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Managing Records in a Record-making System (A2)

Managing the Making and Receipt of Records (A2.2)

Capturing Documents Made or Received By the Creator (A2.2.2)

Identity metadata captured for this activity could include:

For captured made documents

- chronological date (and possibly time) of compilation and capture;
- documentary form—that is, whether the document is a report, a letter, a contract, etc.; and
- digital presentation—that is, file format, wrapper, encoding, etc.

For captured received documents

- chronological date (and possibly time) of transmission from the originator;
- chronological date (and possibly time) of receipt and capture;
- documentary form—that is, whether the document is a report, a letter, a contract, etc.; and
- digital presentation—that is, file format, wrapper, encoding, etc.

Identifying Captured Documents (A2.2.3)

Identity metadata captured for this activity could include:

- names of the persons involved in the creation of the document, including:
 - *author(s)*—that is, the physical or juridical person(s) responsible for issuing the document;
 - *writer(s)*—that is, the physical person(s) or position(s) responsible for articulating the content of the document;
 - *addressee(s)*—that is, the physical or juridical person(s) for whom the document is intended;
 - *originator(s)* (if different from the author or writer)—that is, the physical person(s), position(s) or office(s) responsible for the electronic account or technical environment where the document is generated and/or from which the document is transmitted;¹ and
 - *receiver(s) or recipient(s)*—that is, the physical or juridical person(s) to whom the document may be copied or blind copied for information purposes;
- name of the action or matter—that is, the subject line(s) and/or the title at the top of the document;
- indication of the presence of a digital signature;
- indication of other forms of authentication, including:
 - *corroboration*—that is, an explicit mention of the means used to validate the document;
 - *attestation*—that is, the validation of the document by those who took part in the issuing of it, and by witnesses to the action or to the ‘signing’ of the document;

¹ Identification of the originator is only important in cases where the person, position or office responsible for physically creating and/or transmitting the document is neither the author nor the writer, and when the presence of the originator’s name appearing on, or in association with, the document calls into question the actual author and/or writer of the document. This is most commonly associated with e-mails in instances where the name of the originator appears in the header of an e-mail and/or its attachments that were in fact authored and/or written by another person, but physically manifested and/or transmitted on behalf of that person by the originator.

- *subscription*—that is, the name of the author or writer appearing at the bottom of the document; and
- *qualification of signature*—that is, the mention of the title, capacity and/or address of the person or persons signing the document;
- indication of any attachments—that is, mention of autonomous digital objects linked inextricably to the document.

Declaring Captured and Identified Documents as Records (A2.2.4)

Identity metadata captured for this activity could include:

New metadata

- classification code; and
- registration number.

Inherited metadata (i.e., identity metadata inherited from the current classification level and from all higher levels in the classification system, as applicable)

- name of creator;
- indication of copyright or other intellectual rights;
- name of handling office (if not evident in the classification code);
- name of office of primary responsibility (if not evident in the classification code and records retention schedule);
- access restriction code (if not evident in the classification code);
- access privileges code (if not evident in the classification code);
- vital record code (if not evident in the classification code); and
- planned disposition (if not evident in the classification code).

Executing Records (A2.2.5)

Metadata captured for this activity could include:

- priority of transmission;
- transmission date, time and/or place;
- actions taken;
- dates and times of further action or transmission; and
- information on any attachments—that is, mention of autonomous items that were linked inextricably to the document prior to its transmission for the document to accomplish its purpose.

