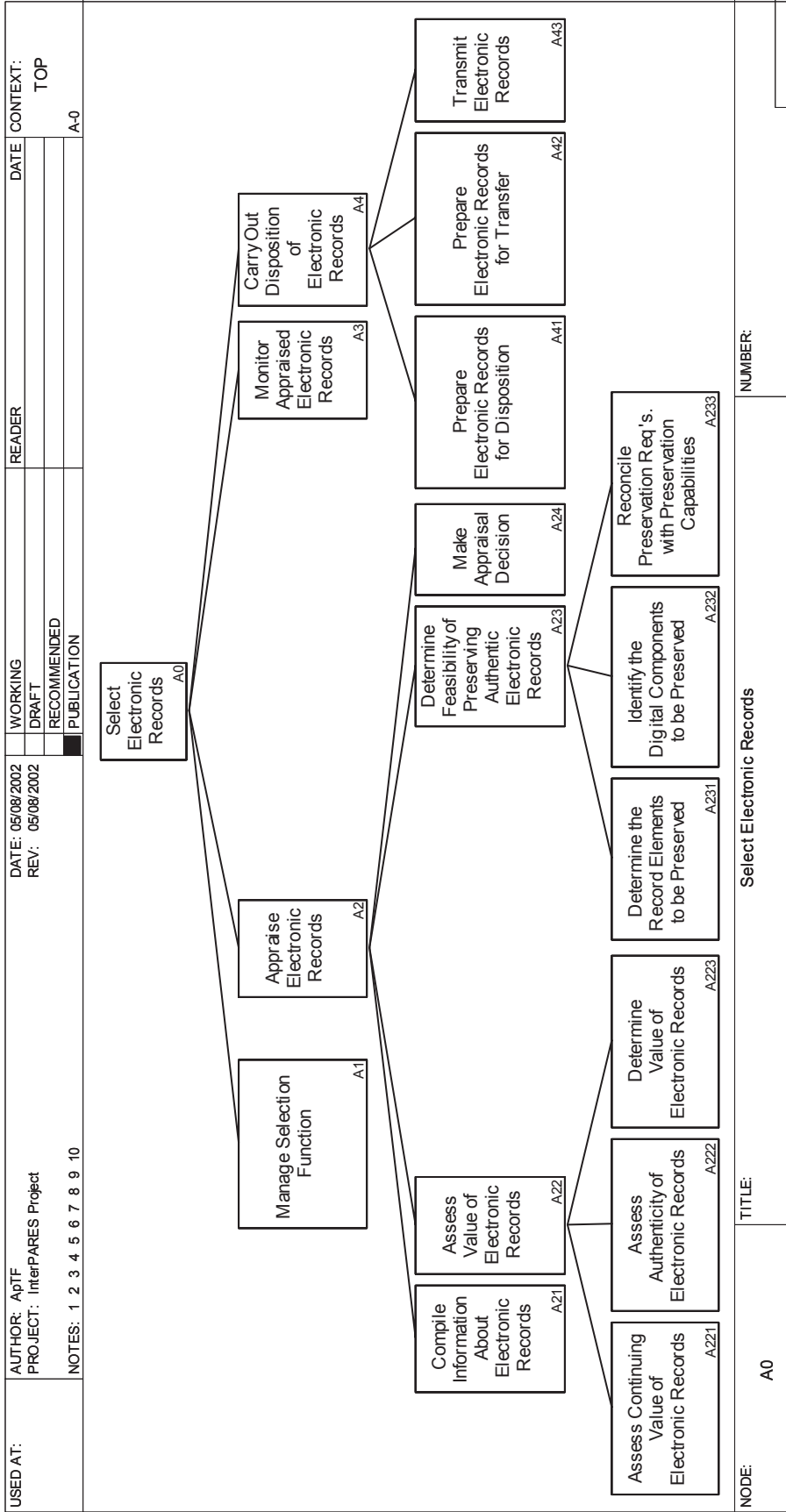

A Model of the Selection Function

Appraisal Task Force

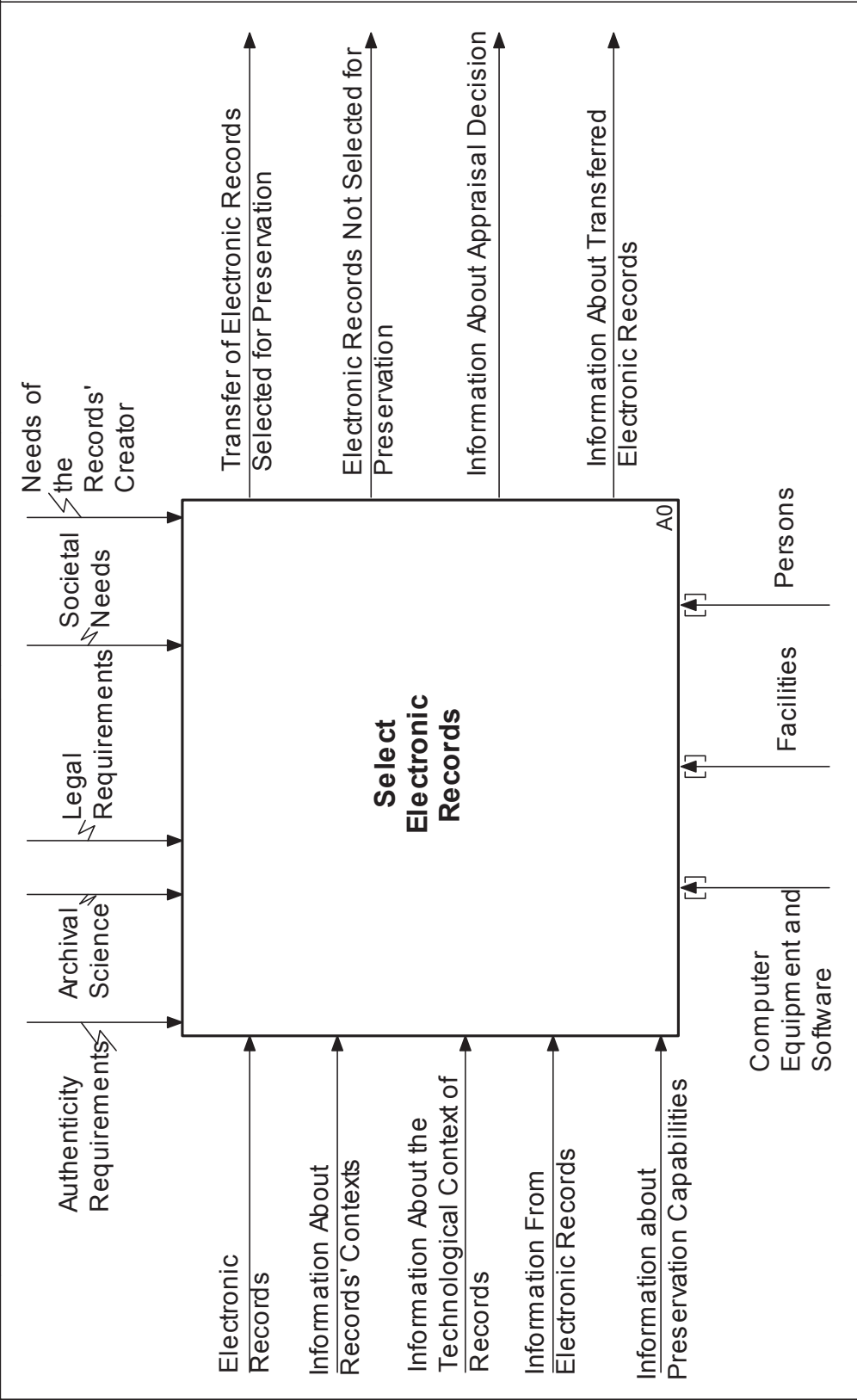
June 2001

i) Model Diagrams

MODEL INFORMATION	
TITLE	<i>Select Electronic Records</i>
AUTHOR	Appraisal Task Force, InterPARES Project
MODEL TYPE	IDEF(0) function model. IDEF(0) (Integration Definition for Function Modelling) is a U.S. Federal Information Processing Standard (Publication 183, as issued by the National Institute of Standards and Technology). "A function model is a structured representation of the functions, activities or processes within the modelled system or subject area." See < http://www.odef.com > for more information.
PURPOSE	The purpose of this model is to define the activities involved in selection of authentic electronic records for long-term preservation.
VIEWPOINT	The entity (archival institution or program) responsible for long-term preservation of electronic records of an organization (government, corporate body, or institution).
SCOPE	Covers all the activities conducted by the preserver in appraising and carrying out disposition of electronic records.

