the Presumption of Authenticity]
    C --> D[Measure Evidence Against Requirements For Authentic Records  
A4.2.2.2.2]
    D --> E[Reports on Operation of Permanent Preservation Activity]
    D --> F[Technical Description of Records Proposed for Preservation]
    D --> G[Assessments of Authenticity]
    G --> H[Verify Authenticity  
A4.2.2.2.3]
    I[Need for Verification] --> H
    H --> G
  
```

NODE: A4.2.2.2.2	TITLE: Assess Authenticity of Records	NUMBER:
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USED AT:	AUTHOR: UBC	DATE: 14-Mar-2008	WORKING	READER	DATE	CONTEXT:
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			RECOMMENDED			
			PUBLICATION			A4.3
NOTES: 1 2 3 4 5 6 7 8 9 10						


```

graph TD
    subgraph Inputs
        RRTS[Records Transfer Registration Scheme]
        KRT[Kept Records Transfers]
        TD[Transfer Documentation for Preservation]
        IAKR[Information About Transferred Kept Records]
    end

    subgraph Processes
        RT[Register Transfers A4.3.2.1]
        CAT[Confirm Authorization for Transfers A4.3.2.2]
        VCT[Verify Content of Transfers A4.3.2.3]
        CAR[Confirm Authenticity of Records A4.3.2.4]
        CFP[Confirm Feasibility of Preservation A4.3.2.5]
    end

    subgraph Outputs
        ROPAP[Reports on Operation of Permanent Preservation Activity]
        NRT[Notifications of Receipt of Transfer]
        NReT[Notifications of Rejection of Transfer]
        RA[Records to be Accessioned]
        IP[Information for Preservation]
    end

    RRT --> RT
    KRT --> RT
    TD --> RT
    TD --> CAT
    TD --> VCT
    TD --> CAR
    TD --> CFP
    IAKR --> VCT
    IAKR --> CAR
    IAKR --> CFP

    RT -- Registered Transfers --> CAT
    CAT -- Authorized Transfers --> VCT
    VCT -- Verified Transfers --> CAR
    CAR -- Authentic Records --> CFP

    CFP --> ROPAP
    CFP --> NRT
    CFP --> NReT
    CFP --> RA
    CFP --> IP
  
```

The flowchart illustrates the process of managing the chain of preservation for records transfers. It begins with the 'Records Transfer Registration Scheme' and 'Kept Records Transfers' feeding into the 'Register Transfers' process (A4.3.2.1). 'Transfer Documentation for Preservation' is a key input for all subsequent steps. The process flows through 'Confirm Authorization for Transfers' (A4.3.2.2), 'Verify Content of Transfers' (A4.3.2.3), 'Confirm Authenticity of Records' (A4.3.2.4), and finally 'Confirm Feasibility of Preservation' (A4.3.2.5). The final step produces five outputs: 'Reports on Operation of Permanent Preservation Activity', 'Notifications of Receipt of Transfer', 'Notifications of Rejection of Transfer', 'Records to be Accessioned', and 'Information for Preservation'. The flowchart also includes a feedback loop from 'Information About Transferred Kept Records' back to the verification and authenticity confirmation steps.

NOTE:	TITLE: Process Records Transfers		NUMBER:
A4.3.2			

USED AT:	AUTHOR: UBC	DATE: 13-Feb-2004	WORKING	READER	DATE	CONTEXT:
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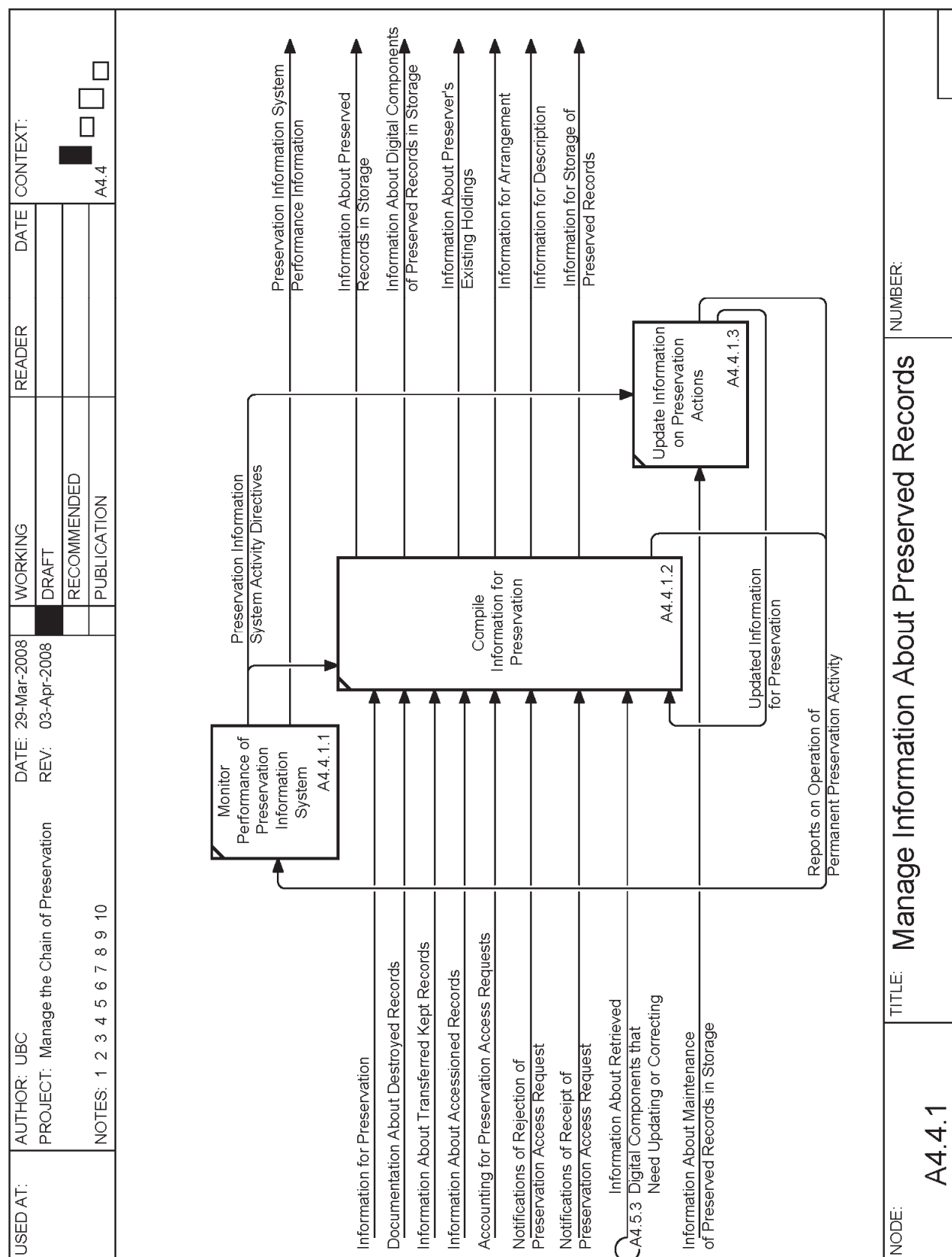
The diagram illustrates the workflow for managing accessioned records. It starts with input from the 'Preservation Information System' and 'Record Profile' into the 'Manage Information About Preserved Records' box. This leads to 'Manage Arrangement of Preserved Records', which then feeds into 'Manage Description of Preserved Records'. Finally, the output goes to 'Manage Storage of Preserved Records'. External systems like 'Preservation Storage System' and 'Performance Information System' are shown as outputs or related entities.

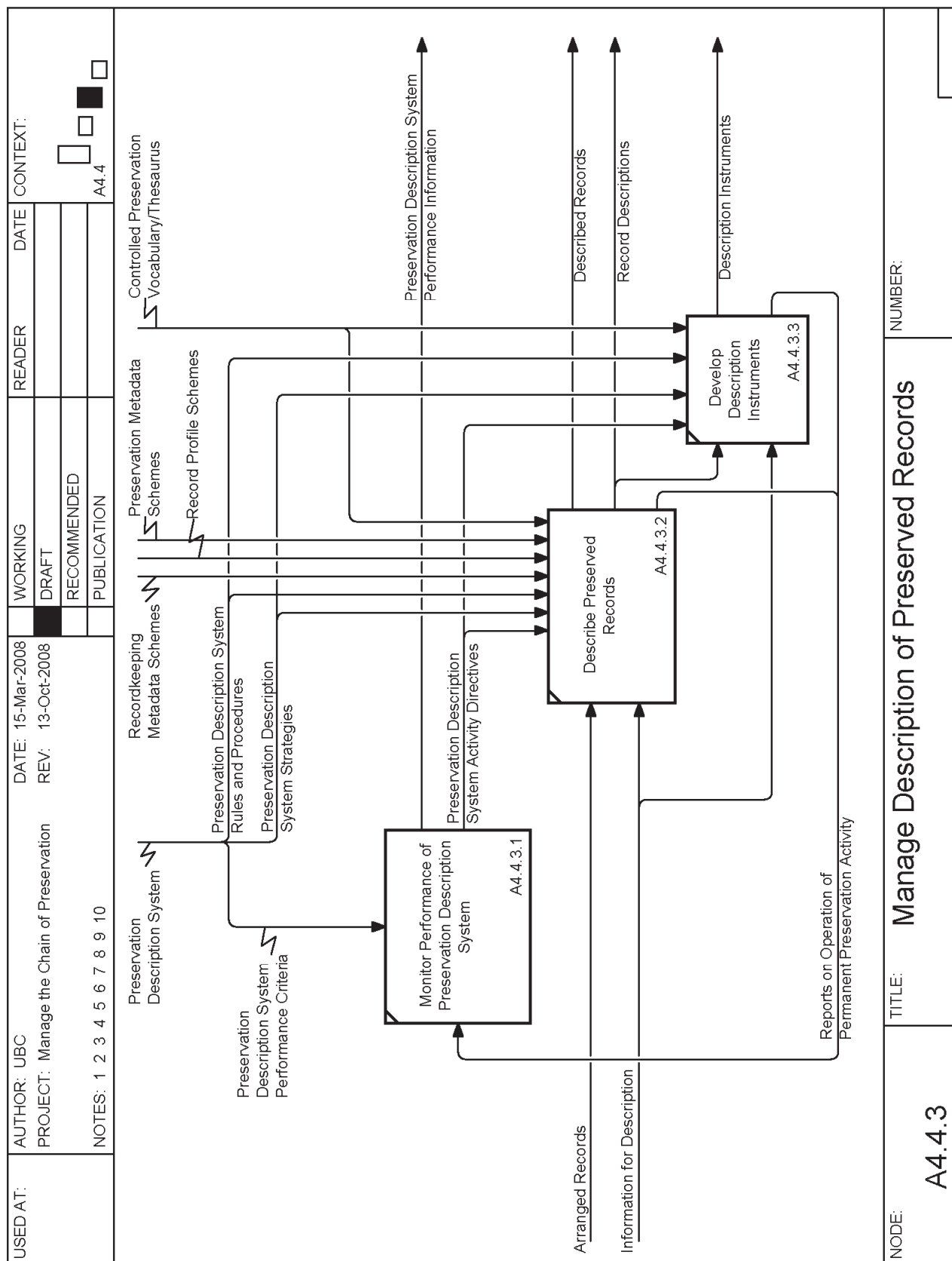
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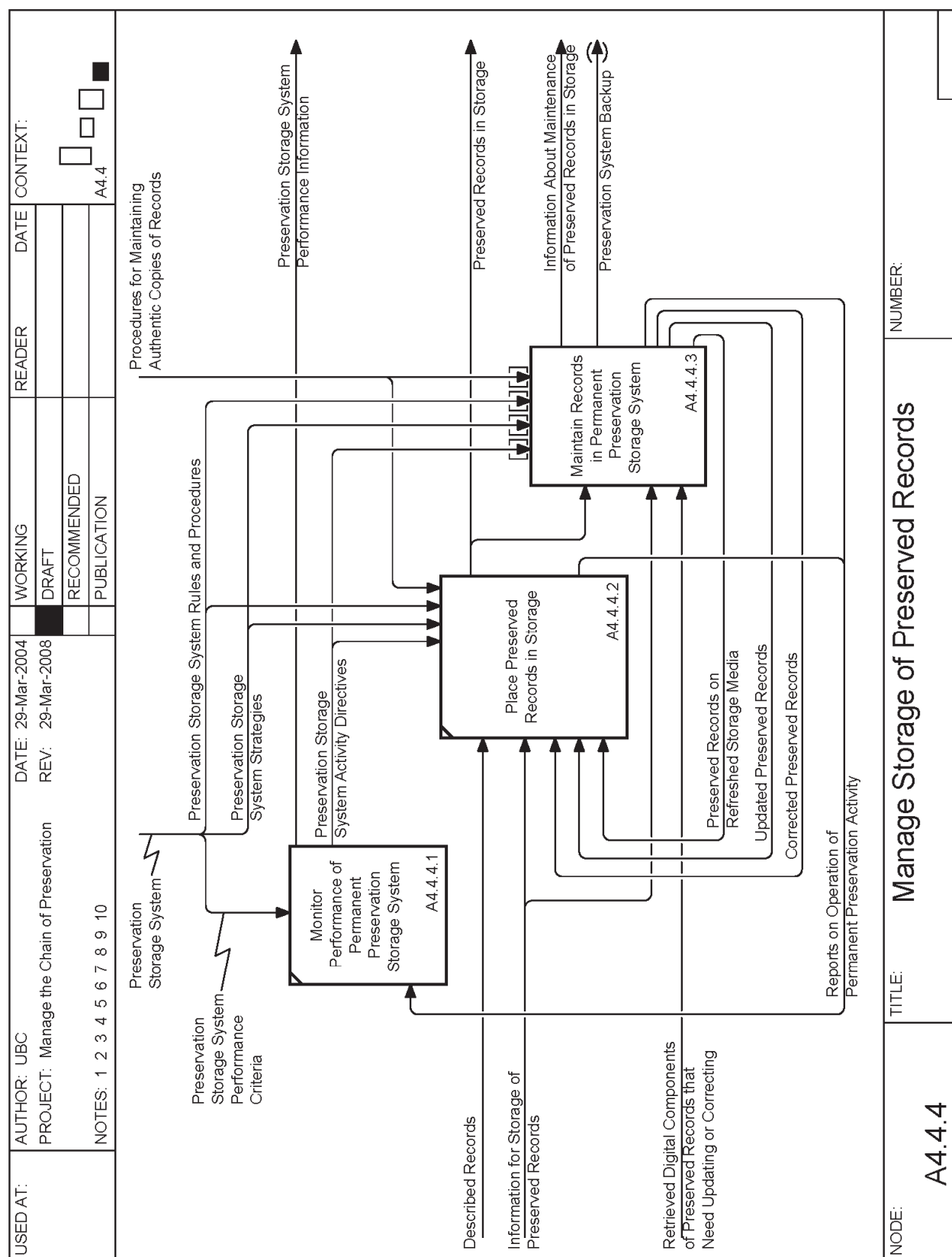
Preserve Accessioned Records

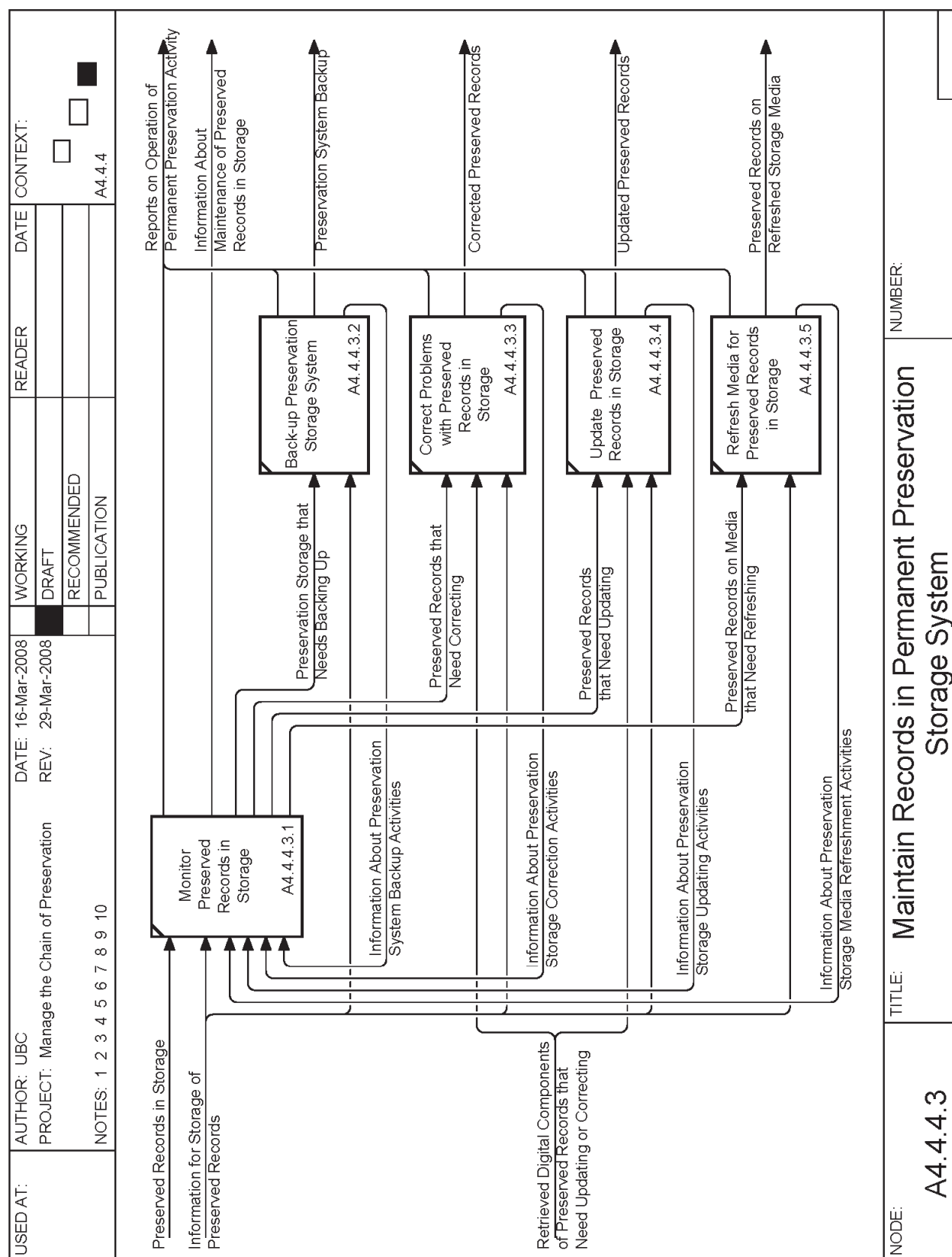
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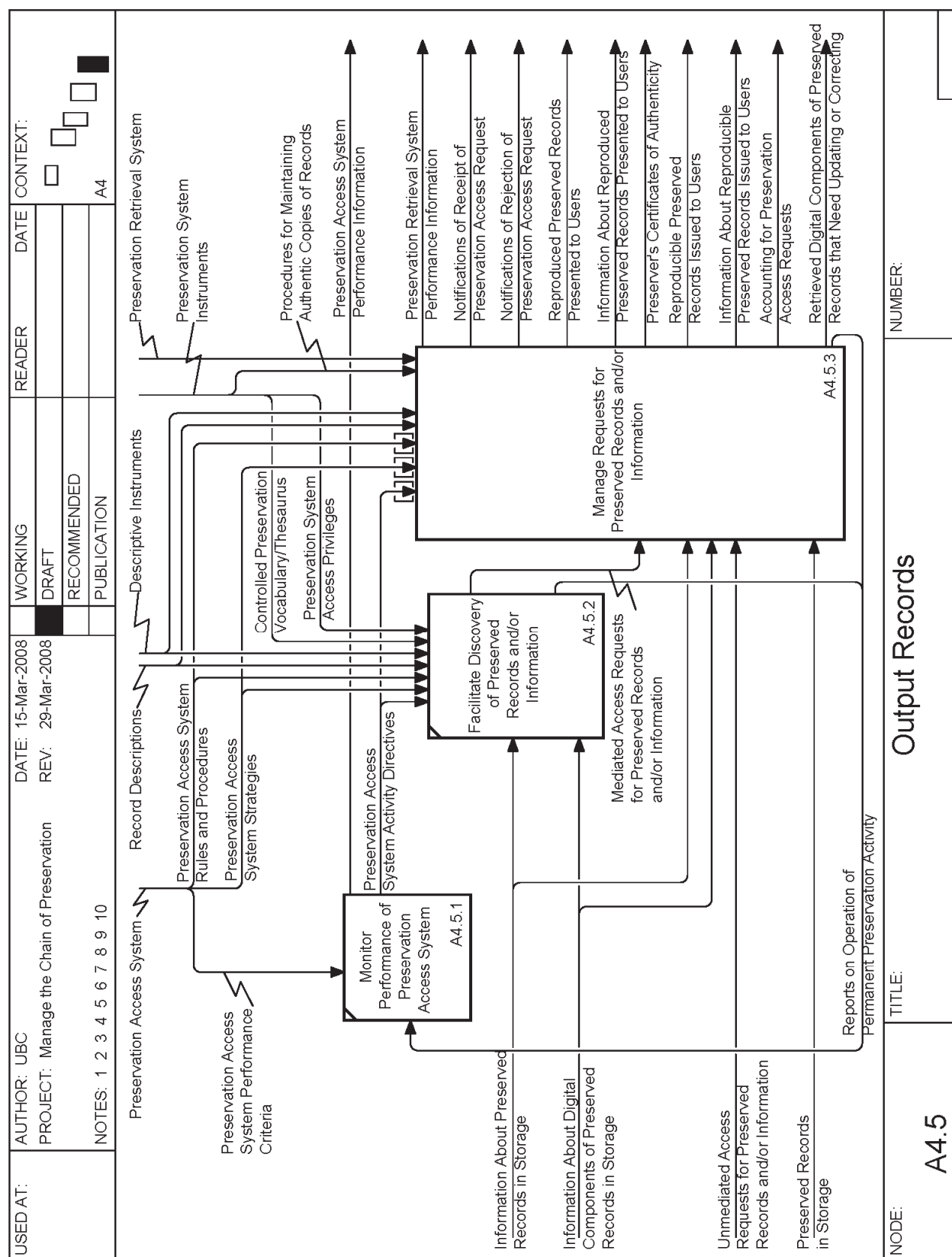
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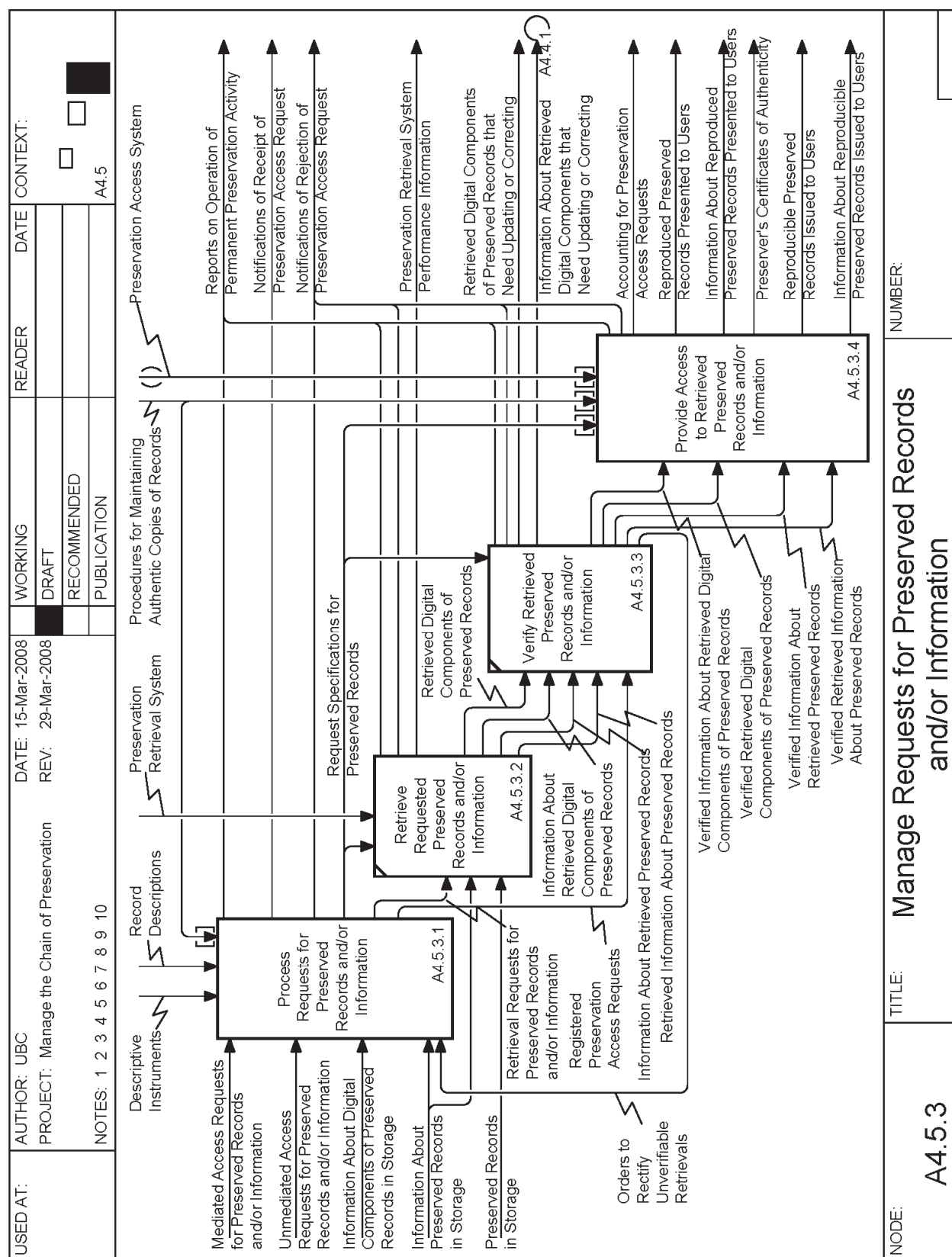












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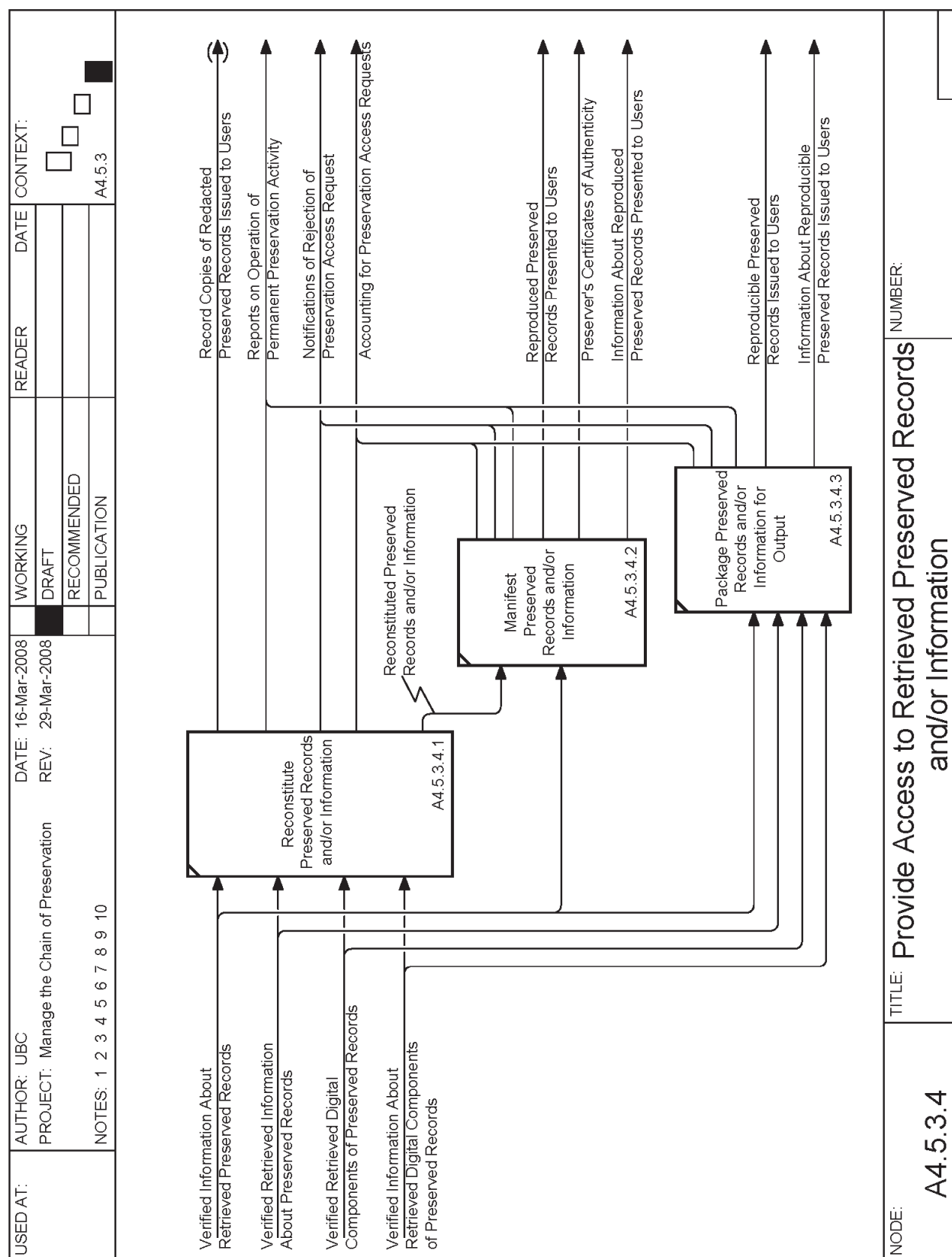
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    subgraph Inputs
        M1[Mediated Access Requests for Preserved Records and/or Information]
        M2[Unmediated Access Requests for Preserved Records and/or Information]
        M3[Information About Preserved Records in Storage]
        M4[Information About Digital Components of Preserved Records in Storage]
        M5[Orders to Rectify Unverifiable Retrievals]
    end

    subgraph Processing
        P1[Register Preservation Access Requests A4.5.3.1.1]
        P2[Retrieve Information to Process Preservation Access Requests A4.5.3.1.2]
        P3[Generate Preservation Retrieval Requests A4.5.3.1.3]
        P4[Generate Preservation Requests Specifications A4.5.3.1.4]
    end

    subgraph Outputs
        O1[Reports on Operation of Permanent Preservation Activity]
        O2[Notifications of Receipt of Preservation Access Request]
        O3[Notifications of Rejection of Preservation Access Request]
        O4[Retrieval Requests for Preserved Records and/or Information]
        O5[Request Specifications for Preserved Records]
    end

    M1 --> P1
    M2 --> P1
    M3 --> P2
    M4 --> P2
    M5 --> P2
    P1 --> P2
    P2 --> P3
    P3 --> P4
    P4 --> O1
    P4 --> O2
    P4 --> O3
    P4 --> O4
    P4 --> O5
  