Managing the Setting Aside of Completed Records (A2.3)

Preparing Completed Records for Transfer to the Recordkeeping System (A2.3.2)

Metadata captured for this activity could include:

- archival or filing date—that is, the date on which a record is officially incorporated into the creator's records;
- draft or version number;
- expression of archival bond (e.g., via classification code, file identifier, record item identifier, dossier identifier, etc.);
- name of the creator—that is, the name of the physical or juridical person in whose archival fonds the record exists;

- indication of copyright or other intellectual rights (if applicable);²
- indication, as applicable, of the existence and location of duplicate records, whether inside or outside the record-making or recordkeeping systems and, in instances where duplicate records exist, which is the *authoritative copy*—that is, the instantiation of a record that is considered by the creator to be its official record and is usually subject to procedural controls that are not required for other instantiations;³
- name of the handling office (if not evident in the classification code)—that is, the person or office using the record to carry out business;
- name of the office of primary responsibility (if not evident in the classification code or the records retention schedule)—that is, the office given the formal competence for maintaining the authoritative version or copy of records belonging to a given class within a classification scheme;⁴
- indication of any technical changes to the records—for example, change of encoding, wrapper or format, upgrading from one version to another of an application, or conversion of several linked digital components to one component only—by embedding directly in the record digital components that were previously only linked to the record, such as audio, video, graphic or text elements like fonts;
- indication of any annotations⁵ or new attachments (e.g., records profiles);
- access restriction code (if applicable and if not evident in the classification code)—that is, indication of the person, position or office authorized to read the record;
- access privileges code (if applicable and if not evident in the classification code)—that is, indication of the person, position or office authorized to annotate the record, delete it, or remove it from the system;
- vital record code (if applicable and if not evident in the classification code)—that is, indication of the degree of importance of the record to continue the activity for which it was created or the business of the person/office that created it;⁶ and
- planned disposition (if not evident in the classification code)—for example, removal from the live system to storage outside the system, transfer to the care of a trusted custodian, or scheduled deletion.

Transferring Completed Records to the Recordkeeping System (A2.3.3)

Metadata captured for this activity could include:

- indication of the record(s) transferred;
- name of the person effecting the transfer;
- name of the entity to whom the records are transferred (if different than the office of primary responsibility); and
- date/time of the transfer.

² If a record comprises material copyrighted by different authors, indication of copyright clearance (or lack thereof) with related dates is necessary.

³ InterPARES 2 Terminology Database, available at http://www.interpares.org/ip2/ip2_terminology_db.cfm. In cases where a record is certified by the author or creator as an “approved reproduction” of a work (for example, a digital work of art), indication of the existence of such certification is required.

⁴ This may be the same as the handling person/office.

⁵ Annotations are additions made to a record after it has been completed or executed. Therefore, annotations are not considered elements of the record’s documentary form.

⁶ The vital record code only pertains to specific communities of practices, such as legal and medical offices, who must identify the records that are vital to the continuance of their business in case of disaster and who would therefore exercise special protection measures on those records.

Managing Records in a Recordkeeping System (A3)

Managing the Maintenance of Kept Records (A3.2)

Managing the Storage of Kept Records (A3.2.3)

Placing Kept Records in Storage (A3.2.3.2)

Integrity metadata captured for this activity could include:

- indication of the original state (e.g., file format) of the record(s) prior to storage;
- indication of any modification(s) made to the record(s) in preparation for storage;
- indication of the state of the record(s) after the modification(s) (e.g., impact on form, format, authenticity, etc.);
- reason/authorization for the modification(s) (e.g., through reference to the relevant section of the recordkeeping storage system strategy);
- date/time of any modification(s);
- name of the person responsible for the modification(s);
- name of person responsible for placing the record(s) in storage;
- date/time the record(s) was/were placed in storage; and
- location of the record(s) in storage.

Maintaining Records in the Recordkeeping Storage System (A3.2.3.3)

Backing-Up the Recordkeeping Storage System (A3.2.3.3.2)

Integrity metadata about these back-up activities, captured in activity reports, could include:⁷

- indication of the reason/authorization for the backup (e.g., through reference to the relevant section of the recordkeeping storage system strategy);
- indication of the type of backup (e.g., incremental, differential, full) ;
- indication of the extent or content of the backup (e.g., full system, selected groups of records, etc.);
- name of the person creating the backup;
- date/time of the backup;
- indication of the software application (including version number) used to create the backup;
- location of the backup; and
- backup identification number.