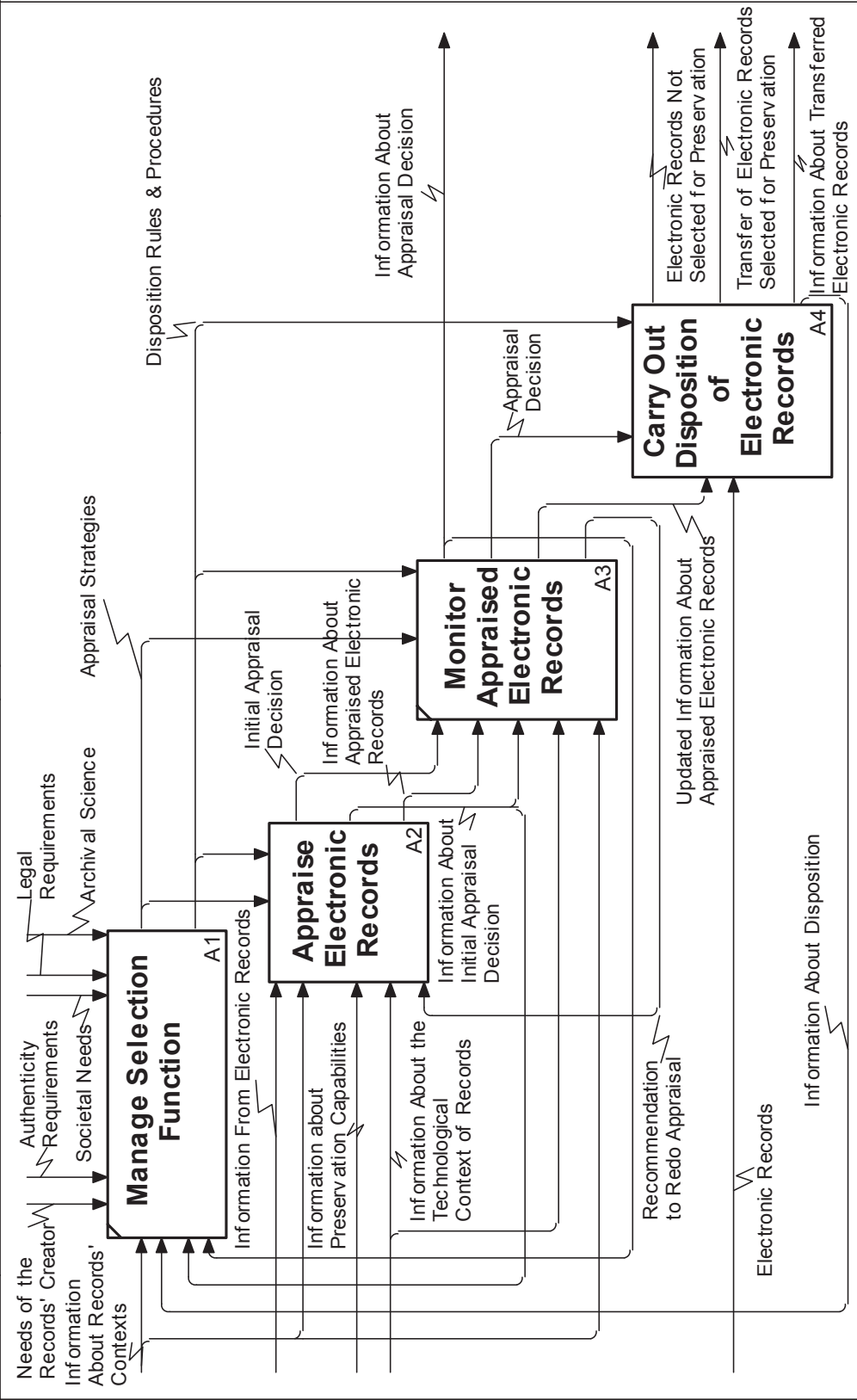


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