

Archival perspective: preserving records over time

Hans Hofman, National Archives
Netherlands

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Overview

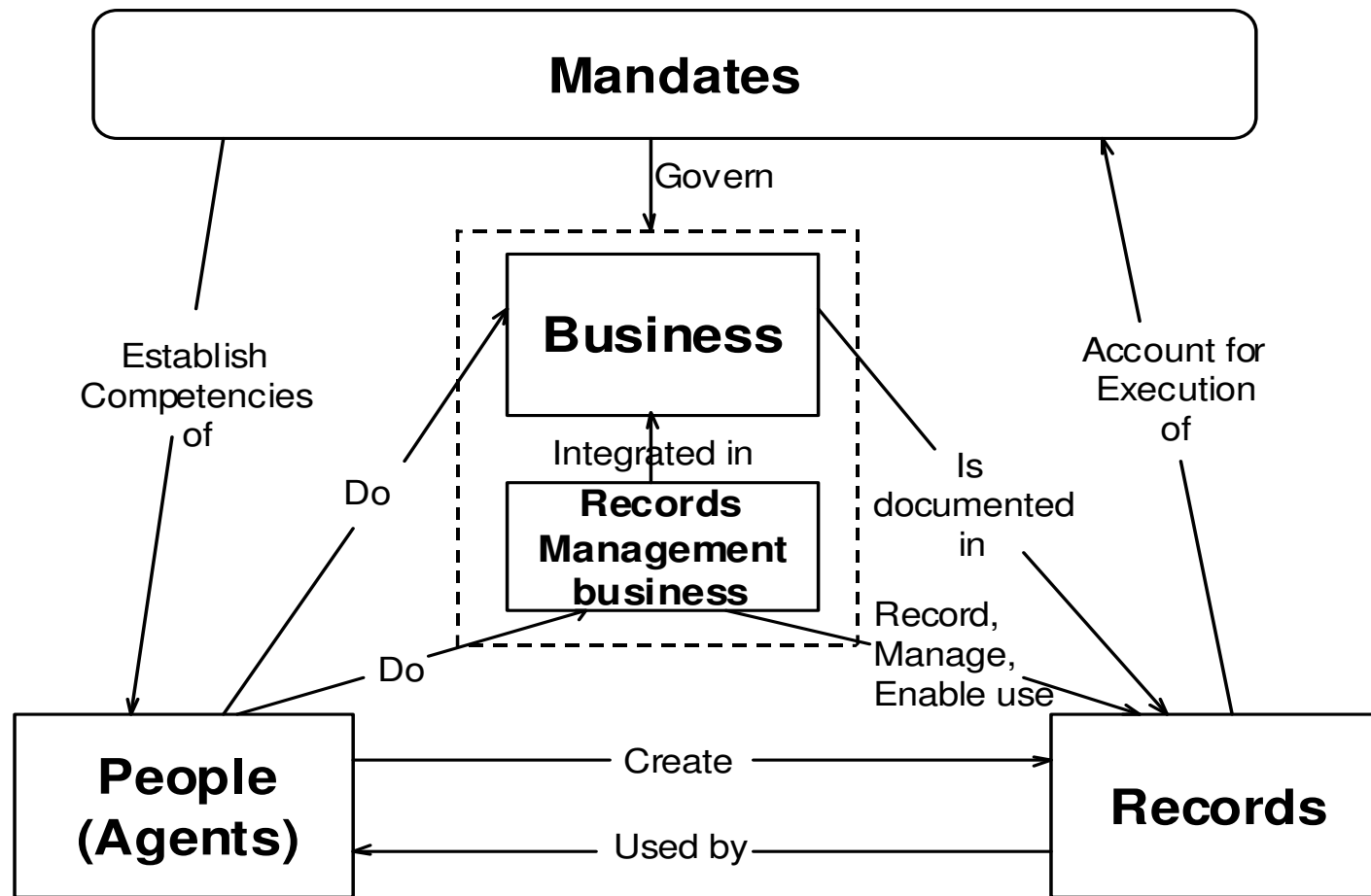
- Archival perspective (Recordkeeping), what is it?
- The concept of records
- Principles, requirements, processes
- Long term perspective
- Changes in roles

Why Recordkeeping ?