Correcting Problems with Kept Records in Storage (A3.2.3.3.3)

Integrity metadata about this activity, captured either as metadata attached to the records or in activity reports, could include:⁸

- indication of the original state (e.g., file format) of the record(s) prior to correction;
- indication of the correction process(es) used;
- indication of the state of the record(s) after correction (e.g., impact on form, format, authenticity, etc.);
- indication of the reason/authorization for the correction(s) (e.g., through reference to the relevant section of the recordkeeping storage system strategy);
- name of the person responsible for the correction(s);

⁷ As per InterPARES 1 Benchmark Requirement A.3 - Protective Procedures: Loss and Corruption of Records (Authenticity Task Force, "Appendix 2," op. cit., 211).

⁸ Ibid.

- date/time of the correction(s);
- location of the corrected record(s); and
- correction identification number.

Updating Kept Records in Storage (A3.2.3.3.3)

Integrity metadata related to this activity would be similar to those noted above for correction activities;⁹

Refreshing the Media for Kept Records in Storage (A3.2.3.3.5)

Integrity metadata related to this activity would be similar to those noted above for correction activities.¹⁰

Managing Requests for Kept Records and/or Information (A3.3.3)

Processing Requests for Kept Records and/or Information (A3.3.3.1)

Registering Recordkeeping Access Requests (A3.3.3.1.1)

Integrity metadata captured for this activity could include:

- name of the person requesting the record(s) and/or information;
- name of the person for whom the request is being made (if different than the above);
- date/time of the request;
- indication of the records and/or information requested;
- access privileges of the requester;
- name of the person registering the request;
- request registration number;
- indication of notification of receipt sent (including indication of any additional information needed to register the request, if any);
- name of person to whom the notification of receipt was sent;
- name of the person issuing the notification of receipt; and
- date/time the notification of receipt was sent.

Verifying Retrieved Kept Records and/or Information (A3.3.3.3)

Integrity metadata captured for this activity could include:

- request registration number;
- indication of the measures used to verify the retrieved digital components and/or information;
- name of the person verifying the retrieved digital components and/or information;
- indication of the determination of verification (i.e., verified, rejected);
- reason(s) for rejection (as appropriate);
- indication of required maintenance action(s) (as appropriate); and
- date of verification/rejection.

Providing Access to Retrieved Kept Records and/or Information (A3.3.3.3)

Reconstituting Kept Records and/or Information (A3.3.3.3.4.1)

Integrity metadata captured for this activity could include:

⁹ As per InterPARES 1 Benchmark Requirement A.4 - Protective Procedures: Media and Technology (Authenticity Task Force, "Appendix 2," op. cit.).

¹⁰ Ibid.

- indication of any problems encountered in reconstituting the records and/or information in authentic form;
- indication of required maintenance action(s);
- indication of any redaction for privacy or copyright reasons;
- indication of the reason/authorization for the redaction;
- date of the redaction;
- name of the person responsible for handling/executing the redaction; and
- registration number of the record copy of the redacted record issued to the user.

Manifesting Kept Records and/or Information (A3.3.3.3.4.2)

This activity results in the production or compilation of two sets of metadata: one set of integrity metadata for the creator to document the activity and one set of identity and integrity metadata for the user. Metadata captured for this activity could include:

Records Creator (integrity metadata)

For requests that are fulfilled (in part or in whole)

- indication of the record(s) and/or information presented;
- indication of any redaction for privacy or copyright reasons (as appropriate);
- indication of a Certificate of Authenticity, if issued;
- indication of the means by which the records were authenticated¹¹
- name of the person to whom the record(s) and/or information were presented;
- date when the record(s) and/or information were presented;
- name of the person responsible for handling/effecting the access request;
- indication of the state or condition of the record(s) and/or information at time the request was fulfilled (including, especially, an indication of instances where a copy of a presented record is known not to fully and faithfully reproduce the elements expressing its identity and integrity);¹² and
- indication of any problems encountered in manifesting the records and/or information in authentic form.

