A Presentation Prepared for

Digital Preservation: Sustainable Programs and Best Practices 2007-10-11
Foundations for Developing Digital Preservation Policy

The InterPARES Policy Framework

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Presentation Outline

• The Project
  – Background Information
  – Research Outcomes

• The Policy Framework
  – Origin
  – Organization
  – Content
  – Application to Digital Publications
  – Conclusions
The Project – Background Information

International Research on Permanent Authentic Records in Electronic Systems

• Record: documents --- practical activities
• Three phases
• IP2 studied born electronic/digital records & their long-term preservation
• Largest of its kind
  – 21 countries in 5 continents, 100 researchers from both academics and professionals
• Major funding from SSHRC, NHPRC, US-NSF, UBC, and UNESCO
The Project – Background Information

• Multidisciplinary approach
  – 22 case studies, 9 general studies
• Open inquiry
  – A variety of research methodologies
• Outcomes
  – both theoretical and methodological knowledge essential to effective long-term preservation of reliable, accurate, and authentic electronic records
## The Project – Background Information

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**Terminology Cross Domain**

Policy Cross Domain

Description Cross Domain

Modeling Cross Domain
### The Project – Research Outcomes

**Intellectual Organization & Research Outcomes**

**Domain 1**
- Creation & Maintenance

**Domain 2**
- Management Key Concepts

**Domain 3**
- Selection & Preservation

**Focus 1**

**Policy Cross Domain: Policy Framework**

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The Policy Framework – Origin


- Product of Policy Cross Domain
- Examined legislation and regulations with respect to long-term digital preservation
- Analyzed data collected by the three focus teams in relation to the interests of the three domains
- Concentrates and integrates
  - its own research findings
  - inputs from all other individual task forces

One of the project’s most significant products
The Policy Framework – Organization


• Two sets of 13 principles intended for two different groups of audiences
  – Records creators
  – Records preservers

• A lifecycle management approach
  – Importance to respective business needs
  – Complementary to each other

• Collaborative & dynamic relationship between creators and preservers
The Policy Framework
Content - Principles for Creators

C1-C13 addressing 6 areas:

– Creation
  • C1 stable content and fixed documentary form
  • C2 digital component
  • C5 trusted record-making system

– Maintenance
  • C6 trusted recordkeeping system

– Long-term preservation
  • C7 preservation considerations in creation and maintenance
  • C8 trusted custodian
The Policy Framework
Principles for Creators

C1-C13 addressing 6 areas (cont.):

- Quality of records
  - C4 reliability, accuracy & authenticity
- Relationship between records and technologies
  - C3 technology neutral
  - C9 business processes
  - C13 reproductions as originals
- Rights management
  - C10 third-party intellectual property rights
  - C11 privacy rights
  - C12 access to records
The Policy Framework
Applicability to Digital Publications

• Digital publications are different from digital Records
  – Paper: Both conceptually and physically
  – Digital: Still conceptually but may not be physically different
• Facing the same challenges of digital preservation
The Policy Framework
Applicability to Digital Publications

• C1-C7 applicable to born digital publications
  – C1: Stable content & fixed documentary form
  – C2: digital component
  – C3: technology neutral
  – C4: quality of publications
  – C5: publications creation system
  – C6: publications maintenance system
  – C7: preservation consideration in creation and maintenance

• Applicable to publishers’ business records
The Policy Framework Principles for Preservers

P1-P13 addressing 6 areas:

- Long-term preservation
  - P1 (C8), P4 (C2) & P7 (C7) with P2 (C4)
- Quality of records
  - P2 (C4)
- Relationship between records and technologies
  - P6 (C3)
- Rights management
  - P8 (C10), P9 (C11) & P13 (C12)
- Authentic copy
  - P3 (C13) & P5 (C1)
- Archival functions
  - P10 (C9), P11 (C6) & P12 (C6)
The Policy Framework

Applicability to Digital Publications

- Preservers can be creators and cultural institutions
  - Web contents publishers
  - Libraries
- Identification of digital records is IP’s most significant research finding
- Identifying digital records = distinguishing digital records from other materials such as digital publications generated in the same digital environment
The Policy Framework
Applicability to Digital Publications

- P1-P7 applicable to born digital publication
  - P1: neutral third party preservers
  - P2: reliability, accuracy & authenticity
  - P3: authentic copy
  - P4: digital components
  - P5: stable content & fixed documentary form
  - P6: relationship b/w preservation & technology
  - P7: lifecycle management
- Applicable to publishers and libraries’ own business records
Conclusions

- Digital preservation entails a series of activities & developing a preservation policy is one and the first one

- IP *Policy Framework* provides a foundation on which preservation policies can be based

- It does not intend to be comprehensive

- It recommends the project’s two sets of guidelines as tools for implementing the established policy.
Conclusions

• Archives and libraries are facing the same challenge of digital preservation

• Some archival concepts may be relevant to publications in the digital environment

• Exchange of research findings and collaboration in digital preservation initiatives benefit both parties
Questions?
Thank You!