```


MODE:	A4.5.3.1	TITLE:	Process Requests for Preserved Records and/or Information	NUMBER:	
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Chain of Preservation Model Activity Definitions

A0, Manage Chain of Preservation

To design, implement and maintain a framework to control the records throughout the processes of creation, maintenance and use, disposition and preservation.

A1, Manage Framework for Chain of Preservation

To determine framework requirements, and design, implement and maintain a chain of preservation framework.

A1.1, Develop Management Framework

To analyze information about the records creator and its existing records and about the designated records preserver to identify the policies and requirements for the chain of preservation framework.

A1.1.1, Analyze Records Creator

To assess the information concerning the records creator's mission, organizational structure, activities and existing technological, financial and human resources, and records related needs and risks to help identify the requirements for the chain of preservation framework.

A1.1.2, Analyze Creator's Existing Records

To assess information about creator's existing records to determine framework requirements.

A1.1.3, Analyze Designated Records Preserver

To assess the information concerning the designated records preserver's mission, organizational structure, activities and existing technological, financial and human resources, and records preservation related needs and risks to help identify the requirements for the chain of preservation framework.

A1.1.4, Establish Management Policies

To develop and document management regime policies for establishing overall framework design requirements.

A1.1.5, Establish Design Requirements

To identify the rules guiding the chain of preservation framework on the basis of the analysis of the records creator and its existing records.

A1.2, Design Framework

To develop a record-making system design, recordkeeping system design and permanent preservation system design.

A1.2.1, Design Record-making System

To develop the record-making system's administrative infrastructure, determine functional requirements for the system, establish performance criteria for the system and develop the functional infrastructure design for the system.

A1.2.1.1, Develop Record-making System Administrative Infrastructure

To define, analyze, create and document a comprehensive, integrated set of administrative policies, strategies, rules and procedures, and instruments to support record-making activities and to enable the record-making system to meet its functional requirements.

A1.2.1.1.1, Develop Record-making System Policies

To determine and document the collective, high-level management principles that guide and control development, implementation and execution of record-making system activities.

A1.2.1.1.2, Develop Record-making System Strategies

To determine and document the authoritative objectives and methods governing the operation of the record-making system.