For requests that cannot be fulfilled (in part or in whole)

- indication of why the request cannot be fulfilled;
- name of the person responsible for determining that the request cannot be fulfilled;
- indication that a notification of rejection was sent;
- name of the person to whom the rejection notification was sent;
- name of the person responsible for issuing the rejection notification; and
- date/time the rejection notification was sent.

Records User

*Identity metadata*¹³

- name(s) of the person(s) concurring in formation of the record(s);
- name(s) of action or matter;
- date(s) of creation and transmission of the record(s);

¹¹ As per InterPARES 1 Benchmark Requirement A.6 - Authentication of Records (Authenticity Task Force, "Appendix 2," op. cit., 212).

¹² In reference to InterPARES 1 Baseline Requirement B.2.d. (Ibid., 213.).

¹³ As per InterPARES 1 Benchmark Requirement A.1 - Expression of Record Attributes and Linkage to Record (Ibid., 210.).

- expression of archival bond; and
- indication of any attachments.

Integrity metadata (as necessary)

- indication of access privileges used to control creation and maintenance of the presented record(s);¹⁴
- indication of protective procedures used to prevent corruption of the presented record(s);¹⁵
- indication of protective procedures used to guarantee the continuing identity and integrity of the presented records against media deterioration and across technological change;¹⁶
- indication of the means by which the presented record(s) was/were authenticated;
- indication of instances where a copy of a presented record is known not to fully and faithfully reproduce the elements expressing its identity and integrity;
- indication of any redaction for privacy or copyright reasons;
- indication of the reason/authorization for the redaction;
- date of the redaction;
- name of the person responsible for handling/executing the redaction;
- date when the requested record(s) and/or information were presented; and
- name of the person responsible for handling/executing the access request.

Packaging Kept Records and/or Information for Output (A3.3.3.4.3)

This activity results in the production of the same two sets of metadata outlined above, with the exception of the indication of a Certificate of Authenticity.

Managing the Disposition of Kept Records (A3.4)

Destroying Kept Records (A3.4.3)

Metadata captured for this activity could include:¹⁷

- indication of the records and related information (e.g., records profiles, index references, etc.) destroyed;
- indication of the reason/authorization for the destruction (e.g., reference to the relevant retention schedule, including the version number of the retention schedule, as applicable);
- name of the person responsible for handling/executing the destruction; and
- date/time of the destruction.

Preparing Kept Records for Transfer to the Designated Preserver (A3.4.4)

Integrity metadata captured for this activity could include:¹⁸

¹⁴ As per InterPARES 1 Benchmark Requirement A.2 - Access Privileges (Ibid., 211.).

¹⁵ As per InterPARES 1 Benchmark Requirement A.4 - Protective Procedures: Media and Technology (Ibid.).

¹⁶ Ibid.

¹⁷ As per InterPARES 1 Benchmark Requirement A.8 - Removal and Transfer of Relevant Documentation (Authenticity Task Force, "Appendix 2," op. cit., 212.).

¹⁸ Ibid.

- indication of any technical changes applied to the records in preparation for the transfer (e.g., conversion to a new format), including the results/consequences of the actions (especially with regard to authenticity);
- indication of the reason/authorization for the actions (e.g., reference to the relevant terms and conditions of transfer);
- name of the person responsible for handling/executing the transfer preparation actions; and
- date/time when the actions were carried out.

Transferring Kept Records to the Designated Preserver (A3.4.5)

Integrity metadata captured for this activity could include:¹⁹

- indication of the records transferred;
- indication of the reason/authorization for the transfer (e.g., reference to the relevant terms and conditions of transfer);
- creator's transfer registration number;
- name of the person responsible for handling/executing the transfer;
- name of the entity to whom the records were transferred; and
- date/time of the transfer.