- Primary question: What are the objectives?
 - Support doing business
 - Government, private/commercial companies
 - Good (corporate) governance
 - Accountability
 - e.g. Sarbanes-Oxley (SOX)
 - Freedom of information
 - Trust
 - Knowledge, corporate/collective memory
- Identify risks and liability... to achieve strategic goals

Definition of records

- 'Information created, received, and maintained as **evidence and information** by an organization or person, in pursuance of legal obligations or in the transaction of **business**'
 - (ISO 15489:2001)
- Records (have to) reflect what happened: capture 'information' with contextual metadata
- To understand relationship between records from a business activity is crucial for their interpretation



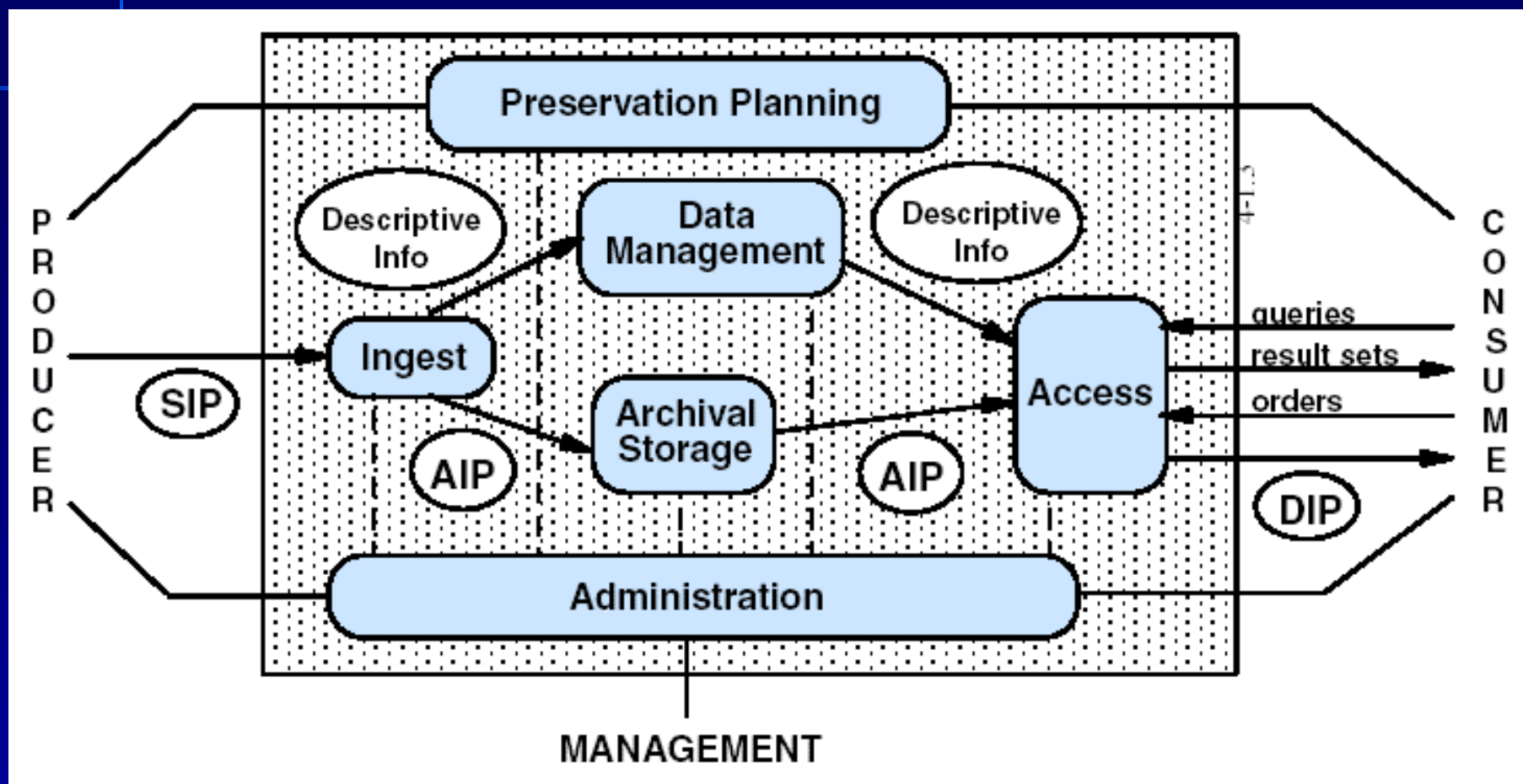
What is recordkeeping?