A1.2.1.1.3, Develop Record-making System Rules and Procedures

To determine and document the authoritative instructions governing the operation of the record-making system.

A1.2.1.1.4, Develop Record-making System Instruments

To define, analyze, create and document the various administrative tools that support record-making processes, such as metadata schemes and records forms.

A1.2.1.2, Establish Record-making System Functional Requirements

To develop and document comprehensive and integrated performance, monitoring and technological requirements for the record-making system.

A1.2.1.2.1, Determine Record-making System Performance Requirements

To identify the operational and administrative specifications for measuring the continuing ability of the record-making system to fulfil its purpose.

A1.2.1.2.2, Determine Record-making System Monitoring Requirements

To identify the operational and administrative conditions for providing ongoing assessment of the operation of the record-making system in relation to the established system performance requirements.

A1.2.1.2.3, Determine Record-making System Technological Requirements

To specify the hardware and software needed for the record-making system.

A1.2.1.3, Establish Record-making System Performance Criteria

To develop operational benchmarks or standards for operation of the record-making system, in relation to established requirements, against which the continuing performance and adequacy of an activity, function, process, sub-system or structure within the system can be measured.

A1.2.1.4, Design Record-making System Functional Infrastructure

To develop a comprehensive, integrated design for the record-making system and each of its documents and records capture, identification, declaration, execution and transfer sub-systems.

A1.2.2, Design Recordkeeping System

To develop the recordkeeping system's administrative infrastructure, determine functional requirements for the system, establish performance criteria for the system and develop the functional infrastructure design for the system.

A1.2.2.1, Develop Recordkeeping System Administrative Infrastructure

To define, analyze, create and document a comprehensive, integrated set of administrative policies, strategies, rules and procedures, and instruments to support recordkeeping activities and to enable the recordkeeping system to meet its functional requirements.

A1.2.2.1.1, Develop Recordkeeping System Policies

To determine and document the collective, high-level management principles that guide and control development, implementation and execution of recordkeeping system activities.

A1.2.2.1.2, Develop Recordkeeping System Strategies

To determine and document the authoritative objectives and methods governing the operation of the record-keeping system.

A1.2.2.1.3, Develop Recordkeeping System Rules and Procedures

To determine and document the authoritative instructions governing the operation of the recordkeeping system.

A1.2.2.1.4, Develop Recordkeeping System Instruments

To define, analyze, create and document the various administrative tools that support recordkeeping processes, such as metadata schemes, registration and classification schemes, a retention schedule and a controlled vocabulary.

A1.2.2.1.4.1, Develop Recordkeeping Schemes

To establish the metadata, registration and classification schemes used in the recordkeeping system.

A1.2.2.1.4.2, Develop Retention Schedule

To determine and document the disposition of each series and/or class of records.

A1.2.2.1.4.3, Develop Recordkeeping Indexes

To define, analyze, create and document the tools, such as a controlled vocabularies and thesauri, that facilitate efficient and effective location of information, records and/or records aggregates in the recordkeeping system suited to a particular inquiry or purpose.

A1.2.2.2, Establish Recordkeeping System Functional Requirements

To develop and document comprehensive and integrated performance, monitoring and technological requirements for the recordkeeping system.

A1.2.2.2.1, Determine Recordkeeping System Performance Requirements

To identify the operational and administrative specifications for measuring the continuing ability of the recordkeeping system to fulfil its purpose.

A1.2.2.2.2, Determine Recordkeeping System Monitoring Requirements

To identify the operational and administrative conditions for providing ongoing assessment of the operation of the recordkeeping system in relation to the established system performance requirements.

A1.2.2.2.3, Determine Recordkeeping System Technological Requirements

To specify the hardware and software needed for the recordkeeping system.

A1.2.2.3, Establish Recordkeeping System Performance Criteria

To develop operational benchmarks or standards for operation of the record-making system, in relation to established system performance, monitoring and technological requirements, against which the continuing performance and adequacy of an activity, function, process, sub-system or structure within the system can be measured.

A1.2.2.4, Design Recordkeeping System Functional Infrastructure

To develop a comprehensive, integrated design for the recordkeeping system and each of its records information, storage, retrieval, access and disposition sub-systems.

A1.2.3, Design Permanent Preservation System

To develop the permanent preservation system's administrative infrastructure, determine functional requirements for the system, establish performance criteria for the system and develop the functional infrastructure design for the system.

A1.2.3.1, Develop Preservation System Administrative Infrastructure

To define, analyze, create and document a comprehensive, integrated set of administrative policies, strategies, rules and procedures, and instruments to support preservation activities and to enable the permanent preservation system to meet its functional requirements.

A1.2.3.1.1, Develop Preservation System Policies

To determine and document the collective, high-level management principles that guide and control development, implementation and execution of permanent preservation system activities.

A1.2.3.1.2, Develop Preservation System Strategies

To determine and document the authoritative objectives and methods governing the operation of the permanent preservation system.

A1.2.3.1.3, Develop Preservation System Rules and Procedures

To determine and document the authoritative instructions governing the operation of the permanent preservation system.

A1.2.3.1.4, Develop Preservation System Instruments

To define, analyze, create and document the various administrative tools that support preservation processes, such as metadata schemes, transfer and accession registration schemes and a controlled vocabulary.

A1.2.3.2, Establish Preservation System Functional Requirements

To identify and document comprehensive and integrated performance, monitoring and technological requirements for the permanent preservation system.

A1.2.3.2.1, Determine Preservation System Performance Requirements

To identify the operational and administrative specifications for measuring the continuing ability of the permanent preservation system to fulfil its purpose.

A1.2.3.2.2, Determine Preservation System Monitoring Requirements

To identify the needs for providing ongoing assessment of the operation of the permanent preservation system in relation to the operational and administrative procedures and instruments developed for meeting these needs.

A1.2.3.2.3, Determine Preservation System Technological Requirements

To specify the hardware and software needed for the permanent preservation system.

A1.2.3.3, Establish Preservation System Performance Criteria

To develop operational benchmarks or standards for operation of the permanent preservation system, in relation to established system performance, monitoring and technological requirements, against which the continuing performance and adequacy of an activity, function, process, sub-system or structure within the system can be measured.

A1.2.3.4, Design Preservation System Functional Infrastructure

To develop a comprehensive, integrated design for the permanent preservation system and each of its records information, selection, acquisition, description, storage, retrieval and access sub-systems.

A1.3, Implement Framework

To acquire, test and activate all the components of the record-making, recordkeeping, and permanent preservation systems, and issue information about implementation problems.

A1.4, Maintain Framework

To assess information about the performance of the record-making, recordkeeping and permanent preservation systems and to make recommendations on the revision of the overall framework design and/or its constituent systems.

A2, Manage Records in a Record-making System

To provide overall control and co-ordination of activities in the record-making system, including the creation and setting aside of records, and monitoring of the performance of the record-making system.

A2.1, Monitor Performance of Record-making System

To assess the efficacy of the performance of the record-making system by analyzing performance reports on the operation of each of the record-making system's sub-systems and issue activity directives for record-making activities and information on the performance of the record-making system for use in continued maintenance of the chain of preservation framework.

A2.2, Manage Making and Receipt of Records

To provide overall control and co-ordination of document and record making and receipt activities, including the capture and identification of documents made or received by the creator and their subsequent declaration and execution as records.

A2.2.1, Make Documents

To compile digital information in a syntactic manner in accordance with the specifications of the creator's documentary forms, integrated business and documentary procedures and record-making access privileges.

A2.2.2, Capture Documents

To record and save (i.e., affix to a digital medium in a stable syntactic manner) particular instantiations of incoming external documents or internal documents made by the creator in the record-making system in accordance with the specifications of the creator's integrated business and documentary procedures and record-making access privileges.

A2.2.3, Identify Documents

To attach to each document identity metadata that convey the action in which the document participates and its immediate context.

A2.2.4, Declare Records

To intellectually set aside records by assigning classification codes from the classification scheme to made or received documents and adding these codes to the identifying metadata and by assigning to the documents registration numbers based on the registration scheme, and adding these numbers to the identifying metadata.

A2.2.5, Execute Records

To attach to each record metadata that convey information related to, and actions taken during the course of, the formal execution phase of the administrative procedure in which the record participates, which may also involve transmitting documents to external physical or juridical persons and making record copies of the sent documents.

A2.3, Manage Setting Aside of Completed Records

To provide overall control and co-ordination of the transfer of executed or completed records to the recordkeeping system by preparing the records for transfer, transferring the records and monitoring the performance of the record-making transfer system.

A2.3.1, Monitor Performance of Record-making Transfer System

To assess the efficacy of the performance of the record-making transfer system by analyzing reports on the operation of record-making activities, and issue activity directives for transfer activities and issue information on the performance of the record-making transfer system for use in continued maintenance of the record-making system.

A2.3.2, Prepare Completed Records for Transfer to Recordkeeping System

To attach to completed records integrity and related metadata that convey information related to, and actions taken during the course of, managing the records for records management purposes prior to setting them aside in the recordkeeping system; compile information about the records that is needed to meet all transfer information

requirements; and ensure that the records are in the proper format for transfer to the recordkeeping system as prescribed by recordkeeping system rules and procedures and technological requirements.

A2.3.3, Transfer Completed Records to Recordkeeping System

To send or transmit completed records prepared for transfer to the office responsible for the recordkeeping function with the accompanying documentation necessary for recordkeeping.

A3, Manage Records in a Recordkeeping System

To provide overall control and co-ordination of activities in the recordkeeping system, including records storage, retrieval and access, disposition, and monitoring of the performance of the recordkeeping system.

A3.1, Monitor Performance of Recordkeeping System

To assess the efficacy of the performance of the recordkeeping system by analyzing performance reports on the operation of recordkeeping sub-system activities, and issue activity directives for recordkeeping activities and information on the performance of the recordkeeping system for use in continued maintenance of the chain of preservation framework.

A3.2, Manage Maintenance of Kept Records

To provide overall control and co-ordination of the recordkeeping storage system and the records stored in the system by managing information about kept records and their digital components, placing the records in storage, maintaining the digital components and monitoring the performance of the storage system.

A3.2.1, Manage Information About Kept Records

To compile information about records in the recordkeeping system and about records maintenance activities and to provide overall control and co-ordination of that information for use in records appraisal activities by the preserver and in records indexing, storage, access and disposition activities by the creator.

A3.2.2, Manage Indexing of Kept Records

To provide overall control and co-ordination of records indexing activities, including monitoring the indexing system, indexing kept records and developing indexing instruments to help facilitate records discovery and retrieval.

A3.2.2.1, Monitor Performance of Recordkeeping Indexing System

To assess the efficacy of the performance of the recordkeeping indexing system by analyzing reports on the operation of recordkeeping activities, and issue activity directives for indexing activities and information on the performance of the indexing system for use in continued maintenance of the recordkeeping system.

A3.2.2.2, Index Kept Records

To establish and record access points for kept records within the context of a controlled recordkeeping vocabulary applied according to recordkeeping indexing system rules, procedures and strategies.

A3.2.2.3, Develop Indexing Instruments

To prepare tools that facilitate discovery and retrieval of the records in the recordkeeping system, such as guides, inventories and indexes.

A3.2.3, Manage Storage of Kept Records

To provide overall control and co-ordination of the recordkeeping storage system and the records stored in the system by placing the records in storage, maintaining their digital components and monitoring the performance of the storage system.

A3.2.3.1, Monitor Performance of Recordkeeping Storage System

To assess the efficacy of the performance of the recordkeeping storage system by analyzing reports on the operation of recordkeeping activities, and issue activity directives for storage activities and information on the performance of the recordkeeping storage system for use in continued maintenance of the recordkeeping system.

A3.2.3.2, Place Kept Records in Storage

To place the digital components of kept records and their metadata into storage in accordance with the procedures for maintaining authentic records and the actions prescribed by the recordkeeping storage system strategies, rules and procedures and activity directives.

A3.2.3.3, Maintain Records in Recordkeeping Storage System

To monitor the storage of kept records and their digital components and metadata, periodically back-up the recordkeeping storage system and, as necessary, correct problems with and update the digital components, and/or refresh storage media to ensure the records in the system remain accessible, legible and intelligible over time.

A3.2.3.3.1, Monitor Kept Records in Storage

To keep track of the condition and maintenance requirements of kept records and their digital components--more specifically, their digital components and metadata--and the media on which they are stored in the recordkeeping storage system to identify storage that needs backing-up, digital components and/or metadata that need correcting or updating and media that need refreshing; and to issue reports on maintenance activities.

A3.2.3.3.2, Back-up Recordkeeping Storage System

To routinely make a copy of all digital content in the recordkeeping storage system, including the operating system, the software applications and all digital objects in the system, for the purpose of recovery in the event of a disaster resulting in system failure or corruption, and record information about these back-up activities.

A3.2.3.3.3, Correct Problems with Kept Records in Storage

To take the actions prescribed by the recordkeeping storage system strategies, rules and procedures and activity directives, in accordance with the procedures for maintaining authentic records, to eliminate problems in storage, and record information about these correction activities.

A3.2.3.3.4, Update Kept Records in Storage

To carry out conversion actions on the digital components of stored kept records in accordance with the procedures for maintaining authentic records and the actions prescribed by the recordkeeping storage system strategies, rules and procedures and activity directives, to ensure the records remain accessible, legible and intelligible over time (such as by migration, standardization or transformation to persistent form), and record information about these updating activities.

A3.2.3.3.5, Refresh Media for Kept Records in Storage

To copy or transfer the digital components of kept records in storage from one medium to another, or otherwise ensure the storage medium remains sound, in accordance with the procedures for maintaining authentic records and the actions prescribed by the recordkeeping storage system strategies, rules and procedures and activity directives, and record information about these media refreshment activities.

A3.3, Manage Access to Kept Records

To facilitate discovery of, and manage requests for, kept records and/or information about kept records, and monitor the performance of the recordkeeping access system.

A3.3.1, Monitor Performance of Recordkeeping Access System

To assess the efficacy of the performance of the recordkeeping access system by analyzing reports on the operation of recordkeeping activities, and issue activity directives for access activities and information on the performance of the recordkeeping access system for use in continued maintenance of the recordkeeping system.

A3.3.2, Facilitate Discovery of Kept Records and/or Information

To provide authorized internal and external users access to, and assistance in the use of, the tools and resources necessary to support querying and searching for, and discovery of, information, records and/or records aggregates in the recordkeeping system suited to a particular inquiry or purpose.

A3.3.3, Manage Requests for Kept Records and/or Information

To provide overall control and co-ordination of internal and external requests for access to records and/or information about kept records by processing access requests, retrieving digital components for requested records and/or information, verifying retrieved components and information and providing access to retrieved records and/or information.

A3.3.3.1, Process Requests for Kept Records and/or Information

To register access requests for kept records and/or information, translate them, define request specifications, generate retrieval requests and account for any problems with processing requests.

A3.3.3.1.1, Register Recordkeeping Access Requests

To record registration information about received requests for access to kept records and/or information about the records and issue notifications of receipt to the persons requesting the records.

A3.3.3.1.2, Retrieve Information to Process Recordkeeping Access Requests

To gather the information, from indexing instruments, record profiles and other recordkeeping tools, needed to process access requests for kept records and/or information about records.

A3.3.3.1.3, Generate Recordkeeping Retrieval Requests

To translate access requests for kept records and/or information into requests to the recordkeeping storage and information systems for retrieval of the exact digital components and/or information required to fulfil the access requests.

A3.3.3.1.4, Generate Recordkeeping Requests Specifications

To issue instructions to the recordkeeping retrieval and access systems on how to fulfil requests for kept records and/or information about the records based on analyses of the requests and processing information in relation to recordkeeping access system strategies, rules and procedures (including procedures for maintaining authentic records) and access privileges.

A3.3.3.2, Retrieve Requested Kept Records and/or Information

To output copies of digital components of records, information about digital components of records, rendering information about records and/or content information about records retrieved from storage in the recordkeeping system in response to retrieval requests for components and/or information.

A3.3.3.3, Verify Retrieved Kept Records and/or Information

To determine whether all components and information necessary to satisfy requests for kept records and/or information about kept records have been received and can be processed for output and, in cases where digital components are encountered that need

updating or correcting, redirect them (or information about the problems encountered) to the maintenance function of the recordkeeping storage system.

A3.3.3.4, Provide Access to Retrieved Kept Records and/or Information

To fulfil access requests by either reconstituting the retrieved digital components of kept records and/or information in authentic form and presenting the manifested records or information to users, or by packaging the retrieved digital components with information about how to reconstitute and present the records and/or information with the appropriate extrinsic form and issuing the packaged materials to users, and account for the success or failure of either activity.

A3.3.3.4.1, Reconstitute Kept Records and/or Information

To link or assemble all the verified digital components of requested kept records and/or information about kept records as necessary to reproduce and present the records and/or information in authentic form and, if necessary, redact records and/or information to meet privacy and/or copyright requirements.