Managing Records in a Permanent Preservation System (A4)

Acquiring Selected Records (A4.3)

Processing Records Transfers (A4.3.2)

Registering the Transfer (A4.3.2.1)

Metadata captured for this activity could include:²⁰

- name of the person responsible for effecting the transfer;
- transfer registration number assigned by the transferring agent;
- date and time the transfer was received;
- name of the person registering the transfer;
- transfer registration number assigned by the person registering the transfer;
- indication of the reason/authorization for the transfer (e.g., reference to the relevant terms and conditions of transfer);
- indication of records and other transfer documentation received;
- name of person(s) to whom a notification of receipt of transfer was issued;
- name of the person who issued the notification; and
- date and time the notification was sent.

Confirming the Authorization for the Transfer (A4.3.2.2)

If the transfer is accepted as being authorized, the following information is recorded as metadata in the register of transfers:²¹

- date/time the transfer was accepted as authorized;

¹⁹ Ibid.

²⁰ As per InterPARES 1 Baseline Requirement B.1 - Controls over Records Transfer, Maintenance, and Reproduction (Authenticity Task Force, "Appendix 2," op. cit., 213).

²¹ Ibid.

- name of the person confirming the authorization of transfer;
- transfer authorization number (as assigned by the preserver); and
- terms and conditions of transfer number.

If the transfer is rejected, the following information is recorded in the register:

- date/time the transfer was rejected as unauthorized;
- name of the person rejecting the transfer;
- name of person(s) to whom a notification of rejection of transfer was issued;
- name of the person who issued the rejection notification;
- date and time the rejection notification was sent;
- indication of the reason for the rejection;
- transfer authorization rejection number (as assigned by the preserver); and
- terms and conditions of transfer number.

Verifying the Content of the Transfer (A4.3.2.3)

If the content of the transfer is accepted as being correct, the following information is recorded as metadata in the register of transfers:²²

- date/time the transfer was accepted as verified;
- indication of the measures used to verify the transfer;
- name of the person verifying the transfer;
- transfer content verification number (assigned by the preserver); and
- terms and conditions of transfer number.

If the transfer is rejected, the following information is recorded in the register:

- date/time the transfer was rejected as containing incorrect or corrupted content;
- name of the person rejecting the transfer;
- name of the person(s) to whom a notification of rejection of transfer was issued;
- name of the person who issued the rejection notification;
- date and time the rejection notification was sent;
- indication of the measures used to assess the content of the transfer;
- indication of the reason(s) for the rejection;
- transfer content rejection number (as assigned by the preserver); and
- terms and conditions of transfer number.

Confirming the Authenticity of the Records in the Transfer (A4.3.2.4)

If the authenticity of the records confirmed, the following information is recorded as metadata in the register of transfers:²³

- date/time the transfer was accepted as containing authentic records;
- indication of the measures used to confirm authenticity;
- name of the person confirming the authenticity;
- authenticity assessment report number (assigned by the preserver);
- transfer authenticity verification number (assigned by the preserver); and
- terms and conditions of transfer number.

²² Ibid.

²³ Ibid.

If the authenticity of the records is not confirmed, the following information is recorded as metadata in the register:

- date/time the transfer was rejected as containing records that could not be authenticated;
- name of the person rejecting the transfer;
- name of the person(s) to whom a notification of rejection of transfer was issued;
- name of the person who issued the rejection notification;
- date and time the rejection notification was sent;
- indication of the measures used to assess the authenticity of the records in the transfer;
- indication of the reason(s) for the rejection;
- transfer authenticity rejection number (as assigned by the preserver);
- authenticity assessment report number (assigned by the preserver); and
- terms and conditions of transfer number.

Confirming the Feasibility of Preserving the Transfer (A4.3.2.5)

If it proves feasible to preserve the records, the following information is recorded as metadata in the register of transfers:²⁴

- date/time the feasibility of preservation was confirmed;
- name of the person confirming the feasibility;
- feasibility report number (assigned by the preserver);
- feasibility verification number (assigned by the preserver); and
- terms and conditions of transfer number.