- Recordkeeping: all activities related to creating and managing records for as long as required
- Recordkeeping vs. preservation / curation?
 - OAIS: digital objects created by somebody else, ingest in a new environment and preserve it forever
 - Packaging the objects (‘representation information’)
 - Focus on preservation actions, such as migration?

ISO 15489:2001, processes for managing records

- Creation (what when how by whom?)
- Appraisal and selection
- Registration and capture
- Organising (classification and indexing/ description)
 - “managing relationships” (aggregations, files etc.)
 - description, contextual metadata (‘finding aids’)
- Maintenance (storage and handling), preservation
- Access and security
- Use and tracking (actions and location)
- Disposal
- Documenting RM processes / metadata management
- Monitoring, audit

The reference model of OAIS



'Repository model' for long term preservation

Comparison of ISO 15489 - OAIS

■ ISO 15489

- policy/ programme
- capture
- storage and handling
- access
- metadata management
- tracking
- documenting
- disposition

■ OAIS

- preservation planning
- ingest
- archival storage
- access
- data management
- administration

Principles

- Scope: creating and managing records from creation on to as long as required
- Requirements for records and systems:
 - authenticity, usability, reliability and integrity (ISO 15489:2001)
- Appraisal: value records and decide what should be kept for how long?
- Documenting processes: being accountable

Requirements for records

- Authenticity
 - to be what it purports to be,
 - to have been created or sent by the person purported to have created or sent it, and
 - to have been created or sent at the time purported
- Reliability
 - contents can be **trusted as a full and accurate representation of the transactions, activities** or facts to which they attest and can be depended upon in the course of subsequent transactions or activities
- Integrity
 - being complete and unaltered
- Usability
 - can be located, retrieved, presented and interpreted, so retrievable, readable, interpretable

From organisation to society

- From corporate to collective memory
- Shift in purpose and meaning
- Expanding perspective /scope

- Includes long term perspective

researchers

Records

third parties: citizen,
business companies, journalists,
auditors, court of audit