A3.3.3.4.2, Manifest Kept Records and/or Information

To present copies of the reconstituted requested kept records and/or requested information about the records with the appropriate extrinsic form and with information about their relationships to one another (archival bond) and, if requested, produce a Certificate of Authenticity for the records copies.

A3.3.3.4.3, Package Kept Records and/or Information for Output

To combine the digital components of the requested kept records and/or requested information about kept records with information on how to reconstitute and manifest the records or information with the appropriate extrinsic form.

A3.4, Manage Disposition of Kept Records

To provide overall control and co-ordination of records disposition activities, including monitoring the performance of the disposition system, processing disposition information and, in accordance with disposition activity directives and disposition rules and procedures, destroying kept records and/or preparing and transferring kept records to the designated preserver.

A3.4.1, Monitor Performance of Disposition System

To assess the efficacy of the performance of the recordkeeping disposition system by analyzing reports on the operation of recordkeeping activities, and issue activity directives for disposition activities and information on the performance of the recordkeeping storage system for use in continued maintenance of the recordkeeping system.

A3.4.2, Identify Kept Records for Disposition

To identify records and information about records in the recordkeeping system earmarked either for destruction or transfer to the designated preserver, as determined by the creator's retention schedule.

A3.4.3, Destroy Kept Records

To obliterate kept records, and information related to the records, identified for destruction and provide documentation about the records destroyed.

A3.4.4, Prepare Kept Records for Transfer to Designated Preserver

To attach to kept records integrity and related metadata about actions taken during the course of preparing the records for transfer to the designated preserver in accordance with the terms and conditions of transfer, and compile information about the records that is needed to meet all transfer information requirements.

A3.4.5, Transfer Kept Records to Designated Preserver

To send or transmit kept records prepared for transfer to permanent preserver (or, as applicable, the office of the creator responsible for the permanent preservation function) with the accompanying documentation necessary for permanent preservation.

A4, Manage Records in a Permanent Preservation System

To provide overall control and co-ordination of activities in the permanent preservation system, including records appraisal and selection, acquisition, description, storage, retrieval and access, and monitoring of the performance of the permanent preservation system.

A4.1, Monitor Performance of Permanent Preservation System

To assess the efficacy of the performance of the permanent preservation system by analyzing performance reports on the operation of permanent preservation sub-system activities, and issue activity directives for preservation activities and information on the performance of the permanent preservation system for use in continued maintenance of the chain of preservation framework.

A4.2, Appraise Records for Permanent Preservation

To make appraisal decisions by compiling information about kept records and their context, assessing their value, and determining the feasibility of their preservation; and to monitor appraised records and appraisal decisions to identify any necessary changes to appraisal decisions over time.

A4.2.1, Monitor Performance of Preservation Selection System

To assess the efficacy of the performance of the permanent preservation selection system by analyzing reports on the operation of preservation activities, and issue activity directives for selection activities and information on the performance of the permanent preservation selection system for use in continued maintenance of the permanent preservation system.

A4.2.2, Analyze Kept Records for Preservation

To assess information concerning the kept records being appraised, including their contexts, value and preservation feasibility.

A4.2.2.1, Analyze Information About Records

To collect, organise, record and assess relevant information from the kept records being appraised and about their juridical-administrative, provenancial, procedural, documentary and technological contexts.

A4.2.2.2, Assess Value of Records

To analyze and judge: (1) the capacity of records being appraised to serve the continuing interests of their creator and society; and (2) the grounds for presuming the records to be authentic.

A4.2.2.2.1, Assess Continuing Value of Records

To analyze and judge the capacity of records being appraised to serve the continuing interests of their creator and society.

A4.2.2.2.2, Assess Authenticity of Records

To analyze and judge the grounds for presuming records being appraised to be authentic.

A4.2.2.2.1, Compile Evidence Supporting the Presumption of Authenticity

To collect, organize and record evidence of the identity and integrity of records being appraised and about the procedural controls applied to them, to support the presumption of authenticity of those records.

A4.2.2.2.2.2, Measure Evidence Against Requirements For Authentic Records

To compare the evidence compiled about the identity, integrity and procedural controls of the records being appraised with the requirements for authentic records.

A4.2.2.2.2.3, Verify Authenticity

To use verification methods to determine the authenticity of records being appraised in cases where there is insufficient evidence to meet the requirements for presuming the authenticity of records.

A4.2.2.2.3, Determine Value of Records

To establish the value of records being appraised based on assessments of their continuing value and their authenticity.

A4.2.2.3, Determine Feasibility of Preservation

To identify the elements and digital components of the records being appraised, reconcile their preservation requirements with the preserver's current and anticipated preservation capabilities, and provide documentation about the digital components to be preserved and the feasibility of preservation.

A4.2.2.3.1, Determine Record Elements to be Preserved

To identify the necessary documentary components (e.g., record profile, attachments, annotations, etc.) and elements of form (e.g., author, date, subject line, etc.) of records to be preserved to determine which record elements must be preserved to protect the authenticity of those records.

A4.2.2.3.2, Identify Digital Components to be Preserved

To identify the digital components that manifest the record elements that need to be preserved to protect the authenticity of records selected for permanent preservation.

A4.2.2.3.3, Reconcile Preservation Requirements with Preservation Capabilities

To determine whether the digital components manifesting the record elements that need to be preserved to protect the authenticity of records selected for permanent preservation can in fact be preserved given the preserver's current and anticipated preservation capabilities.

A4.2.3, Make Appraisal Decisions

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.

A4.2.4, Monitor Appraisal Decisions

To keep track of appraisal decisions in relation to subsequent developments within the creator's and/or preserver's activities that might make it necessary to adjust or redo an appraisal, such as substantial changes to: (1) appraised records and/or their context, (2) the creator's organizational mandate and responsibilities, (3) the creator's record-making or recordkeeping activities or systems, (4) the preserver's records preservation activities or systems and/or (5) the preserver's organizational mandate and responsibilities.

A4.3, Acquire Selected Records

To bring records selected for permanent preservation into the custody of the preserver by registering and verifying transfers, confirming the feasibility of preservation, and accessioning the records or rejecting transfers if they are inadequate.

A4.3.1, Monitor Performance of Preservation Acquisition System

To assess the efficacy of the performance of the permanent preservation acquisition system by analyzing reports on the operation of preservation activities, and issue activity

directives for acquisition activities and information on the performance of the permanent preservation selection system for use in continued maintenance of the permanent preservation system.

A4.3.2, Process Records Transfers

To register records transfers received by the designated preserver, confirm the authorization for the transfers, verify their content, confirm the authenticity of the records in the transfers and confirm the feasibility of preserving the transferred records.

A4.3.2.1, Register Transfers

To record registration information about received transfers and issue notifications of receipt to the persons transferring the records.

A4.3.2.2, Confirm Authorization for Transfers

To verify the authority for transfer of records selected for preservation and, in cases of unauthorized transfers, issue notifications of rejection of transfer to the persons transferring the records.

A4.3.2.3, Verify Content of Transfers

To determine whether transfers of records selected for preservation have been successfully transmitted (i.e., are not corrupted) and include all records and aggregates of records specified in the terms and conditions of the transfers and, in corrupted or unverified cases, issue notifications of rejection of transfer to the persons transferring the records.

A4.3.2.4, Confirm Authenticity of Records

To determine whether the assessment of the authenticity of the creator's records being transferred, which was conducted as part of the appraisal process, is still valid by verifying that the attributes relating to the records' identity and integrity have been carried forward with them along with any relevant documentation.

A4.3.2.5, Confirm Feasibility of Preservation

To confirm that the determinations of the feasibility of preservation made during the process of appraisal are still valid and, in unconfirmed cases, issue notifications of rejection of transfer to the persons transferring the records.

A4.3.3, Accession Records

To formally accept records selected for permanent preservation into custody and document transfers in accessions documentation.

A4.4, Preserve Accessioned Records

To manage information about, and the description and storage of, records acquired for permanent preservation.

A4.4.1, Manage Information About Preserved Records

To compile information about records in the permanent preservation system and about records preservation activities and to provide overall control and co-ordination of that information for use in records selection, acquisition, description, storage and access activities.

A4.4.1.1, Monitor Performance of Preservation Information System

To assess the efficacy of the performance of the permanent preservation information system by analyzing reports on the operation of preservation activities, and issue activity directives for information activities and information on the performance of the permanent preservation selection system for use in continued maintenance of the permanent preservation system.

A4.4.1.2, Compile Information for Preservation

To collect, organise and record relevant appraisal, acquisition, accession and preservation information about acquired records for their preservation, description, storage, retrieval and output.

A4.4.1.3, Update Information on Preservation Actions

To record information about actions taken to back-up, correct, update and refresh digital components of records acquired for permanent preservation or their storage.

A4.4.2, Manage Arrangement of Preserved Records

To provide overall control and co-ordination of records arrangement activities.

A4.4.3, Manage Description of Preserved Records

To provide overall control and co-ordination of records description activities, including monitoring the preservation description system, describing preserved records and developing description instruments.

A4.4.3.1, Monitor Performance of Preservation Description System

To assess the efficacy of the performance of the permanent preservation description system by analyzing reports on the operation of preservation activities, and issue activity directives for description activities and information on the performance of the permanent preservation selection system for use in continued maintenance of the permanent preservation system.

A4.4.3.2, Describe Preserved Records

To record information about the nature and make-up of records acquired for permanent preservation and about their juridical-administrative, provenancial, procedural, documentary and technological contexts, as well as information about any changes they have undergone since they were first created.

A4.4.3.3, Develop Description Instruments

To prepare tools that provide intellectual and physical control over the records in the preservation system, such as guides, inventories, indexes, repository locators and related finding aids.

A4.4.4, Manage Storage of Preserved Records

To provide overall control and co-ordination of the permanent preservation storage system and the records stored in the system by placing the records in storage, maintaining their digital components and monitoring the performance of the storage system.

A4.4.4.1, Monitor Performance of Permanent Preservation Storage System

To assess the efficacy of the performance of the permanent preservation storage system by analyzing reports on the operation of preservation activities, and issue activity directives for storage activities and information on the performance of the permanent preservation selection system for use in continued maintenance of the permanent preservation system.

A4.4.4.2, Place Preserved Records in Storage

To place the digital components of preserved records and their metadata into storage in accordance with the procedures for maintaining authentic copies of records and the actions prescribed by the preservation storage system strategies, rules and procedures and activity directives.

A4.4.4.3, Maintain Records in Permanent Preservation Storage System

To monitor the storage of preserved records and their digital components, periodically back-up the permanent preservation storage system and, as necessary, correct problems

with and update the digital components, and/or refresh storage media to ensure the records in the system remain accessible, legible and intelligible over time.

A4.4.4.3.1, Monitor Preserved Records in Storage

To keep track of the condition and maintenance requirements of preserved records--more specifically, their digital components and metadata--and the media on which they are stored in the permanent preservation storage system to identify storage that needs backing-up, digital components and metadata that need correcting or updating and media that need refreshing; and to issue reports on maintenance activities.

A4.4.4.3.2, Back-up Preservation Storage System

To routinely make a copy of all digital content in the preservation storage system, including the operating system, the software applications and all digital objects in the system, for the purpose of recovery in the event of a disaster resulting in system failure or corruption, and record information about these back-up activities.

A4.4.4.3.3, Correct Problems with Preserved Records in Storage

To take the actions prescribed by the preservation storage system strategies, rules and procedures and activity directives, in accordance with the procedures for maintaining authentic copies of records, to identify and eliminate problems in storage to ensure that the records remain accessible, legible and intelligible over time; and record information about these correction activities.

A4.4.4.3.4, Update Preserved Records in Storage

To carry out conversion actions on the digital components of preserved records in storage in accordance with the procedures for maintaining authentic copies of records and the actions prescribed by the preservation storage system strategies, rules and procedures and activity directives, to ensure the records remain accessible, legible and intelligible over time (such as by migration, standardization or transformation to persistent form), and record information about these updating activities.

A4.4.4.3.5, Refresh Media for Preserved Records in Storage

To copy or transfer the digital components of preserved records in storage from one medium to another, or otherwise ensure the storage medium remains sound, in accordance with the procedures for maintaining authentic copies of records and the actions prescribed by the preservation storage system strategies, rules and procedures and activity directives, and record information about these media refreshment activities.

A4.5, Output Records

To facilitate discovery of records and/or information about records in the permanent preservation system, manage requests for preserved records and/or information about the records and monitor the performance of the permanent preservation access system.

A4.5.1, Monitor Performance of Preservation Access System

To assess the efficacy of the performance of the permanent preservation access system by analyzing reports on the operation of preservation activities, and issue activity directives for access activities and information on the performance of the permanent preservation access system for use in continued maintenance of the permanent preservation system.

A4.5.2, Facilitate Discovery of Preserved Records and/or Information

To provide authorized internal and external users with mediated access to and, as necessary, assistance in the use of, the tools and resources needed to support querying and searching for information, records and/or records aggregates in the permanent preservation system.

A4.5.3, Manage Requests for Preserved Records and/or Information

To provide overall control and co-ordination of internal and external requests for access to preserved records and/or information about the records by processing access requests, retrieving digital components for requested records and/or information, verifying retrieved components and information and providing access to retrieved records and/or information.

A4.5.3.1, Process Requests for Preserved Records and/or Information

To register access requests for preserved records and/or information, translate them, define request specifications, generate retrieval requests and account for any problems with processing access requests.

A4.5.3.1.1, Register Preservation Access Requests

To record registration information about received requests for access to preserved records and/or information about the records and issue notifications of receipt to the persons requesting the records.

A4.5.3.1.2, Retrieve Information to Process Preservation Access Requests

To gather the information, from description instruments and other preservation information, needed to process access requests for preserved records and/or information about records.

A4.5.3.1.3, Generate Preservation Retrieval Requests

To translate access requests for preserved records and/or information translated into requests to the permanent preservation storage and information systems for retrieval of the exact digital components and/or information required to fulfil the access requests.

A4.5.3.1.4, Generate Preservation Requests Specifications

To issue instructions to the preservation retrieval and access systems on how to fulfil requests for preserved records and/or information about the records based on analyses of the requests and processing information in relation to preservation retrieval and access systems' strategies, rules and procedures (including procedures for maintaining authentic copies of records) and access privileges.

A4.5.3.2, Retrieve Requested Preserved Records and/or Information

To output copies of digital components of records, information about digital components of records, rendering information about records and/or content information about records retrieved from storage in the permanent preservation system in response to retrieval requests for components and/or information and in accordance with any request specifications.

A4.5.3.3, Verify Retrieved Preserved Records and/or Information

To determine whether all components and information necessary to satisfy access requests for preserved records and/or information about the records have been received and can be processed for output and, in cases where digital components are encountered that need updating or correcting, redirect them, along with information about the problems encountered, to the maintenance function of the permanent preservation storage system for further action..

A4.5.3.4, Provide Access to Retrieved Preserved Records and/or Information

To fulfil access requests by either reconstituting the retrieved digital components of preserved records and/or information in authentic form and presenting the manifested records or information to users, or by packaging the retrieved digital components with information about how to reconstitute and present the records and/or information with the

appropriate extrinsic form and issuing the packaged materials to users, and account for the success or failure of either activity.

A4.5.3.4.1, Reconstitute Preserved Records and/or Information

To link or assemble all the verified digital components of requested preserved records and/or information about preserved records as necessary to reproduce and present the records and/or information in authentic form and, if necessary, redact information to meet privacy and/or copyright requirements.

A4.5.3.4.2, Manifest Preserved Records and/or Information

To present copies of the reconstituted requested preserved records and/or requested information about the records with the appropriate extrinsic form and with information about their relationships to one another (archival bond) and, if requested, produce a Certificate of Authenticity for the records copies.

A4.5.3.4.3, Package Preserved Records and/or Information for Output

To combine the digital components of the requested preserved records and/or requested information about preserved records with information on how to reconstitute and manifest the records or information with the appropriate extrinsic form.

Chain of Preservation Model Arrow Definitions

Accession Registration Scheme

A plan for assigning a unique identifier to each accessioned records transfer.

Accessioned Records

Records that are taken into the custody of the preserver for permanent preservation.

Accounting for Preservation Access Requests

Information about successful access requests for preserved records and/or information about preserved records, including a log of the records or information provided to users, the dates when access was provided and the names of the users to whom access was provided.

Accounting for Recordkeeping Access Requests

Information about successful access requests for kept records and/or information about kept records, including a log of the records or information provided to users, the dates when access was provided and the names of the users to whom access was provided.

Analysis of Creator's Records

An analysis of the records generated by the creator in the course of its activity and of the way they were created, organized, maintained and used.