If it proves not feasible to preserve the records, the following information is recorded as metadata in the register of transfers:

- date/time the transfer was rejected as containing records that cannot be preserved;
- name of the person rejecting the transfer;
- name of the person(s) to whom a notification of rejection of transfer was issued;
- name of the person who issued the rejection notification;
- date and time the rejection notification was sent;
- indication of the measures used to confirm the feasibility of preservation;
- indication of the reason(s) for the rejection;
- feasibility report number (assigned by the preserver);
- feasibility rejection number (assigned by the preserver); and
- terms and conditions of transfer number.

Accessioning Records (A4.3.3)

The process of accessioning generates the following information to be recorded as metadata in the register of accessions:²⁵

Identity metadata

- the records accessioned, including:
 - name of the juridical or physical person that created the records;

²⁴ Ibid.

²⁵ Ibid.

- name of the juridical or physical person that transferred, donated or sold the records; and
- quantity and characteristics of the records;
- transfer registration number;
- accession registration number;
- accrual registration number (as appropriate);
- date the records are accessioned;
- indication of the digital rights that apply to the records accessioned, including:
 - name of the person(s) holding the rights;
 - terms and condition of the rights, including jurisdiction, duration, pertaining to which records, etc.; and
 - rights document number (e.g., deed of gift, contract, etc.);
- name of the person responsible for effecting the accession; and
- location of the accession.

Integrity metadata

- original state of the records in the transfer when received;
- indication of the security and control procedures used for the transfer;
- indication of any modifications made to the records since their receipt
- indication of the post-modification state of the records (especially in relation to the impact of the modifications on the records' form, format, authenticity, etc.) (as appropriate);
- reason/authorization for the modifications (as appropriate);
- date of the modifications (as appropriate); and
- name of the person responsible for the modifications (as appropriate).

Preserving Accessioned Records (A4.4)

Managing Information about Preserved Records (A4.4.1)

Updating Information on Preservation Activities (A4.4.1.2)

Metadata associated with records aggregations or individual records, as appropriate, could include:

- maintenance activity identification number(s) (i.e., backup, correction, update or refreshment identification number(s), as a mechanism for location of the record(s) and for linking to the relevant maintenance activity report(s)/metadata); and
- accession number(s).

Managing the Description of Preserved Records (A4.4.3)

Describing the Preserved Records (A4.4.3.2)

Metadata for this activity could include:

Identity metadata (may be inherited from higher description levels, as appropriate)

- transfer registration number (Note that the record(s) being described inherit the identity/integrity metadata recorded in the transfer registration register.)
- accession number (Note that the record(s) being described inherit the identity/integrity metadata recorded in the accessions register.)
- accrual number (as appropriate) (Note that the record(s) being described inherit the identity/integrity metadata recorded in the accruals register.)

- parent unit number (as appropriate) (Note that the record(s) being described inherit the identity/integrity metadata recorded for the parent unit.)

Integrity metadata (if not evident in the metadata inherited from the transfer, accessions and/or accruals registers or from the parent unit)

- indication of the original state of the record(s) when received (Note that state in this context is characterized in relation to the information for preservation carried forward from the appraisal process.);
- indication of the security and control procedures used for records transfer, maintenance and reproduction activities;
- indication of the current state of the records (Note that state in this context is characterized in relation to the updated information for preservation issuing from the processes of correcting, updating and/or refreshing digital components or storage.);
- maintenance activity identification number(s) (as appropriate)—provides a link to information about any maintenance actions applied to the record(s) (e.g., correcting, updating, refreshing), and the impact of these actions on the form, format, authenticity, etc., of the record(s);
- indication of any access restriction(s) related to copyright, privacy, etc.;
- indication of the digital rights that apply to the record(s) being described, including:
 - name of the person(s) holding the rights;
 - terms and condition of the rights, including jurisdiction, duration, pertaining to which records, etc.; and
 - rights document number (e.g., deed of gift, contract, etc.);
- location of the record(s) in storage;
- date of the description;
- name of the person responsible for the description; and
- indication of the description rules used.