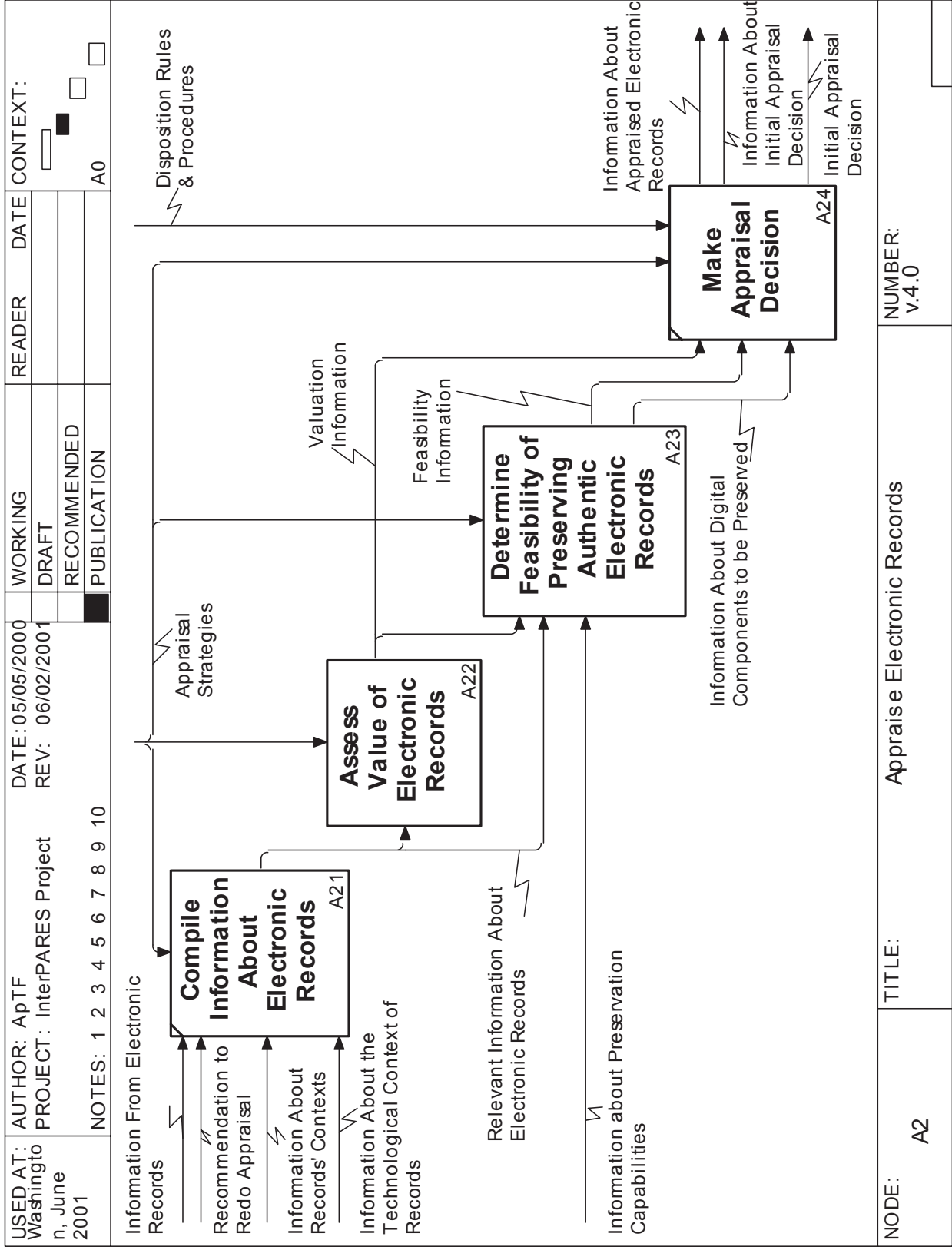