Analysis of Designated Records Preserver

An analysis of the designated records preserver's mission, organizational structure, activities, functions and existing technological, financial and human resources, and records preservation related needs and risks relevant to the identification of the framework requirements.

Analysis of Records Creator

An analysis of the record creator's mission, organizational structure, activities, functions and existing technological, financial and human resources, and records related needs and risks relevant to the identification of the framework requirements.

Appraisal Decisions

Determinations of the retention periods and disposition of records, including the terms and conditions of transfer from the creator to the preserver.

Archival Concepts, Principles and Requirements

The concepts, principles and methodologies governing the treatment of records, including the requirements for maintaining authentic copies of records.

Arranged Records

Records of a creator that have been identified as to their provenance and relationships according to the concepts and principles of archival arrangement.

Assessments of Authenticity

Documentation of the grounds for presuming the authenticity of records or, in cases of insufficient evidence to support such presumption, documentation of the verification of authenticity.

Assessments of Continuing Value

Documentation of the reasons for continuing preservation of records with regard to their capacity to serve the continuing interests of their creator and/or society.

Authentic Records

Records whose authenticity is presumed or has been verified.

Authorized Transfers

Transfers of records selected for preservation that have been submitted by persons having the authority to transfer the records.

Captured Documents

Documents made or received by the creator that are recorded and saved in the record-making system with fixed form and stable content.

Completed Records

Records, made or received by the creator, which have participated in the formal execution phase of an administrative procedure.

Completed Records Prepared for Transfer to Recordkeeping System

Executed records in the proper format for transfer to the recordkeeping system as prescribed by recordkeeping system rules and procedures and technological requirements.

Completed Records Transfers

Completed records that have been adjudged worthy of retention for future use or reference by the creator and that meet all requirements for transfer to the recordkeeping system.

Controlled Preservation Vocabulary/Thesaurus

A managed set of purposefully delimited and standardised terms, phrases and concepts used by the designated preserver to control the values of a metadata element.

Controlled Recordkeeping Vocabulary/Thesaurus

A managed set of purposefully delimited and standardised terms, phrases and concepts used by the creator to control the values of a metadata element.

Corrected Kept Records

Kept records from which problems with locating, retrieving or reconstituting their digital components and/or presenting the reconstituted records have been eliminated.

Corrected Preserved Records

Preserved records from which problems with locating, retrieving or reconstituting their digital components and/or presenting the reconstituted records have been eliminated.

Creator

An entity that generates records in the course of its activity.

Creator's Certificates of Authenticity

Attestations by the creator that one or more records are authentic.

Creator's Existing Records

Inactive, semi-active and active records of the creator, regardless of the medium and location of the records, which predate development and implementation of the chain of preservation framework and that need to be incorporated into any new record-making and recordkeeping systems.

Declared Records

Identified documents made or received by the creator that have been given a classification code based on the classification scheme and that have been registered according to the registration scheme.

Described Records

Arranged records for which information about their nature, make-up and contexts (juridical-administrative, provenancial, procedural, documentary and technological) are recorded to facilitate intellectual and physical control.

Description Instruments

Tools prepared in the course of archival description and indexing of records for the purposes of intellectual and physical control.

Design Requirements

The record-making, recordkeeping and permanent preservation needs that guide the framework design.

Disposition Rules and Procedures

The authoritative instructions governing the process of determining the transfer and destruction of kept records.

Documentation About Destroyed Records

Formal instruments documenting the destruction of kept records, including information about the quantity and characteristics of records that have been destroyed, copies of which are maintained by the creator as evidence of the activity.

Evidence for the Presumption of Authenticity

Information that has been drawn from records, from metadata related to the records and/or from their various contexts and that provides evidence to support a presumption of the authenticity of records.

Facilities

Physical space and infrastructure needed to manage the lifecycle of records.

Feasibility Reports

Assessments of whether the record elements and digital components of a given body of records proposed for preservation can be preserved given the preserver's current and anticipated preservation capabilities.

Framework Policies

Collective, high-level management principles that help guide and control development of the framework requirements.

Identified Documents

Documents made or received by the creator to which identity metadata (e.g., persons, actions and dates of compilation) have been attached.

Indexed Records

Kept records for which access points have been established using a controlled recordkeeping vocabulary to facilitate record discovery and retrieval.

Indexing Instruments

Tools that facilitate efficient and effective discovery and retrieval of kept records and/or records aggregates suited to a particular inquiry or purpose.

Information About Accessioned Records

Documentation of the provenance and custody of clearly identified sets of records for which the preserver has accepted responsibility for permanent preservation.

Information About Appraisal Decisions

Documentation explaining the justifications of appraisal decisions according to assessment of the value of records and the feasibility of their permanent preservation.

Information About Appraised Records

Documentation compiled during the appraisal process containing information about the context and content of appraised records, including information about digital components to be preserved.

Information About Available Technology

Documentation concerning the software and hardware available on the market to the creator and to the preserver.

Information About Completed Records Prepared for Transfer to Recordkeeping System

Documentation, either in the form of metadata inextricably attached to records or inextricably linked to records in record profiles, about the identity, integrity, format, form, context and other characteristics of completed records adjudged worthy of transfer to the recordkeeping system that is needed to order the records properly with respect to their relationships with each other, to maintain their authenticity and to meet recordkeeping system transfer requirements.

Information About Context

Documentation compiled about the juridical-administrative, provenancial, procedural, documentary and/or technological contexts of kept records that is not available from the records themselves, for the purpose of facilitating appraisal.

Information About Creator

Documentation concerning the records creator's mission, organizational structure, activities, and existing technological, financial and human resources, as well as information about records related needs and risks.

Information About Creator's Existing Records

Documentation about the character and extent of the records created and kept by the creator prior to developing the framework requirements.

Information About Digital Components of Kept Records in Storage

Technical documentation compiled about digital components of records in the recordkeeping storage system for the purpose of facilitating discovery of, and/or processing access requests for, records and/or information about records.

Information About Digital Components of Preserved Records in Storage

Technical documentation concerning digital components of records in the preservation storage system that is needed to facilitate discovery of, and/or process access requests for, the records and/or information about the records.

Information About Digital Components to be Preserved

Documentation about how record elements to be preserved are manifested in the electronic environment, construed for the purposes of instructing preservation activities.

Information About Executed Records

Documentation, either in the form of metadata inextricably attached to the records or inextricably linked to the records in record profiles, about the identity, integrity, format, form, context and other characteristics of executed records that is needed to order the records properly with respect to their relationships with each other and to maintain their authenticity.

Information About Implementation Problems

Documentation compiled about problems encountered during implementation of the record-making, recordkeeping, and/or permanent preservation systems for the purpose of revising the framework design process.

Information About Kept Records for Appraisal

Documentation compiled about the identity, integrity, format, form, context or other characteristics of records in the recordkeeping system for the purpose of appraising records and making appraisal decisions.

Information About Kept Records for Creation

Documentation compiled about records in the recordkeeping system for the purpose of helping direct records creation activities.

Information About Kept Records Identified for Destruction

Documentation about records in the recordkeeping system that are earmarked for destruction that is to be destroyed along with the records and/or that is used to provide information for documentation about destroyed records.

Information About Kept Records Identified for Preservation

Documentation about records in the recordkeeping system that are earmarked for transfer to the designated preserver that is needed to prepare the records in accordance with the terms and conditions of transfer.

Information About Kept Records in Storage

Documentation compiled about kept records in the recordkeeping storage system for the purpose of processing retrieval requests for records and/or information about records.

Information About Kept Records Prepared for Transfer to Preserver

Documentation about kept records and any modifications made to them in preparation for transfer to the designated preserver that is used to generate documentation about the records being transferred.

Information About Made Documents' Context

Documentation about the juridical-administrative, provenancial, procedural, documentary and/or technological context of documents made by the creator that is not available from the documents themselves and that needs to be recorded as metadata (e.g., the action or matter of the documents).

Information About Maintenance of Kept Records in Storage

Continuously updated documentation indicating the location of digital components of kept records in storage, the presence, nature and locations of recordkeeping system backups, the occurrence of storage problems, the actions taken to correct storage problems, the actions taken to update records and refresh storage media, the results of such actions and their impact, if any, on the authenticity of the records.

Information About Maintenance of Preserved Records in Storage

Continuously updated documentation indicating the location of digital components of preserved records in storage, the presence, nature and locations of permanent preservation system backups, the occurrence of storage problems, the actions taken to correct storage problems, the actions taken to update records and refresh storage media, the results of such actions--including any problems encountered--and their impact, if any, on the authenticity of the records.

Information About Outgoing Documents

Documentation about the identity, integrity, format, form, context, content or other characteristics about documents sent to external juridical or physical persons by the creator, either in the form of metadata inextricably attached to record copies of the documents retained by the creator or inextricably linked to such copies in record profiles.

Information About Preservation Storage Correction Activities

Continuously logged and updated documentation concerning actions taken to identify and eliminate problems in permanent preservation system storage, and the results of such actions, including any problems that occurred in the process and any impacts to the authenticity of preserved records and their digital components.

Information About Preservation Storage Media Refreshment Activities

Continuously logged and updated documentation concerning refreshment actions taken to ensure preservation storage media remain sound, and the results of such actions, including any problems that occurred in the process and any impacts to the authenticity of preserved records and their digital components.

Information About Preservation Storage Updating Activities

Continuously logged and updated documentation concerning conversion actions taken to ensure preserved records remain accessible, legible and intelligible over time, and the results of such actions, including any problems that occurred in the process and any impacts to the authenticity of preserved records and their digital components.

Information About Preservation System Backup Activities

Continuously logged and updated documentation concerning permanent preservation system backup and recovery activities and the results of such actions, including any problems that occurred in the process and any impacts to the authenticity of preserved records and their digital components.

Information About Preserved Records in Storage

Documentation compiled about preserved records in the permanent preservation storage system for the purpose of processing retrieval request for records and/or information about records.

Information About Preserver

Documentation concerning the designated preserver's mission, organizational structure, activities, and existing technological, financial and human resources, as well as information about records preservation-related needs and risks.

Information About Preserver's Existing Holdings

Documentation compiled about the records and aggregations of records already in the preserver's custody for the purposes of helping make valuation determinations during appraisals and helping facilitate accessioning of accruals during acquisition.

Information About Received Documents' Context

Documentation about the context of incoming documents that is not available from the documents themselves and that needs to be recorded as metadata (e.g., the action or matter of the documents).

Information About Recordkeeping Storage Correction Activities

Continuously logged and updated documentation concerning actions taken to identify and eliminate problems in recordkeeping system storage, and the results of such actions, including any impacts on the authenticity of kept records and their digital components.

Information About Recordkeeping Storage Media Refreshment Activities

Continuously logged and updated documentation concerning refreshment actions taken to ensure recordkeeping storage media remain sound, and the results of such actions, including any impacts on the authenticity of kept records and their digital components.

Information About Recordkeeping Storage Updating Activities

Continuously logged and updated documentation concerning conversion actions taken to ensure kept records remain accessible, legible and intelligible over time, and the results of such actions, including any impacts on the authenticity of kept records and their digital components.

Information About Recordkeeping System Backup Activities

Continuously logged and updated documentation concerning recordkeeping system backup and recovery activities and the results of such actions, including any impacts on the authenticity of kept records and their digital components.

Information About Reproduced Kept Records Presented to Users

Documentation about the identity, integrity, format, form, context, content or other characteristics of reproduced kept records that were presented to users to satisfy requests.

Information About Reproduced Preserved Records Presented to Users

Documentation about the identity, integrity, format, form, context, content or other characteristics of reproduced preserved records that were presented to users to satisfy requests.

Information About Reproducible Kept Records Issued to Users

Documentation about the identity, integrity, format, form, context, content or other characteristics of reproducible kept records that were issued to users to satisfy requests.

Information About Reproducible Preserved Records Issued to Users

Documentation about the identity, integrity, format, form, context, content or other characteristics of reproducible preserved records that were issued to users to satisfy requests.

Information About Retrieved Digital Components of Kept Records

Technical documentation compiled about digital components of kept records in storage for the purpose of reconstituting the requested records from the components and presenting them in authentic form to users.

Information About Retrieved Digital Components of Preserved Records

Technical documentation compiled about digital components of preserved records in storage for the purpose of reconstituting the requested records from the components and presenting them in authentic form to users.

Information About Retrieved Digital Components that Need Updating or Correcting

Documentation about retrieved digital components that cannot be reconstituted or presented in accordance with current access strategies applicable to those records.

Information About Retrieved Kept Records

Documentation compiled about retrieved kept records for the purpose of fulfilling access requests: 1) for records properly ordered with respect to their relationships with each other, or 2) for information about the identity, integrity, format, form, context, content or other characteristics of the records.

Information About Retrieved Preserved Records

Documentation compiled about retrieved preserved records for the purpose of fulfilling access requests: 1) for records properly ordered with respect to their relationships with each other, or 2) for information about the identity, integrity, format, form, context, content or other characteristics of the records.

Information About Transferred Completed Records

Documentation compiled about completed records transferred to the recordkeeping system for the purpose of: 1) establishing the identity and demonstrate the integrity of the records being transferred, 2) identifying their logical format, constituent digital components, documentary form and other recordkeeping-related characteristics, 3) properly ordering the records with respect to their relationships with each other (archival bond) and 4) placing the records in their relevant contexts (juridical-procedural, provenancial, procedural, documentary, technical).

Information About Transferred Kept Records

Documentation compiled about kept records transferred to the designated preserver for the purposes of: 1) establishing the identity and demonstrating the integrity of the records being transferred, 2) identifying their logical format, constituent digital components, documentary form and other preservation-related characteristics, 3) properly ordering the records with respect to their relationships with each other (archival bond) and 4) associating the records with their relevant contexts (juridical-procedural, provenancial, procedural, documentary, technical).

Information About Valuation Determinations

Information about the criteria used to assess the value of records and their application in a given case.

Information for Appraisal

Documentation compiled about records and their contexts for the purpose of assessing their value and authenticity.

Information for Arrangement

Documentation compiled about acquired and accessioned records and their preservation for the purpose of arranging the preserved records of a given creator.

Information for Description

Documentation compiled about acquired and accessioned records and their preservation for the purpose of describing preserved records and creating description instruments.

Information for Feasibility

Documentation compiled about records and their contexts for the purpose of determining the feasibility of their preservation.

Information for Indexing

Documentation compiled about kept records for the purpose of establishing access points and creating indexing instruments to facilitate record discovery and retrieval.

Information for Preservation

Documentation compiled about accessioned records and their elements and digital components for the purpose of facilitating preservation.

Information for Preservation Retrieval Requests

Documentation compiled about preserved records and/or information about preserved records and their digital components for the purpose of generating retrieval requests and request specifications.

Information for Recordkeeping Retrieval Requests

Documentation compiled about kept records and/or information about kept records and their digital components for the purpose of generating retrieval requests and request specifications.

Information for Storage of Kept Records

Documentation compiled about kept records and their elements and digital components for the purpose of facilitating their storage and continued maintenance.

Information for Storage of Preserved Records

Documentation compiled about preserved records and their elements and digital components for the purpose of facilitating their storage and long-term preservation.

Integrated Business and Documentary Procedures

Procedures for carrying out the creator's business that have been linked to a scheme or plan for organization of the creator's records.

Juridical system

A social group that is organized on the basis of a system of rules and that includes three components: the social group, the organizational principle of the social group and the system of binding rules recognized by the social group.

Kept Records Identified for Destruction

Records and information about records in the recordkeeping system that are identified for destruction in accordance with retention decisions.

Kept Records Identified for Preservation

Records and information about records in the recordkeeping system that are identified, in accordance with retention decisions, for transfer to the designated preserver for long-term preservation.

Kept Records in Storage

Kept records whose digital components have been placed in a storage system on digital media.

Kept Records on Media that Need Refreshing

Kept records whose digital components are stored on media that need to be refreshed to ensure the records remain accessible, legible and intelligible over time.

Kept Records on Refreshed Storage Media

Kept records and/or their digital components that have been copied or transferred to new storage media.

Kept Records Prepared for Transfer to Preserver

Records and information about records in the recordkeeping system in the proper format for transfer to the designated preserver.

Kept Records that Need Correcting

Kept records whose digital components cannot be located, retrieved, reconstituted or presented in accordance with current recordkeeping strategies applicable to those records.

Kept Records that Need Updating

Kept records whose digital components require conversion to ensure the records remain accessible, legible and intelligible over time.

Kept Records Transfers

Aggregations of kept records adjudged worthy of transfer to the designated preserver for long-term preservation and that meet all terms and conditions of transfer.

Lists of Digital Components to be Preserved

Information about the components in the electronic environment manifesting record elements that should be preserved to maintain authenticity.

Lists of Record Elements to be Preserved

Information about the extrinsic and intrinsic elements of form that need to be preserved to maintain the authenticity of records.