Managing the Storage of Preserved Records (A4.4.4)

Placing Preserved Records in Storage (A4.4.4.2)

Integrity metadata captured for this activity could include:

- indication of the original state (e.g., file format) of the record(s) prior to storage;
- indication of any modification(s) made to the record(s) in preparation for storage;
- indication of the state of the record(s) after the modification(s) (e.g., impact on form, format, authenticity, etc.);
- indication of the reason/authorization for the modification(s) (e.g., through reference to the relevant section of the preservation storage system strategy);
- date/time of any modification(s);
- name of the person responsible for the modification(s);
- name of person responsible for placing the record(s) in storage;
- date/time the record(s) was/were placed in storage; and
- location of the record(s) in storage.

Maintaining the Records in the Permanent Preservation Storage System (A4.4.4.3)

Backing-Up the Permanent Preservation System (A4.4.4.3.2)

Integrity metadata about these back-up activities, captured in activity reports could include:²⁶

- indication of the reason/authorization for the backup (e.g., through reference to the relevant section of the preservation storage system strategy);
- indication of the type of backup (e.g., incremental, differential, full) ;
- indication of the extent or content of the backup (e.g., full system, selected groups of records, etc.);
- name of the person creating the backup;
- date/time of the backup;
- indication of the software application (including version number) used to create the backup;
- location of the backup; and
- backup identification number.

Correcting Problems with Preserved Records in Storage (A4.4.4.3.3)

Integrity metadata about this activity, captured either as metadata attached to the records or in activity reports, could include:²⁷

- indication of the original state (e.g., file format) of the record(s) prior to correction;
- indication of the correction process(es) used;
- indication of the state of the record(s) after correction (e.g., impact on form, format, authenticity, etc.);
- indication of the reason/authorization for the correction (e.g., through reference to the relevant section of the preservation storage system strategy);
- name of the person responsible for the correction;
- date/time of the correction; and
- correction identification number, as a mechanism for location of the record(s) and linked to an accession number(s).

Updating Preserved Records in Storage (A4.4.4.3.4)

Integrity metadata related to this activity would be similar to those noted above for correction activities;²⁸

Refreshing Storage Media for Preserved Records in Storage (A4.4.4.3.5)

Integrity metadata related to this activity would be similar to those noted above for correction activities.²⁹

²⁶ As per InterPARES 1 Baseline Requirement B.1 - Controls over Records Transfer, Maintenance, and Reproduction (Authenticity Task Force, "Appendix 2," op. cit., 213).

²⁷ Ibid.

²⁸ Ibid.

²⁹ Ibid.

Outputting Records (A4.5)

Managing Requests for Preserved Records and/or Information (A4.5.3)

Processing Requests for Preserved Records and/or Information (A4.5.3.1)

Registering Preservation Access Requests (A4.5.3.1.1)

This activity involves capturing some or all of the following metadata in an access register or similar instrument:

- name of the person requesting the records/information;
- name of the person for whom the request is being made (if different than the requestor);
- access privileges of the requestor (as appropriate);
- indication of the records and/or information requested;
- date and time the request was received/registered;
- name of the person registering the request;
- access request registration number (as assigned by the preserver);
- name of the person to whom a notification of receipt of request was issued;
- indication of additional information required to register request (if necessary)
- name of the person who issued the receipt notification; and
- date and time the receipt notification was sent.

Verifying Retrieved Records and/or Information (A4.5.3.3)

If the completeness, accuracy and ability to process the retrieved components and information is verified, the following information is recorded as metadata in a retrieval register or similar instrument:

- date/time the retrieval was accepted as verified;
- indication of the measures used to verify the retrieval;
- name of the person verifying the retrieval;
- retrieval verification registration number; and
- retrieval request registration number.