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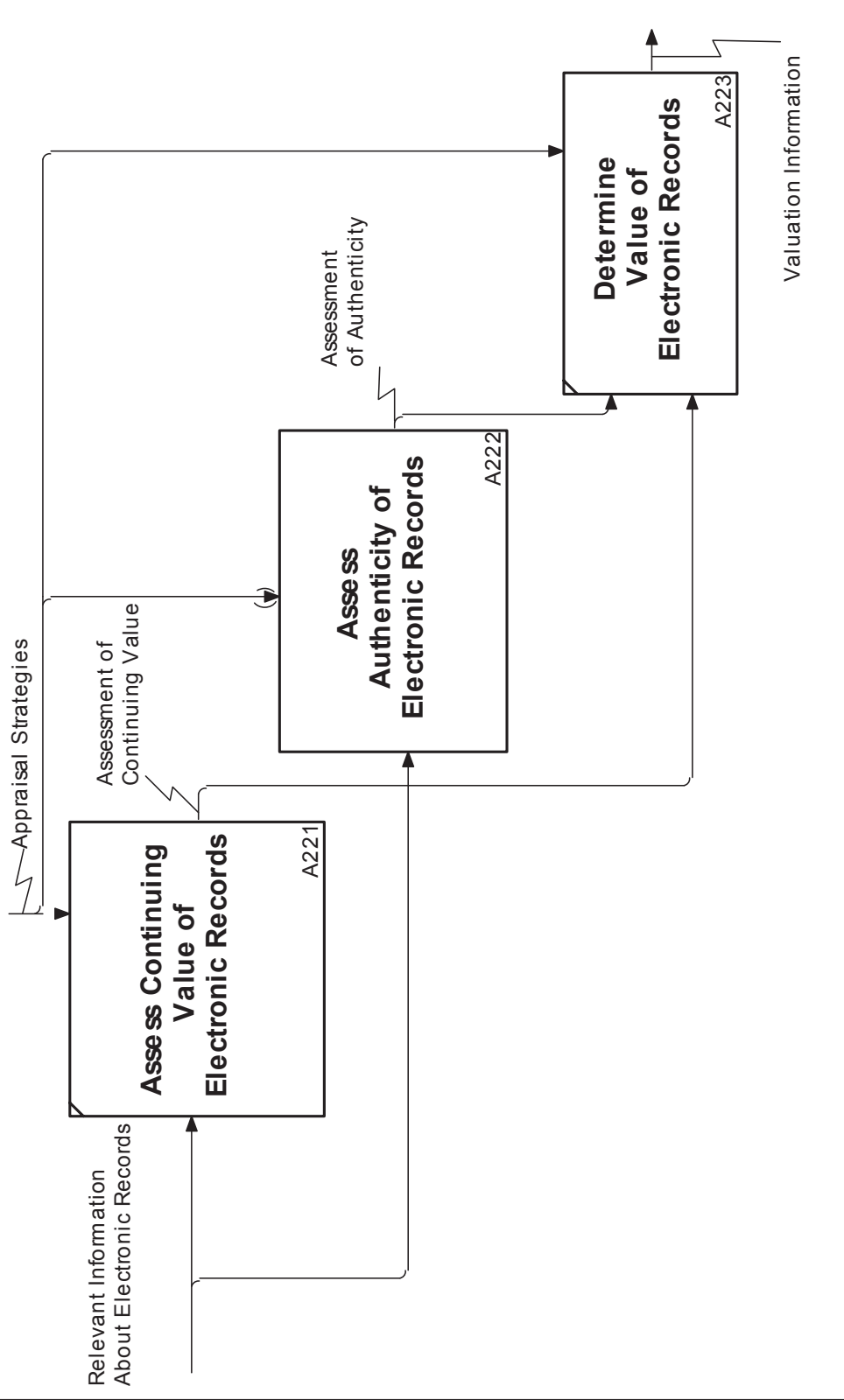
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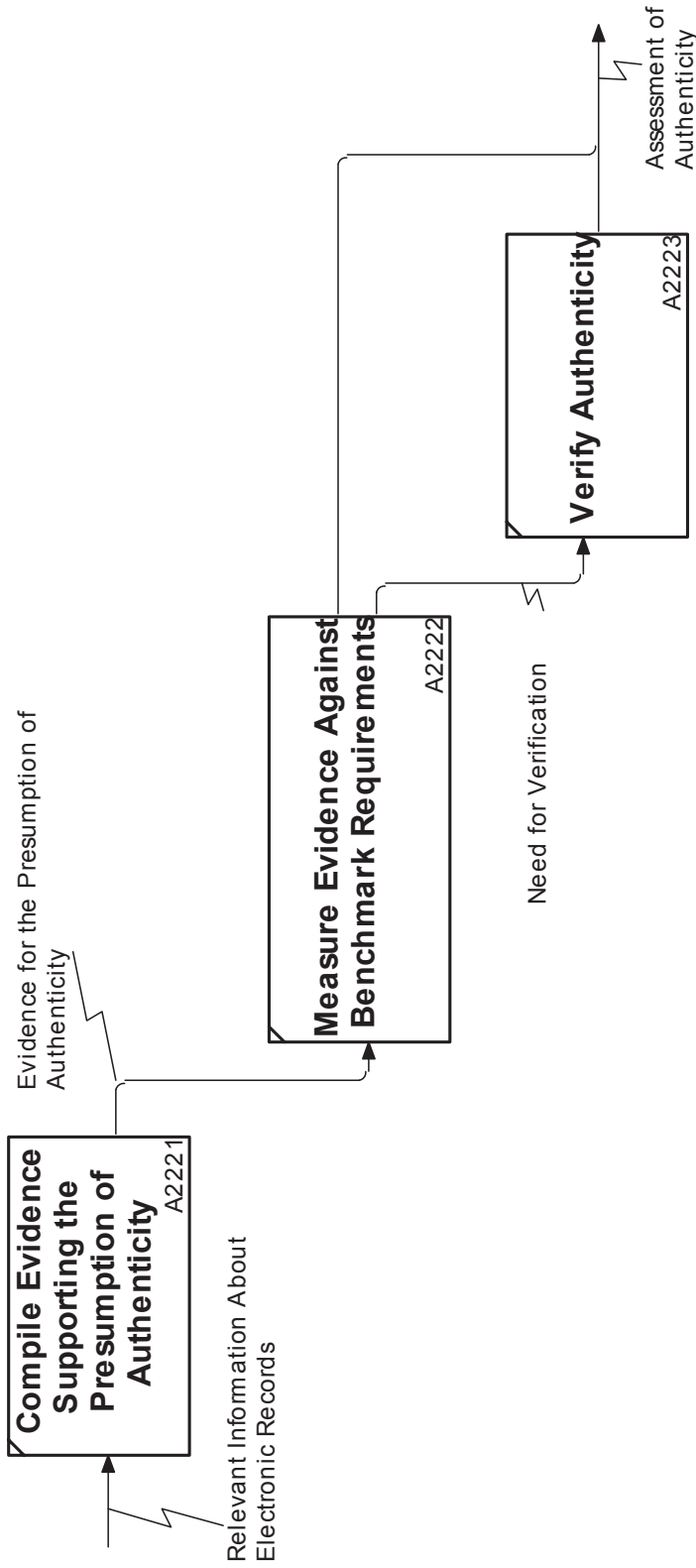