Made Documents

Discrete aggregations of digital information that have been compiled in a syntactic manner in accordance with the specifications of the creator's documentary forms, integrated business and documentary procedures and record-making access privileges, but which have not yet been captured (i.e., affixed to a digital medium with fixed form and stable content).

Management Policies

Formalized statements designed to provide governance and guidance in the establishment of overall framework design requirements.

Mediated Access Requests for Kept Records and/or Information

Requests from internal or external users to consult or receive copies of kept records or information about kept records in storage that have been formulated following access to and, as necessary, assistance in the use of, the tools and resources needed to support querying and searching for, and discovery of, information, records and/or records aggregates in the recordkeeping system.

Mediated Access Requests for Preserved Records and/or Information

Requests from internal or external users to consult or receive copies of preserved records or information about preserved records in storage that have been formulated following access to and, as necessary, assistance in the use of, the tools and resources needed to support querying and searching for, and discovery of, information, records and/or records aggregates in the permanent preservation system.

Need for Verification

The need to employ methods of verification of the authenticity of records as a result of there being weak evidence for the presumption of their authenticity.

Notifications of Receipt of Preservation Access Request

Formal instruments sent to the persons requesting access to preserved records and/or information about the records acknowledging that the preserver has received the request and, if needed, asking requestors to address any problems identified in registering the requests.

Notifications of Receipt of Recordkeeping Access Request

Formal instruments sent to the persons requesting access to kept records and/or information about the records acknowledging that the creator has received the request and, if needed, asking requestors to address any problems identified in registering the requests.

Notifications of Receipt of Transfer

Formal instruments sent to the creator acknowledging that the preserver has received the transfers and, if needed, asking the creator to address any problems encountered in registering the transfers.

Notifications of Rejection of Preservation Access Request

Formal instruments sent to the persons requesting access to preserved records and/or information about the records indicating that requests cannot be fulfilled because the requests are unauthorized (e.g., due to copyright restrictions), do not contain information that is sufficiently accurate, valid or complete to process the request, or are for records and/or information that cannot be located, retrieved, verified, reconstituted, manifested and/or packaged due to administrative, technical or other problems.

Notifications of Rejection of Recordkeeping Access Request

Formal instruments sent to the persons requesting access to kept records and/or information about the records indicating that requests cannot be fulfilled because the requests are unauthorized (e.g., due to access restrictions), do not contain information that is sufficiently accurate, valid or complete to process the request, or are for records and/or information that cannot be located, retrieved, verified, reconstituted, manifested and/or packaged due to administrative, technical or other problems.

Notifications of Rejection of Transfer

Formal instruments sent to the creator by the preserver indicating that transfers of records do not satisfy requirements for being accessioned or preserved, because the transfers are unauthorized, do not contain the proper records, or contain records that cannot be authenticated or whose preservation is not feasible.

Orders to Rectify Unverifiable Retrievals

Official requests issued by access activity management staff to remedy problems that resulted in retrieval of incomplete, incorrect or unprocessable digital components and/or information and, as appropriate, reattempt retrievals.

Outgoing Documents

Records that are sent to external juridical and physical persons in the course of the activities of the records creator, drafts of which are also sent to and stored in the recordkeeping system.

Permanent Preservation System

A set of rules governing the permanent intellectual and physical maintenance of records and the tools and mechanisms used to implement these rules.

Permanent Preservation System Design

The plan for the permanent preservation system outlining the selection, acquisition, description, storage, retrieval and access sub-systems.

Permanent Preservation System Policies

The collective, high-level management principles that guide and control development, implementation and execution of the permanent preservation system.

Preservation Access System

A set of rules governing the methods and strategies for discovering, reconstituting and presenting and/or packaging retrieved records and/or information about records in the permanent preservation system and the tools and mechanisms used to implement these rules.

Preservation Access System Activity Directives

Authoritative procedural orders/instruments, issued in response to ongoing system monitoring and performance evaluations, that are intended to help direct, update and coordinate the ongoing activities of the preservation access system.

Preservation Access System Design

The plan for the access sub-system of the permanent preservation system.

Preservation Access System Monitoring Requirements

The operational and administrative conditions that need to be established to facilitate ongoing assessment of the operation of the permanent preservation access sub-system in relation to the established performance requirements for the sub-system.

Preservation Access System Performance Criteria

The operational benchmarks or standards for operation of the permanent preservation access sub-system against which the continuing performance and adequacy of all activities, functions, processes and structures within the sub-system are measured.

Preservation Access System Performance Information

Continuously logged and updated documentation concerning the ability of the permanent preservation access sub-system to fulfil its purpose and achieve its performance objectives.

Preservation Access System Performance Requirements

The operational and administrative specifications for measuring the continuing ability of the permanent preservation access sub-system to fulfil its purpose.

Preservation Access System Policies

The collective, high-level management principles that guide and control development, implementation and execution of the permanent preservation access sub-system.

Preservation Access System Rules and Procedures

The authoritative instructions governing the operation of the permanent preservation access sub-system.

Preservation Access System Strategies

The authoritative objectives and methods governing the operation of the permanent preservation access sub-system.

Preservation Access System Technological Requirements

Specification of the hardware and software needed for the permanent preservation access sub-system.

Preservation Acquisition System

A set of rules governing the acquisition and accessioning of records transfers and the tools and mechanisms used to implement these rules.

Preservation Acquisition System Activity Directives

Authoritative procedural orders/instruments, issued in response to ongoing system monitoring and performance evaluations, that are intended to help direct, update and coordinate the ongoing activities of the preservation acquisition system.

Preservation Acquisition System Design

The plan for the acquisition sub-system of the permanent preservation system.

Preservation Acquisition System Monitoring Requirements

The operational and administrative conditions that need to be established to facilitate ongoing assessment of the operation of the permanent preservation acquisition sub-system in relation to the established performance requirements for the sub-system.

Preservation Acquisition System Performance Criteria

The operational benchmarks or standards for operation of the permanent preservation acquisition sub-system against which the continuing performance and adequacy of all activities, functions, processes and structures within the sub-system are measured.

Preservation Acquisition System Performance Information

Continuously logged and updated documentation concerning the ability of the permanent preservation acquisition sub-system to fulfil its purpose and achieve its performance objectives.

Preservation Acquisition System Performance Requirements

The operational and administrative specifications for measuring the continuing ability of the permanent preservation acquisition sub-system to fulfil its purpose.

Preservation Acquisition System Policies

The collective, high-level management principles that guide and control development, implementation and execution of the permanent preservation acquisition sub-system.

Preservation Acquisition System Rules and Procedures

The authoritative instructions governing the operation of the permanent preservation acquisition sub-system.

Preservation Acquisition System Strategies

The authoritative objectives and methods governing the operation of the permanent preservation acquisition sub-system.

Preservation Acquisition System Technological Requirements

Specification of the hardware and software needed for the permanent preservation acquisition sub-system.

Preservation Activity Directives

Authoritative procedural orders/instruments, issued in response to ongoing system monitoring and performance evaluations, that are intended to help direct, update and coordinate the ongoing activities of the permanent preservation system.

Preservation Description System

A set of rules governing the description of preserved records and the development of description instruments and the tools and mechanisms used to implement these rules.

Preservation Description System Activity Directives

Authoritative procedural orders/instruments, issued in response to ongoing system monitoring and performance evaluations, that are intended to help direct, update and coordinate the ongoing activities of the preservation description system.

Preservation Description System Design

The plan for the description sub-system of the permanent preservation system.

Preservation Description System Monitoring Requirements

The operational and administrative conditions that need to be established to facilitate ongoing assessment of the operation of the permanent preservation description sub-system in relation to the established performance requirements for the sub-system.

Preservation Description System Performance Criteria

The operational benchmarks or standards for operation of the permanent preservation description sub-system against which the continuing performance and adequacy of all activities, functions, processes and structures within the sub-system are measured.

Preservation Description System Performance Information

Continuously logged and updated documentation concerning the ability of the permanent preservation description sub-system to fulfil its purpose and achieve its performance objectives.

Preservation Description System Performance Requirements

The operational and administrative specifications for measuring the continuing ability of the permanent preservation description sub-system to fulfil its purpose.

Preservation Description System Policies

The collective, high-level management principles that guide and control development, implementation and execution of the permanent preservation description sub-system.

Preservation Description System Rules and Procedures

The authoritative instructions governing the operation of the permanent preservation description sub-system.

Preservation Description System Strategies

The authoritative objectives and methods governing the operation of the permanent preservation description sub-system.

Preservation Description System Technological Requirements

Specification of the hardware and software needed for the permanent preservation description sub-system.

Preservation Information System

A set of rules governing the management and maintenance of information about the operation of the permanent preservation system and about the preserved records in the system, including their digital components and the preservation actions applied to them, and the tools and mechanisms used to implement these rules.

Preservation Information System Activity Directives

Authoritative procedural orders/instruments, issued in response to ongoing system monitoring and performance evaluations, that are intended to help direct, update and coordinate the ongoing activities of the preservation information system.

Preservation Information System Design

The plan for the information sub-system of the permanent preservation system.

Preservation Information System Monitoring Requirements

The operational and administrative conditions that need to be established to facilitate ongoing assessment of the operation of the permanent preservation information sub-system in relation to the established performance requirements for the sub-system.

Preservation Information System Performance Criteria

The operational benchmarks or standards for operation of the permanent preservation information sub-system against which the continuing performance and adequacy of all activities, functions, processes and structures within the sub-system are measured.

Preservation Information System Performance Information

Continuously logged and updated documentation concerning the ability of the permanent preservation information sub-system to fulfil its purpose and achieve its performance objectives.

Preservation Information System Performance Requirements

The operational and administrative specifications for measuring the continuing ability of the permanent preservation information sub-system to fulfil its purpose.

Preservation Information System Policies

The collective, high-level management principles that guide and control development, implementation and execution of the permanent preservation information sub-system.

Preservation Information System Rules and Procedures

The authoritative instructions governing the operation of the permanent preservation information sub-system.

Preservation Information System Strategies

The authoritative objectives and methods governing the operation of the permanent preservation information sub-system.

Preservation Information System Technological Requirements

Specification of the hardware and software needed for the permanent preservation information sub-system.

Preservation Metadata Schemes

Lists of all necessary metadata to be recorded to ensure the identification and integrity of records preserved in the permanent preservation system.

Preservation Reporting Schemes

Plans for the systematic generation of documentation or reports of the preserver's preservation activities according to logically structured conventions, methods and procedural rules.

Preservation Retrieval System

A set of rules governing the retrieval of records, their digital components and/or information about the records and their components from the permanent preservation storage system and the tools and mechanisms used to implement these rules.

Preservation Retrieval System Design

The plan for the permanent preservation retrieval system outlining preservation retrieval rules and procedures, preservation retrieval strategies, and preservation retrieval technological requirements.

Preservation Retrieval System Monitoring Requirements

The operational and administrative conditions that need to be established to facilitate ongoing assessment of the operation of the permanent preservation retrieval sub-system in relation to the established performance requirements for the sub-system.

Preservation Retrieval System Performance Criteria

The operational benchmarks or standards for operation of the permanent preservation retrieval sub-system against which the continuing performance and adequacy of all activities, functions, processes and structures within the sub-system are measured.

Preservation Retrieval System Performance Information

Continuously logged and updated documentation concerning the ability of the permanent preservation retrieval sub-system to fulfil its purpose and achieve its performance objectives.

Preservation Retrieval System Performance Requirements

The operational and administrative specifications for measuring the continuing ability of the permanent preservation retrieval sub-system to fulfil its purpose.

Preservation Retrieval System Policies

The collective, high-level management principles that guide and control development, implementation and execution of the permanent preservation retrieval sub-system.

Preservation Retrieval System Rules and Procedures

The authoritative instructions governing the operation of the permanent preservation retrieval sub-system.

Preservation Retrieval System Strategies

The authoritative objectives and methods governing the operation of the permanent preservation retrieval sub-system.

Preservation Retrieval System Technological Requirements

Specification of the hardware and software needed for the permanent preservation retrieval sub-system.

Preservation Selection System

A set of rules governing the appraisal of kept records and the tools and mechanisms used to implement these rules.

Preservation Selection System Activity Directives

Authoritative procedural orders/instruments, issued in response to ongoing system monitoring and performance evaluations, that are intended to help direct, update and coordinate the ongoing activities of the preservation selection system.

Preservation Selection System Design

The plan for the selection sub-system of the permanent preservation system.

Preservation Selection System Monitoring Requirements

The operational and administrative conditions that need to be established to facilitate ongoing assessment of the operation of the permanent preservation selection sub-system in relation to the established performance requirements for the sub-system.

Preservation Selection System Performance Criteria

The operational benchmarks or standards for operation of the permanent preservation selection sub-system against which the continuing performance and adequacy of all activities, functions, processes and structures within the sub-system are measured.

Preservation Selection System Performance Information

Continuously logged and updated documentation concerning the ability of the preservation selection sub-system to fulfil its purpose and achieve its performance objectives.

Preservation Selection System Performance Requirements

The operational and administrative specifications for measuring the continuing ability of the permanent preservation selection sub-system to fulfil its purpose.

Preservation Selection System Policies

The collective, high-level management principles that guide and control development, implementation and execution of the permanent preservation selection sub-system.

Preservation Selection System Rules and Procedures

The authoritative instructions governing the operation of the permanent preservation selection sub-system.

Preservation Selection System Strategies

The authoritative objectives and methods governing the operation of the permanent preservation selection sub-system.

Preservation Selection System Technological Requirements

Specification of the hardware and software needed for the permanent preservation selection sub-system.

Preservation Storage System

A set of rules governing the storage of records, their digital components and/or information about the records and components in the permanent preservation system and the tools and mechanisms used to implement these rules.

Preservation Storage System Activity Directives

Authoritative procedural orders/instruments, issued in response to ongoing system monitoring and performance evaluations, that are intended to help direct, update and coordinate the ongoing activities of the preservation storage system.

Preservation Storage System Design

The plan for the storage sub-system of the permanent preservation system.

Preservation Storage System Monitoring Requirements

The operational and administrative conditions that need to be established to facilitate ongoing assessment of the operation of the permanent preservation storage sub-system in relation to the established performance requirements for the sub-system.

Preservation Storage System Performance Criteria

The operational benchmarks or standards for operation of the permanent preservation storage sub-system against which the continuing performance and adequacy of all activities, functions, processes and structures within the sub-system are measured.

Preservation Storage System Performance Information

Continuously logged and updated documentation concerning the ability of the permanent preservation storage sub-system to fulfil its purpose and achieve its performance objectives.

Preservation Storage System Performance Requirements

The operational and administrative specifications for measuring the continuing ability of the permanent preservation storage sub-system to fulfil its purpose.

Preservation Storage System Policies

The collective, high-level management principles that guide and control development, implementation and execution of the permanent preservation storage sub-system.

Preservation Storage System Rules and Procedures

The authoritative instructions governing the operation of the permanent preservation storage sub-system.

Preservation Storage System Strategies

The authoritative objectives and methods governing the operation of the permanent preservation storage sub-system.

Preservation Storage System Technological Requirements

Specification of the hardware and software needed for the permanent preservation storage sub-system.

Preservation Storage that Needs Backing Up

All software applications and digital objects in the preservation storage system that need backing up as specified by permanent preservation storage system strategies.

Preservation System Access Privileges

The authority to compile, annotate, read, retrieve, transfer, and/or destroy records in the preservation system, granted to officers and employees of the entity responsible for preservation.

Preservation System Administrative Infrastructure

A comprehensive, integrated set of administrative policies, strategies, rules and procedures, and instruments that support preservation activities and enable the permanent preservation system to meet its functional requirements.

Preservation System Backup

A copy of all digital content in the preservation storage system.

Preservation System Functional Infrastructure Design

The comprehensive, integrated design for the permanent preservation system and each of its records information, selection, acquisition, description, storage, retrieval and access sub-systems.

Preservation System Functional Requirements

The comprehensive and integrated performance, monitoring and technological requirements for the permanent preservation system.

Preservation System Instruments

The administrative tools that support the preservation of records in the permanent preservation system, such as preservation metadata schemes, records transfer and accession registration schemes and controlled preservation vocabularies and thesauri.

Preservation System Monitoring Requirements

The operational and administrative conditions that need to be established to facilitate ongoing assessment of the operation of the permanent preservation system in relation to the established performance requirements for the system.

Preservation System Performance Criteria

The operational benchmarks or standards for operation of the permanent preservation system against which the continuing performance and adequacy of all activities, functions, processes, sub-systems and structures within the system are measured.

Preservation System Performance Information

Information about the ability of the individual components of the permanent preservation system to fulfil their purposes.