If the retrieval cannot be verified, the following information is recorded as metadata in the retrieval register:

- date/time the retrieval was rejected;
- name of the person rejecting the retrieval;
- name of the person to whom an order to rectify the retrieval was issued;
- name of the person who issued the order;
- date and time the order was sent;
- indication of the measures used to assess the retrieval;
- indication of the reason(s) for the rejection;
- retrieval rejection registration number; and
- retrieval request registration number.

Providing Access to Retrieved Preserved Records and/or Information (A4.5.3.4)

Reconstituting Preserved Records and/or Information (A4.5.3.4.1)

Integrity metadata captured for this activity could include:

- indication of any problems encountered in reconstituting the records and/or information in authentic form;

- indication of required maintenance action(s);
- indication of any redaction for privacy or copyright reasons;
- indication of the reason/authorization for the redaction;
- date of the redaction;
- name of the person responsible for handling/executing the redaction; and
- registration number of the record copy of the redacted record issued to the user.

Manifesting Preserved Records and/or Information (A4.5.3.4.2)

This activity results in the production of two sets: one set of integrity metadata for the preserver to document the activity and one set of identity and integrity metadata for the user. Metadata captured for this activity could include:

Designated Preserver (integrity metadata)

For requests that are fulfilled (in part or in whole)

- indication of the record(s) and/or information presented;
- indication of any redaction for privacy or copyright reasons (as appropriate);
- indication of a Certificate of Authenticity, if issued;
- indication of the means by which the records were authenticated
- name of the person to whom the record(s) and/or information were presented;
- date when the record(s) and/or information were presented;
- name of the person responsible for handling/effecting the access request;
- indication of the state or condition of the record(s) and/or information at time the request was fulfilled (including, especially, an indication of instances where a copy of a presented record is known not to fully and faithfully reproduce the elements expressing its identity and integrity);³⁰ and
- indication of any problems encountered in manifesting the records and/or information in authentic form.

For requests that cannot be fulfilled (in part or in whole)

- indication of why the request cannot be fulfilled;
- name of the person responsible for determining that the request cannot be fulfilled;
- indication that a notification of rejection was sent;
- name of the person to whom the rejection notification was sent;
- name of the person responsible for issuing the rejection notification; and
- date/time the rejection notification was sent.

Records User

Identity metadata

- name(s) of the person(s) concurring in formation of the record(s);
- name(s) of action or matter;
- date(s) of creation and transmission of the record(s);
- expression of archival bond; and
- indication of any attachments.

Integrity metadata (as necessary)

³⁰ As per InterPARES 1 Baseline Requirement B.2.d (Authenticity Task Force, "Appendix 2," op. cit., 213.).

- indication of access privileges used to control preservation of the presented record(s);³¹
- indication of protective procedures used to prevent corruption of the presented record(s);³²
- indication of protective procedures used to guarantee the continuing identity and integrity of the presented records against media deterioration and across technological change;³³
- indication of the means by which the presented record(s) was/were authenticated;
- indication of instances where a copy of a presented record is known not to fully and faithfully reproduce the elements expressing its identity and integrity;
- indication of any redaction for privacy or copyright reasons;
- indication of the reason/authorization for the redaction;
- date of the redaction;
- name of the person responsible for handling/executing the redaction;
- date when the requested record(s) and/or information were presented; and
- name of the person responsible for handling/executing the access request.

Packaging Preserved Records and/or Information for Output (A4.5.3.4.3)

This activity results in the production of the same two sets of metadata outlined above, with the exception of the indication of a Certificate of Authenticity.

³¹ As per InterPARES 1 Baseline Requirement B.1.b (Ibid.).

³² As per InterPARES 1 Baseline Requirements B.1 - Controls over Records Transfer, Maintenance, and Reproduction and B.2 - Documentation of Reproduction Process and its Effects (Ibid.).

³³ Ibid.