other organisations

organisation

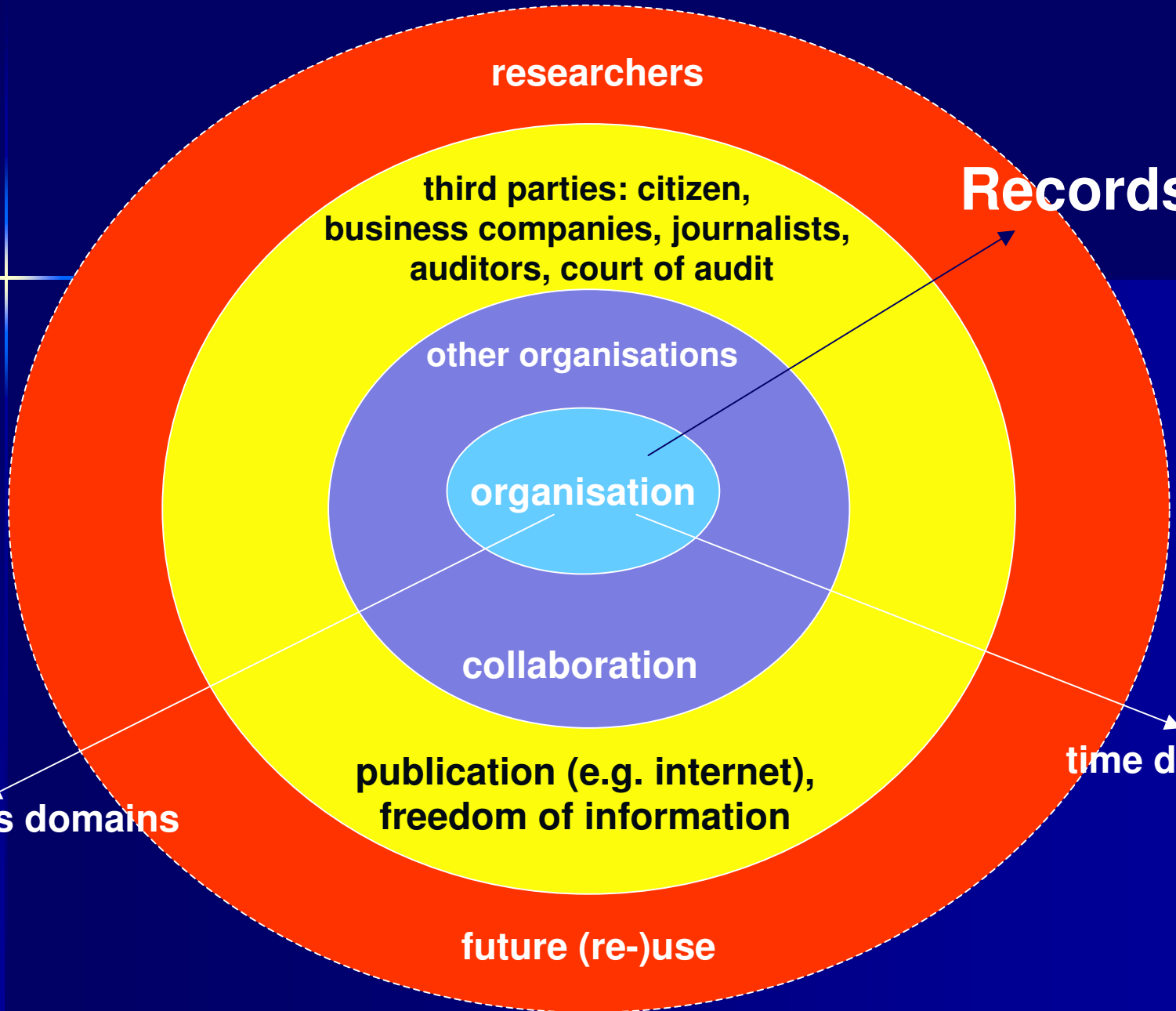
collaboration

publication (e.g. internet),
freedom of information

time dimension

across domains

future (re-)use



Long term perspective

- Maintaining authenticity, reliability, integrity and usability of digital information (ISO 15489:2001)
- Interoperability over time
 - semantics,
 - technical, dealing with many different systems, technological changes and 'barriers'
- Starts from the very beginning: design of systems
- If not, risks, including:
 - losing information
 - losing evidence and meaning of information
 - corrupting information
 - high costs
 - being incapable of doing business (government, commerce)
- However, similarities with other memory organisations in the area of digital preservation (tools, methods, procedures,...)
 - joint projects, such as Planets, DPE, Delos,

Changing roles

- Records management, National Archives Netherlands
- to be involved in design of e-government
 - framework/ baseline for records management,
 - regulations,
 - metadata,
 - guidelines for building websites (including archiving)
 - setting standards
 - reference architecture for e-government
- to be a centre of expertise for government
 - provide advice and feedback in many projects

The archival perspective: summary

- Starts at design / creation
- Continuum: different views
 - business
 - governance and accountability
 - cultural heritage just one perspective/ view
- Authenticity: preserve records (not 'digits') as they are and be able to prove that