Preservation System Performance Requirements

The operational and administrative specifications for measuring the continuing ability of the permanent preservation system to fulfil its purpose.

Preservation System Rules and Procedures

The authoritative instructions governing the operation of the permanent preservation system.

Preservation System Strategies

The authoritative objectives and methods governing the operation of the permanent preservation system.

Preservation System Technological Requirements

Specification of the hardware and software needed for the permanent preservation system.

Preserved Records in Storage

Preserved records whose digital components have been placed in a storage system on digital media.

Preserved Records on Media that Need Refreshing

Preserved records whose digital components are stored on media that need to be refreshed to ensure the records remain accessible, legible and intelligible over time.

Preserved Records on Refreshed Storage Media

Preserved records and/or their digital components that have been copied or transferred to new storage media.

Preserved Records that Need Correcting

Preserved records whose digital components cannot be located, retrieved, reconstituted or presented in accordance with current preservation strategies applicable to those records.

Preserved Records that Need Updating

Preserved records whose digital components require conversion to ensure the records remain accessible, legible and intelligible over time.

Preserver

The entity responsible for managing the permanent preservation of records.

Preserver's Certificates of Authenticity

Attestations by the preserver that one or more records are authentic.

Preserver's Mission

For an archival institution or program: the jurisdiction, mandate, functions, and requirements to preserve the appraised records; for an individual: the goals, purposes, objectives, and related business needs to preserve selected records.

Procedures for Assessing Authenticity of Records

Authoritative procedural orders designed to facilitate evaluation of the authenticity of the creator's records during appraisal and/or acquisition of the records by the designated preserver.

Procedures for Ensuring the Accuracy of Records

Authoritative procedural orders designed to ensure that records are created accurate in the record-making system.

Procedures for Ensuring the Reliability of Records

Authoritative procedural orders designed to ensure that records are created reliable in the record-making system.

Procedures for Maintaining Authentic Copies of Records

Authoritative procedural orders outlining pre-established requirements for maintaining authentic copies of the creator's records in the custody of the designated preserver.

Procedures for Maintaining Authentic Records

Authoritative procedural orders designed to ensure that records maintain their identity and integrity as they are managed and maintained in the recordkeeping system.

Received Documents

Documents received by the creator from external juridical or physical persons.

Recommendations of Need to Update Appraisal Decisions

Instructions to revise appraisal decisions as a result of substantial changes in appraised records and their context, or as a result of substantial changes to a creator's organizational mandate and responsibilities and/or its record-making or recordkeeping activities or systems.

Recommended Framework Revisions

Suggestions on revising the framework design based on assessments of performance information of the record-making, recordkeeping, and permanent preservation systems.

Reconstituted Kept Records and/or Information

The linked or reassembled digital components of, and/or information about, kept records retrieved from storage for the purpose of reproducing and presenting the requested records and/or information to users.

Reconstituted Preserved Records and/or Information

The linked or reassembled digital components of, and/or information about, preserved records retrieved from storage for the purpose of reproducing and presenting the requested records and/or information to users.

Record Copies of Outgoing Documents

Drafts or record copies of documents sent to external juridical or physical persons, which are also sent to the recordkeeping system.

Record Copies of Redacted Kept Records Issued to Users

Record copies of kept records and/or information issued to users that were redacted to meet privacy and/or copyright requirements.

Record Copies of Redacted Preserved Records Issued to Users

Record copies of preserved records and/or information issued to users that were redacted to meet privacy and/or copyright requirements.

Record Descriptions

Descriptive information about preserved records, including their nature, make-up and contexts (juridical-administrative, provenancial, procedural, documentary and technological) that is recorded to facilitate intellectual and physical control of the records and, together with description instruments, to facilitate discovery.

Record Profile Schemes

Plans for the systematic generation of digital forms designed to contain the attributes of records that attest to their identity and integrity, and which are generated when users create, send and/or close records, are updated when users subsequently modify or annotate completed records, and remain inextricably linked to the records for the entire period of their existence while in the custody of the creator.

Recordkeeping Access System

A set of rules governing the methods and strategies for discovering, reconstituting and presenting and/or packaging retrieved records and/or information about records in the recordkeeping system and the tools and mechanisms used to implement these rules.

Recordkeeping Access System Activity Directives

Authoritative procedural orders/instruments, issued in response to ongoing system monitoring and performance evaluations, that are intended to help direct, update and coordinate the ongoing activities of the recordkeeping access system.

Recordkeeping Access System Design

The plan for the access sub-system of the recordkeeping system.

Recordkeeping Access System Monitoring Requirements

The operational and administrative conditions that need to be established to facilitate ongoing assessment of the operation of the recordkeeping access sub-system in relation to the established performance requirements for the sub-system.

Recordkeeping Access System Performance Criteria

The operational benchmarks or standards for operation of the recordkeeping access sub-system against which the continuing performance and adequacy of all activities, functions, processes and structures within the sub-system are measured.

Recordkeeping Access System Performance Information

Continuously logged and updated documentation concerning the ability of the recordkeeping access sub-system to fulfil its purpose and achieve its performance objectives.

Recordkeeping Access System Performance Requirements

The operational and administrative specifications for measuring the continuing ability of the recordkeeping access sub-system to fulfil its purpose.

Recordkeeping Access System Policies

The collective, high-level management principles that guide and control development, implementation and execution of the recordkeeping access sub-system.

Recordkeeping Access System Rules and Procedures

The authoritative instructions governing the operation of the recordkeeping access sub-system.

Recordkeeping Access System Strategies

The authoritative objectives and methods governing the operation of the recordkeeping access sub-system.

Recordkeeping Access System Technological Requirements

Specification of the hardware and software needed for the recordkeeping access sub-system.

Recordkeeping Activity Directives

Authoritative procedural orders/instruments, issued in response to ongoing system monitoring and performance evaluations, that are intended to help direct, update and coordinate the ongoing activities of the recordkeeping system.

Recordkeeping Classification Scheme

A plan for the systematic identification and arrangement of the creator's business activities and records into categories according to logically structured conventions, methods and procedural rules.

Recordkeeping Disposition System

A set of rules governing the disposition of kept records and the tools and mechanisms used to implement these rules.

Recordkeeping Disposition System Activity Directives

Authoritative procedural orders/instruments, issued in response to ongoing system monitoring and performance evaluations, that are intended to help direct, update and coordinate the ongoing activities of the recordkeeping disposition system.

Recordkeeping Disposition System Design

The plan for the disposition sub-system of the recordkeeping system.

Recordkeeping Disposition System Monitoring Requirements

The operational and administrative conditions that need to be established to facilitate ongoing assessment of the operation of the recordkeeping disposition sub-system in relation to the established performance requirements for the sub-system.

Recordkeeping Disposition System Performance Criteria

The operational benchmarks or standards for operation of the recordkeeping disposition sub-system against which the continuing performance and adequacy of all activities, functions, processes and structures within the sub-system are measured.

Recordkeeping Disposition System Performance Information

Continuously logged and updated documentation concerning the ability of the recordkeeping disposition sub-system to fulfil its purpose and achieve its performance objectives.

Recordkeeping Disposition System Performance Requirements

The operational and administrative specifications for measuring the continuing ability of the recordkeeping disposition sub-system to fulfil its purpose.

Recordkeeping Disposition System Policies

The collective, high-level management principles that guide and control development, implementation and execution of the recordkeeping disposition sub-system.

Recordkeeping Disposition System Rules and Procedures

The authoritative instructions governing the operation of the recordkeeping disposition sub-system.

Recordkeeping Disposition System Strategies

The authoritative objectives and methods governing the operation of the recordkeeping disposition sub-system.

Recordkeeping Disposition System Technological Requirements

Specification of the hardware and software needed for the recordkeeping disposition sub-system.

Recordkeeping Indexing System

A set of rules governing the indexing of kept records and the tools and mechanisms used to implement these rules.

Recordkeeping Indexing System Activity Directives

Authoritative procedural orders/instruments, issued in response to ongoing system monitoring and performance evaluations, that are intended to help direct, update and coordinate the ongoing activities of the recordkeeping indexing sub-system.

Recordkeeping Indexing System Design

The plan for the indexing sub-system of the recordkeeping system.

Recordkeeping Indexing System Monitoring Requirements

The operational and administrative conditions that need to be established to facilitate ongoing assessment of the operation of the recordkeeping indexing sub-system in relation to the established performance requirements for the sub-system.

Recordkeeping Indexing System Performance Criteria

The operational benchmarks or standards for operation of the recordkeeping indexing sub-system against which the continuing performance and adequacy of all activities, functions, processes and structures within the sub-system are measured.

Recordkeeping Indexing System Performance Information

Continuously logged and updated documentation concerning the ability of the recordkeeping indexing sub-system to fulfil its purpose and achieve its performance objectives.

Recordkeeping Indexing System Performance Requirements

The operational and administrative specifications for measuring the continuing ability of the recordkeeping indexing sub-system to fulfil its purpose.

Recordkeeping Indexing System Policies

The collective, high-level management principles that guide and control development, implementation and execution of the recordkeeping indexing sub-system.

Recordkeeping Indexing System Rules and Procedures

The authoritative instructions governing the operation of the recordkeeping indexing sub-system.

Recordkeeping Indexing System Strategies

The authoritative objectives and methods governing the operation of the recordkeeping indexing sub-system.

Recordkeeping Indexing System Technological Requirements

Specification of the hardware and software needed for the recordkeeping indexing sub-system.

Recordkeeping Information System

A set of rules governing the management and maintenance of information about the operation of the recordkeeping system and about the kept records in the system, including their digital components and metadata and the recordkeeping actions applied to them, and the tools and mechanisms used to implement these rules.

Recordkeeping Information System Design

The plan for the information sub-system of the recordkeeping system.

Recordkeeping Information System Monitoring Requirements

The operational and administrative conditions that need to be established to facilitate ongoing assessment of the operation of the recordkeeping information sub-system in relation to the established performance requirements for the sub-system.

Recordkeeping Information System Performance Criteria

The operational benchmarks or standards for operation of the recordkeeping information sub-system against which the continuing performance and adequacy of all activities, functions, processes and structures within the sub-system are measured.

Recordkeeping Information System Performance Information

Continuously logged and updated documentation concerning the ability of the recordkeeping information sub-system to fulfil its purpose and achieve its performance objectives.

Recordkeeping Information System Performance Requirements

The operational and administrative specifications for measuring the continuing ability of the recordkeeping information sub-system to fulfil its purpose.

Recordkeeping Information System Policies

The collective, high-level management principles that guide and control development, implementation and execution of the recordkeeping information sub-system.

Recordkeeping Information System Rules and Procedures

The authoritative instructions governing the operation of the recordkeeping information sub-system.

Recordkeeping Information System Strategies

The authoritative objectives and methods governing the operation of the recordkeeping information sub-system.

Recordkeeping Information System Technological Requirements

Specification of the hardware and software needed for the recordkeeping information sub-system.

Recordkeeping Metadata Schemes

Lists of all necessary metadata to be recorded to ensure the identification and integrity of records maintained in the recordkeeping system.

Recordkeeping Registration Scheme

A plan for assigning a unique identifier to each record in the recordkeeping system.

Recordkeeping Reporting Schemes

Plans for the systematic generation of documentation or reports of the creator's recordkeeping activities according to logically structured conventions, methods and procedural rules.

Recordkeeping Retrieval System

A set of rules governing searching and finding records and/or information about records in a recordkeeping system, and the tools and mechanisms used to implement these rules.

Recordkeeping Retrieval System Design

The plan for the retrieval sub-system of the recordkeeping system.

Recordkeeping Retrieval System Monitoring Requirements

The operational and administrative conditions that need to be established to facilitate ongoing assessment of the operation of the recordkeeping retrieval sub-system in relation to the established performance requirements for the sub-system.

Recordkeeping Retrieval System Performance Criteria

The operational benchmarks or standards for operation of the recordkeeping retrieval sub-system against which the continuing performance and adequacy of all activities, functions, processes and structures within the sub-system are measured.

Recordkeeping Retrieval System Performance Information

Continuously logged and updated documentation concerning the ability of the recordkeeping retrieval sub-system to fulfil its purpose and achieve its performance objectives.

Recordkeeping Retrieval System Performance Requirements

The operational and administrative specifications for measuring the continuing ability of the recordkeeping retrieval sub-system to fulfil its purpose.

Recordkeeping Retrieval System Policies

The collective, high-level management principles that guide and control development, implementation and execution of the recordkeeping retrieval sub-system.

Recordkeeping Retrieval System Rules and Procedures

The authoritative instructions governing the operation of the recordkeeping retrieval sub-system.

Recordkeeping Retrieval System Strategies

The authoritative objectives and methods governing the operation of the recordkeeping retrieval sub-system.

Recordkeeping Retrieval System Technological Requirements

Specification of the hardware and software needed for the recordkeeping retrieval sub-system.

Recordkeeping Storage System

A set of rules governing the storage of records, their digital components and/or information about the records and components in the recordkeeping system and the tools and mechanisms used to implement these rules.

Recordkeeping Storage System Activity Directives

Authoritative procedural orders/instruments, issued in response to ongoing system monitoring and performance evaluations, that are intended to help direct, update and coordinate the ongoing activities of the recordkeeping storage system.

Recordkeeping Storage System Design

The plan for the recordkeeping storage system outlining a set of rules governing the storage of records and/or information about records in a recordkeeping system, recordkeeping storage strategies, and recordkeeping storage technological requirements.

Recordkeeping Storage System Monitoring Requirements

The operational and administrative conditions that need to be established to facilitate ongoing assessment of the operation of the recordkeeping storage sub-system in relation to the established performance requirements for the sub-system.

Recordkeeping Storage System Performance Criteria

The operational benchmarks or standards for operation of the recordkeeping storage sub-system against which the continuing performance and adequacy of all activities, functions, processes and structures within the sub-system are measured.

Recordkeeping Storage System Performance Information

Continuously logged and updated documentation concerning the ability of the recordkeeping storage sub-system to fulfil its purpose and achieve its performance objectives.

Recordkeeping Storage System Performance Requirements

The operational and administrative specifications for measuring the continuing ability of the recordkeeping storage sub-system to fulfil its purpose.

Recordkeeping Storage System Policies

The collective, high-level management principles that guide and control development, implementation and execution of the recordkeeping storage sub-system.

Recordkeeping Storage System Rules and Procedures

The authoritative instructions governing the operation of the recordkeeping storage sub-system.

Recordkeeping Storage System Strategies

The authoritative objectives and methods governing the operation of the recordkeeping storage sub-system.

Recordkeeping Storage System Technological Requirements

Specification of the hardware and software needed for the recordkeeping storage sub-system.

Recordkeeping Storage that Needs Backing Up

All software applications and digital objects in the recordkeeping storage system that need backing up as specified by recordkeeping storage system strategies.

Recordkeeping System

A set of rules governing the storage, use, maintenance and disposition of records and/or information about records and the tools and mechanisms used to implement these rules..

Recordkeeping System Access Privileges

The authority to annotate, read, retrieve, transfer and/or destroy records in the recordkeeping system, granted to officers and employees of the creator.

Recordkeeping System Administrative Infrastructure

A comprehensive, integrated set of administrative policies, strategies, rules and procedures, and instruments that support recordkeeping activities and enable the recordkeeping system to meet its functional requirements.

Recordkeeping System Backup

A copy of all digital content in the recordkeeping storage system.

Recordkeeping System Design

The plan for the recordkeeping system outlining the recordkeeping metadata schemes, classification scheme, retention schedule, registration scheme, recordkeeping retrieval system, recordkeeping technological requirements, recordkeeping access privileges, and procedures for maintaining authentic records.

Recordkeeping System Functional Infrastructure Design

The comprehensive, integrated design for the recordkeeping system and each of its records information, storage, retrieval, access and disposition sub-systems.

Recordkeeping System Functional Requirements

The comprehensive and integrated performance, monitoring and technological requirements for the recordkeeping system.

Recordkeeping System Instruments

The administrative tools that support the maintenance of records in the recordkeeping system, such as recordkeeping metadata schemes, records registration and classification schemes, a retention schedule and controlled recordkeeping vocabularies and thesauri.

Recordkeeping System Monitoring Requirements

The operational and administrative conditions that need to be established to facilitate ongoing assessment of the operation of the recordkeeping system in relation to the established performance requirements for the system.

Recordkeeping System Performance Criteria

The operational benchmarks or standards for operation of the recordkeeping system against which the continuing performance and adequacy of all activities, functions, processes and structures within the system are measured.

Recordkeeping System Performance Information

Continuously logged and updated documentation about the ability of the individual components of the recordkeeping system to fulfil their purposes.

Recordkeeping System Performance Requirements

The operational and administrative specifications for measuring the continuing ability of the recordkeeping system to fulfil its purpose.