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			PUBLICATION			A2



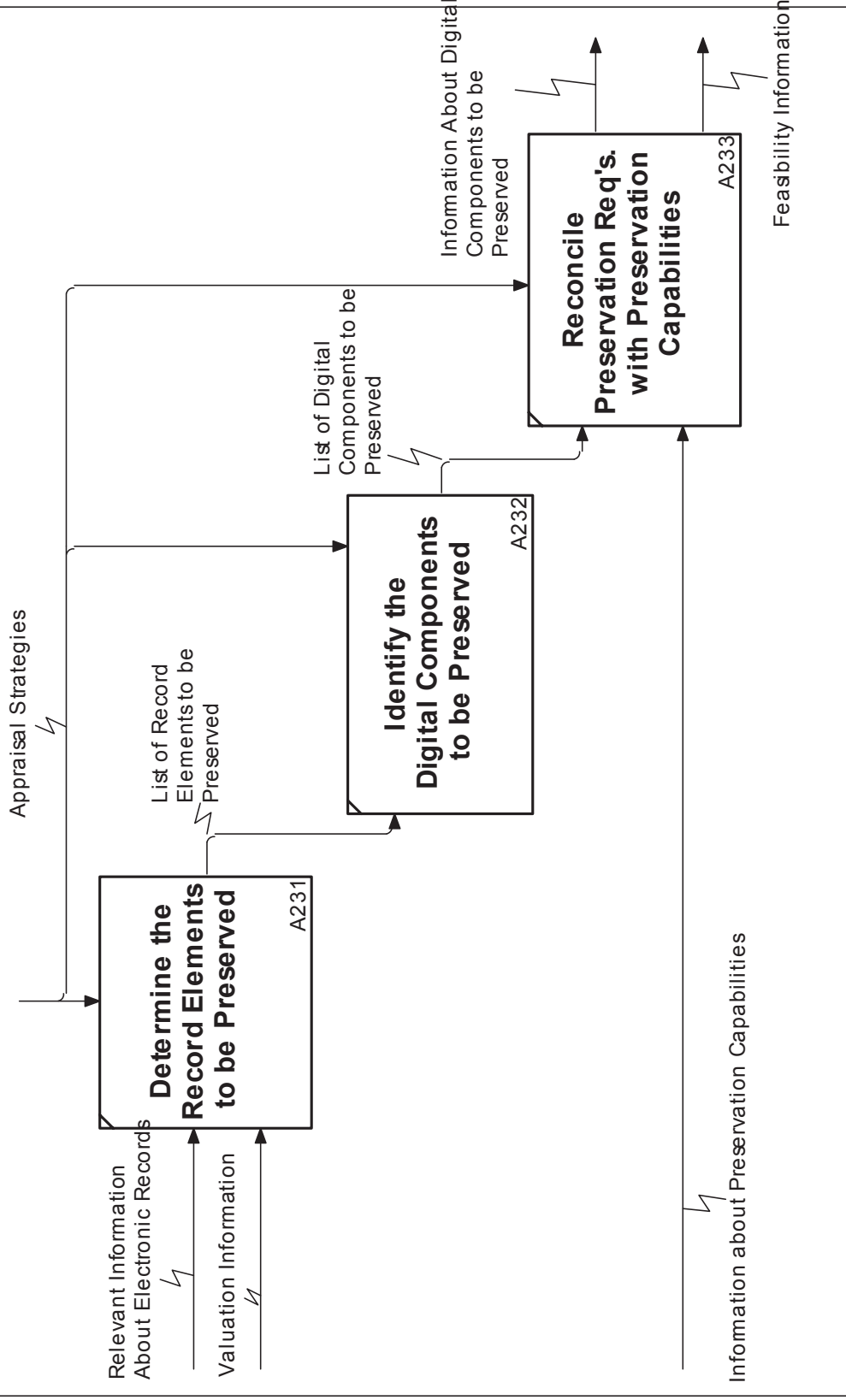
NODE: A22	TITLE: Assess Value of Electronic Records	NUMBER: v.4.0
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USED AT: Washington, n, June 2001	AUTHOR: ApTF PROJECT: InterPARES Project	DATE: 29/04/2001 REV: 19/06/2001	WORKING DRAFT RECOMMENDED PUBLICATION	READER	DATE	CONTEXT:
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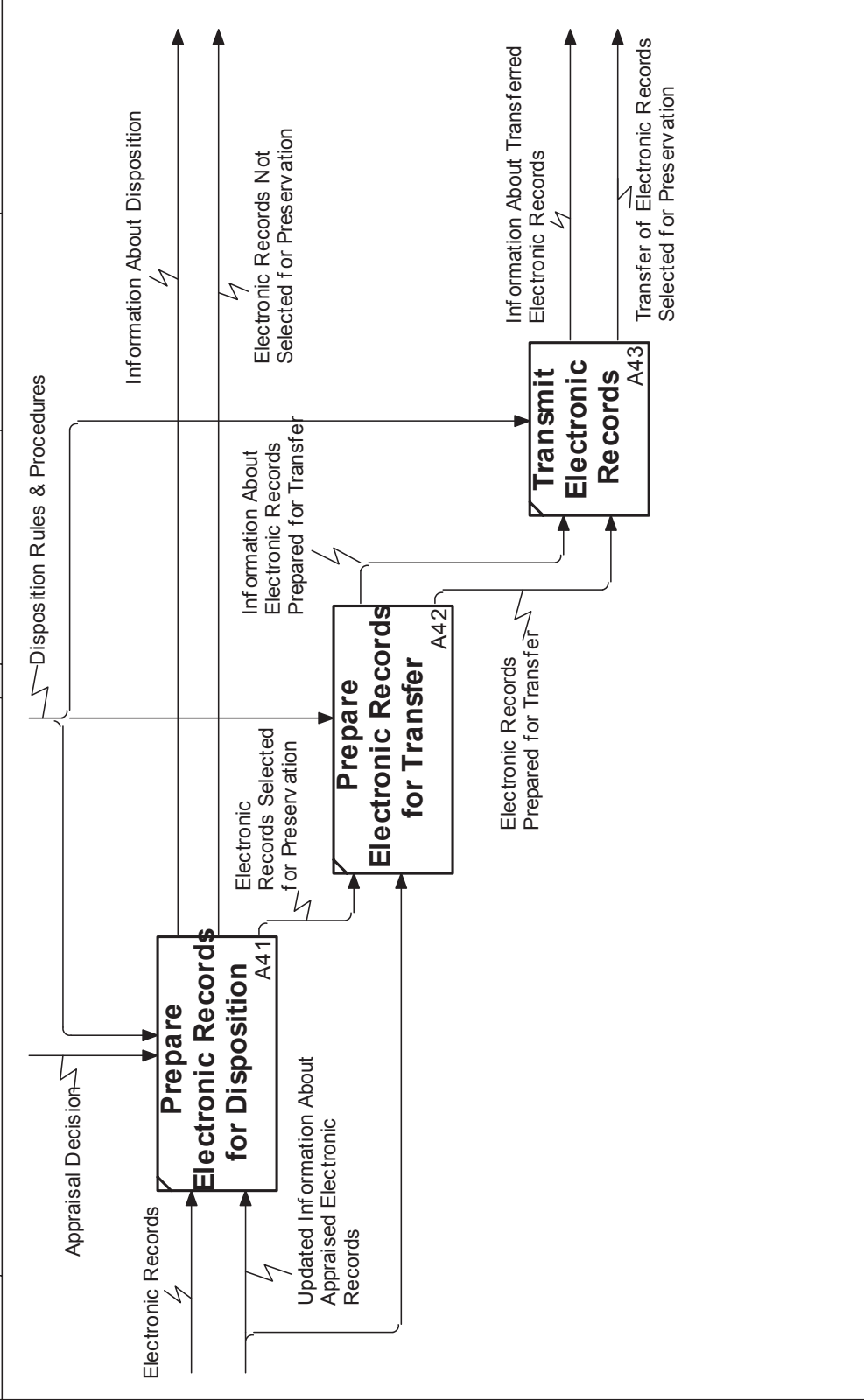
NODE: A222	TITLE: Assess Authenticity of Electronic Records	NUMBER: v.4.0
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USED AT: Washington, n, June 2001	AUTHOR: ApTF PROJECT: InterPARES Project	DATE: 05/05/2000 REV: 19/06/2001	WORKING DRAFT RECOMMENDED PUBLICATION	READER	DATE	CONTEXT:
NOTES: 1 2 3 4 5 6 7 8 9 10						A2