Recordkeeping System Policies

The collective, high-level management principles that guide and control development, implementation and execution of the recordkeeping system.

Recordkeeping System Rules and Procedures

The authoritative instructions governing the operation of the recordkeeping system.

Recordkeeping System Strategies

The authoritative objectives and methods governing the operation of the recordkeeping system.

Recordkeeping System Technological Requirements

Specification of the hardware and software needed for the recordkeeping system.

Record-making Access Privileges

The authority to compile, annotate, read, retrieve, transfer and/or destroy records in the record-making system, granted to officers and employees of the creator.

Record-making Activity Directives

Authoritative procedural orders/instruments intended to facilitate effective, co-ordinated and responsive record-making activities.

Record-making Capture System Design

The plan for the capture sub-system of the record-making system.

Record-making Capture System Monitoring Requirements

The operational and administrative conditions that need to be established to facilitate ongoing assessment of the operation of the record-making capture sub-system in relation to the established record-making requirements for the sub-system.

Record-making Capture System Performance Criteria

The operational benchmarks or standards for operation of the record-making capture sub-system against which the continuing performance and adequacy of all activities, functions, processes and structures within the sub-system are measured.

Record-making Capture System Performance Information

Continuously logged and updated documentation concerning the ability of the record-making capture sub-system to fulfil its purpose and achieve its performance objectives.

Record-making Capture System Performance Requirements

The operational and administrative specifications for measuring the continuing ability of the record-making capture sub-system to fulfil its purpose.

Record-making Capture System Policies

The collective, high-level management principles that guide and control development, implementation and execution of the record-making capture sub-system.

Record-making Capture System Rules and Procedures

The authoritative instructions governing the operation of the record-making capture sub-system.

Record-making Capture System Strategies

The authoritative objectives and methods governing the operation of the record-making capture sub-system.

Record-making Capture System Technological Requirements

Specification of the hardware and software needed for the record-making capture sub-system.

Record-making Declaration System Design

The plan for the declaration sub-system of the record-making system.

Record-making Declaration System Monitoring Requirements

The operational and administrative conditions that need to be established to facilitate ongoing assessment of the operation of the record-making declaration sub-system in relation to the established record-making requirements for the sub-system.

Record-making Declaration System Performance Criteria

The operational and administrative specifications for measuring the continuing ability of the record-making declaration sub-system to fulfil its purpose.

Record-making Declaration System Performance Information

Continuously logged and updated documentation concerning the ability of the record-making declaration sub-system to fulfil its purpose and achieve its performance objectives.

Record-making Declaration System Performance Requirements

The operational and administrative specifications for measuring the continuing ability of the record-making declaration sub-system to fulfil its purpose.

Record-making Declaration System Policies

The collective, high-level management principles that guide and control development, implementation and execution of the record-making declaration sub-system.

Record-making Declaration System Rules and Procedures

The authoritative instructions governing the operation of the record-making declaration sub-system.

Record-making Declaration System Strategies

The authoritative objectives and methods governing the operation of the record-making declaration sub-system.

Record-making Declaration System Technological Requirements

Specification of the hardware and software needed for the record-making declaration sub-system.

Record-making Execution System Design

The plan for the execution sub-system of the record-making system.

Record-making Execution System Monitoring Requirements

The operational and administrative conditions that need to be established to facilitate ongoing assessment of the operation of the record-making execution sub-system in relation to the established record-making requirements for the sub-system.

Record-making Execution System Performance Criteria

The operational benchmarks or standards for operation of the record-making execution sub-system against which the continuing performance and adequacy of all activities, functions, processes and structures within the sub-system are measured.

Record-making Execution System Performance Information

Continuously logged and updated documentation concerning the ability of the record-making execution sub-system to fulfil its purpose and achieve its performance objectives.

Record-making Execution System Performance Requirements

The operational and administrative specifications for measuring the continuing ability of the record-making execution sub-system to fulfil its purpose.

Record-making Execution System Policies

The collective, high-level management principles that guide and control development, implementation and execution of the record-making execution sub-system.

Record-making Execution System Rules and Procedures

The authoritative instructions governing the operation of the record-making execution sub-system.

Record-making Execution System Strategies

The authoritative objectives and methods governing the operation of the record-making execution sub-system.

Record-making Execution System Technological Requirements

Specification of the hardware and software needed for the record-making execution sub-system.

Record-making Identification System Design

The plan for the identification sub-system of the record-making system.

Record-making Identification System Monitoring Requirements

The operational and administrative conditions that need to be established to facilitate ongoing assessment of the operation of the record-making identification sub-system in relation to the established record-making requirements for the sub-system.

Record-making Identification System Performance Criteria

The operational and administrative specifications for measuring the continuing ability of the record-making identification sub-system to fulfil its purpose.

Record-making Identification System Performance Information

Continuously logged and updated documentation concerning the ability of the record-making identification sub-system to fulfil its purpose and achieve its performance objectives.

Record-making Identification System Performance Requirements

The operational benchmarks or standards for operation of the record-making identification sub-system against which the continuing performance and adequacy of all activities, functions, processes and structures within the sub-system are measured.

Record-making Identification System Policies

The collective, high-level management principles that guide and control development, implementation and execution of the record-making identification sub-system.

Record-making Identification System Rules and Procedures

The authoritative instructions governing the operation of the record-making identification sub-system.

Record-making Identification System Strategies

The authoritative objectives and methods governing the operation of the record-making identification sub-system.

Record-making Identification System Technological Requirements

Specification of the hardware and software needed for the record-making identification sub-system.

Record-making Metadata Schemes

Lists of all necessary record-making metadata to be recorded to ensure the reliability, accuracy, identification and integrity of records created in the record-making system.

Record-making Reporting Schemes

Plans for the systematic generation of documentation or reports of the creator's record-making activities according to logically structured conventions, methods and procedural rules.

Record-making System

A set of rules governing the making of records, and the tools and mechanisms used to implement these rules.

Record-making System Administrative Infrastructure

A comprehensive, integrated set of administrative policies, strategies, rules and procedures, and instruments that support record-making activities and enable the record-making system to meet its functional requirements.

Record-making System Design

The plan for the record-making system outlining the integrated business and documentary procedures, record-making metadata schemes, records forms, record-making technological requirements, and record-making access privileges.

Record-making System Functional Infrastructure Design

The comprehensive, integrated design for the record-making system and each of its documents and records capture, identification, declaration, execution and transfer sub-systems.

Record-making System Functional Requirements

The comprehensive and integrated performance, monitoring and technological requirements for the record-making system.

Record-making System Instruments

The administrative tools that support the preservation of records in the record-making system, such as record-making metadata schemes and records forms.

Record-making System Monitoring Requirements

The operational and administrative conditions that need to be established to facilitate ongoing assessment of the operation of the record-making system in relation to the established record-making system requirements.

Record-making System Performance Criteria

The operational benchmarks or standards for operation of the record-making system against which the continuing performance and adequacy of all activities, functions, processes and structures within the system are measured.

Record-making System Performance Information

Continuously logged and updated documentation concerning the ability of the individual components of the record-making system to fulfil their purposes.

Record-making System Performance Requirements

The operational and administrative specifications for measuring the continuing ability of the record-making system to fulfil its purpose.

Record-making System Policies

The collective, high-level management principles that guide and control development, implementation and execution of the record-making system.

Record-making System Rules and Procedures

The authoritative instructions governing the operation of the record-making system.

Record-making System Strategies

The authoritative objectives and methods governing the operation of the record-making system.

Record-making System Technological Requirements

Specification of the hardware and software needed for the record-making system.

Record-making Transfer System Activity Directives

Authoritative procedural orders/instruments intended to facilitate effective, co-ordinated and responsive record-making transfer system activities.

Record-making Transfer System Design

The plan for the transfer sub-system of the record-making system.

Record-making Transfer System Monitoring Requirements

The operational and administrative conditions that need to be established to facilitate ongoing assessment of the operation of the record-making transfer sub-system in relation to the established record-making requirements for the sub-system.

Record-making Transfer System Performance Criteria

The operational benchmarks or standards for operation of the record-making transfer sub-system against which the continuing performance and adequacy of all activities, functions, processes and structures within the sub-system are measured.

Record-making Transfer System Performance Information

Continuously logged and updated documentation concerning the ability of the record-making transfer sub-system to fulfil its purpose and achieve its performance objectives.

Record-making Transfer System Performance Requirements

The operational and administrative specifications for measuring the continuing ability of the record-making transfer sub-system to fulfil its purpose.

Record-making Transfer System Policies

The collective, high-level management principles that guide and control development, implementation and execution of the record-making transfer sub-system.

Record-making Transfer System Rules and Procedures

The authoritative instructions governing the operation of the record-making transfer sub-system.

Record-making Transfer System Strategies

The authoritative objectives and methods governing the operation of the record-making transfer sub-system.

Record-making Transfer System Technological Requirements

Specification of the hardware and software needed for the record-making transfer sub-system.

Records Forms

Specifications of the documentary forms for the various types of records of the creator.

Records Manager

Person responsible for the management of active and semi-active records of a creator. The role of a records manager should be that of a trusted records officer.

Records to be Accessioned

Records in transfers that have been registered, are authorized, meet the terms and conditions of transfer, and meet the preserver's feasibility requirements, and consequently can be accessioned for permanent preservation.

Records Transfer Registration Scheme

A plan for assigning a unique identifier to each received records transfer.

Registered Preservation Access Requests

Access requests for preserved records and/or information about the records that have been received from internal and external users and registered by the preserver.

Registered Recordkeeping Access Requests

Access requests for kept records and/or information about the records that have been received from internal and external users and registered by the records manager.

Registered Transfers

Transfers of records selected for preservation that have been received from the creator and registered by the preserver.

Reports on Operation of Permanent Preservation Activity

Documentation concerning the efficacy of the operation of activities of the permanent preservation system.

Reports on Operation of Recordkeeping Activity

Documentation concerning the efficacy of the operation of activities of the recordkeeping system.

Reports on Operation of Record-making Activity

Documentation concerning the efficacy of the operation of the activities of the record-making system.

Reproduced Kept Records Presented to Users

Authentic representations or other versions of kept records reconstituted from their digital components.

Reproduced Preserved Records Presented to Users

Authentic representations or other versions of records reconstituted from their digital components.

Reproducible Kept Records Issued to Users

The digital components of kept records together with the technical information or software necessary to reproduce them from the digital components.

Reproducible Preserved Records Issued to Users

The digital components of preserved records together with the technical information necessary to reproduce them from the digital components.

Request Specifications for Kept Records

Instructions to the recordkeeping retrieval and access systems on how to fulfil requests for digital components of kept records and/or information about kept records in storage.

Request Specifications for Preserved Records

Instructions to the preservation retrieval and access systems on how to fulfil requests for digital components of preserved records and/or information about preserved records in storage.

Requests for Updated Information About Creator

Requests for updated information concerning any significant changes to the designated preserver's mission, organizational structure, activities, and existing technological, financial and human resources, as well as information about any significant changes to the preserver's preservation-related needs and risks.

Retention Schedule

A document providing description of records series and/or classes and specifying their authorized dispositions.

Retrieval Requests for Kept Records and/or Information

Access requests for kept records and/or information translated into requests to the recordkeeping storage and information systems for retrieval of the exact digital components and/or information required to fulfil the access requests.

Retrieval Requests for Preserved Records and/or Information

Access requests for preserved records and/or information translated into requests to the permanent preservation storage and information systems for retrieval of the exact digital components and/or information required to fulfil the access requests.

Retrieved Digital Components of Kept Records

The digital components of kept records retrieved from storage in response to requests.

Retrieved Digital Components of Kept Records that Need Updating or Correcting

Digital components of kept records that cannot be reconstituted or presented in accordance with current recordkeeping access strategies applicable to those records.

Retrieved Digital Components of Preserved Records

The digital components of preserved records retrieved from storage in response to requests.

Retrieved Digital Components of Preserved Records that Need Updating or Correcting

Digital components of preserved records that cannot be reconstituted or presented in accordance with current preservation access strategies applicable to those records.

Retrieved Information About Kept Records

Documentation about the identity, integrity, format, form, context, content or other characteristics of kept records retrieved from the recordkeeping information sub-system and/or, as necessary, through examination of the records themselves, in response to requests.

Retrieved Information About Preserved Records

Documentation about the identity, integrity, format, form, context, content or other characteristics of preserved records retrieved from the permanent preservation information sub-system and/or, as necessary, through examination of the records themselves, in response to requests.

Standards

Sets of rules or guidelines co-operatively adhered to by peer entities.

State of Technology

The availability and/or capability of technology at any given time.

Technical Description of Records Proposed for Preservation

Information about the technical components and requirements of records proposed for preservation that is necessary for helping to determine the feasibility of preserving the records.

Terms and Conditions of Transfer

Formal instruments that identify in archival and technological terms digital records to be transferred, together with relevant documentation, and that identifies the medium and format of transfers, when the transfers will occur, and the parties to the transfers.

Tools

Information, technology and other equipment and supplies used to manage the lifecycle of records.

Transfer Documentation for Preservation

Formal instruments indicating the entity transferring records, the contents of transfers and the terms and conditions governing the transfers, copies of which are sent to the preserver and maintained by the creator as evidence of the transaction.

Transfer Documentation for Recordkeeping

Formal instruments indicating the entity transferring records, the contents of transfers and, as necessary, information about the records being transferred for the purposes of maintaining the records in the recordkeeping system and for providing evidence of the transaction.

Unmediated Access Requests for Kept Records and/or Information

Requests from external users to consult or receive copies of kept records and/or information about kept records that were formulated without the assistance of records management staff or access to record indexing instruments.

Unmediated Access Requests for Preserved Records and/or Information

Requests from external users to consult or receive copies of preserved records and/or information about preserved records that were formulated without the assistance of archives staff or access to record descriptions or other formal description instruments.

Updated Information About Creator

Updated information concerning significant changes to the records creator's mission, organizational structure, activities, and existing technological, financial and human resources, as well as to the creator's records-related needs and risks.

Updated Information for Preservation

Updated information about records and their elements and components that is needed for preservation.

Updated Kept Records

Kept records whose digital components have been converted or updated.

Updated Preserved Records

Preserved records whose digital components have been converted or updated.

Valuation Determinations

Decisions concerning the overall value of appraised records in relation to assessments of their authenticity and capacity to serve the continuing interests of their creator and/or society, as well as their suitability and relevance in relation to the preserver's mission and existing holdings.

Verified Information About Retrieved Digital Components of Kept Records

Technical documentation compiled about digital components of kept records retrieved from storage that has been verified to ensure that the information received is correct (i.e., pertains to the requested records), complete and sufficient to enable the records to be reconstituted in authentic form from the retrieved components.

Verified Information About Retrieved Digital Components of Preserved Records

Technical documentation compiled about digital components of preserved records retrieved from storage that has been verified to ensure that the information received is correct (i.e., pertains to the requested records), complete and sufficient to enable the records to be reconstituted in authentic form from the retrieved components.

Verified Information About Retrieved Kept Records

Documentation compiled about kept records retrieved from storage that has been verified to ensure that the information received is correct (i.e., pertains to the requested records), complete and sufficient to fulfil access requests: 1) for records properly ordered with respect to their relationships with each other, or 2) for information about the identity, integrity, format, form, context, content or other characteristics of the records.

Verified Information About Retrieved Preserved Records

Documentation compiled about preserved records retrieved from storage that has been verified to ensure that the information received is correct (i.e., pertains to the requested records), complete and sufficient to fulfil access requests: 1) for records properly ordered with respect to their relationships with each other, or 2) for information about the identity, integrity, format, form, context, content or other characteristics of the records.

Verified Retrieved Digital Components of Kept Records

The aggregations of digital components of kept records retrieved from storage in response to requests, which have been verified to ensure that all requested components have been received.

Verified Retrieved Digital Components of Preserved Records

The aggregations of digital components of preserved records retrieved from storage in response to requests, which have been verified to ensure that all requested components have been received.

Verified Retrieved Information About Kept Records

Documentation about the identity, integrity, format, form, context, content or other characteristics of kept records retrieved from the recordkeeping information sub-system and/or, as necessary, through examination of the records themselves, which has been verified to ensure that the information received is correct (i.e., pertains to the requested records), complete and sufficient to satisfy access requests for information about kept records.

Verified Retrieved Information About Preserved Records

Documentation about the identity, integrity, format, form, context, content or other characteristics of preserved records retrieved from the permanent preservation information sub-system and/or, as necessary, through examination of the records themselves, which has been verified to ensure that the information received is correct (i.e., pertains to the requested records), complete and sufficient to satisfy access requests for information about preserved records.

Verified Transfers

Transfers of records selected for preservation that have been successfully received from the creator (i.e., were not corrupted in transmission) and include all records and aggregates of records specified in the terms and conditions of the transfers.