NODE: A23	TITLE: Determine Feasibility of Preserving Authentic Electronic Records	NUMBER: v.4.0
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USED AT: Washington, n, June 2001	AUTHOR: ApTF PROJECT: InterPARES Project	DATE: 25/06/2000 REV: 19/06/2001	WORKING DRAFT RECOMMENDED PUBLICATION	READER	DATE	CONTEXT: <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> A0
NOTES: 1 2 3 4 5 6 7 8 9 10						



NODE: A4	TITLE: Carry Out Disposition of Electronic Records	NUMBER: v.4.0
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ii) Activity Definitions

A0, Select Electronic Records:

To appraise and carry out disposition of electronic records according to the continuing needs of the creator and society, using the principles of archival science.

A1, Manage Selection Function

To establish, implement, and maintain a framework for the selection function.

A2, Appraise Electronic Records

To evaluate electronic records for the purposes of continuing preservation.

A21, Compile Information about Electronic Records

To collect, organize, and record relevant information from the electronic records and about their juridical-administrative, provenancial, procedural, documentary, and technological contexts.

A22, Assess Value of Electronic Records

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

A221, Assess Continuing Value of Electronic Records

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

A222, Assess Authenticity of Electronic Records

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

A2221, Compile Evidence Supporting the Presumption of Authenticity

To collect, organize, and record evidence of the identity and integrity of electronic records and about the procedural controls applied to them, to support the presumption of authenticity of electronic records. This is the compiling of information according to the benchmark requirements. Definition should mention identity, integrity, and procedural control.

A2222, Measure Evidence against Benchmark Requirements:

To compare the evidence compiled about the identity, integrity, and procedural controls of the records with the benchmark requirements for authenticity. Benchmark Requirements 1–8. Definition should mention identity, integrity, and procedural control.

A2223, Verify Authenticity

To establish grounds for presuming the authenticity of electronic records, in cases where there is insufficient evidence to meet the benchmark requirements, by methods of verification such as comparing the records with copies or back-up tapes, performing textual analysis, or examining audit trails.
See footnote 8 of Draft Requirements for Ensuring the Authenticity of Electronic Records Over Time. (April 2001).

A223, Determine Value of Electronic Records

To establish the value of electronic records based on an assessment of their continuing value and their authenticity.

A23, Determine Feasibility of Preserving Authentic Electronic Records

To decide whether the record elements conferring authenticity and embodying value can be preserved given the preserver's current and anticipated preservation capabilities.

A231, Determine the Record Elements to Be Preserved

To identify the extrinsic and intrinsic elements of form and the content of electronic records that need to be preserved.

A232, Identify the Digital Components to Be Preserved

Identify the digital components that manifest the record elements that need to be preserved.

A233, Reconcile Preservation Req's. with Preservation Capabilities

To decide whether the digital components manifesting the record elements that need to be preserved can in fact be preserved given the preserver's current and anticipated preservation capabilities.

A24, Make Appraisal Decision

To decide the disposition of electronic records and agree on the terms and conditions of implementation.

A3, Monitor Appraised Electronic Records

To keep track of changes to appraised electronic records or their context that make it necessary to adjust or redo an appraisal, initiate a transfer, or take some other action.

A4, Carry out Disposition of Electronic Records

To effect destruction and/or transfer of custody of electronic records according to the appraisal decision.

A41, Prepare Electronic Records for Disposition

To format and copy records selected for preservation so as to prepare them physically for transfer, or prepare records not selected for preservation for destruction, alienation to another entity, or such other disposition as has been determined in the appraisal decision.
Prepare electronic records for destruction and/or transfer of custody. The latter could include copying, extracting, reformatting, etc ...

A42, Prepare Electronic Records for Transfer

To package records selected for preservation with the necessary information for their continuing preservation, including the terms and conditions of transfer, identification of digital components to be preserved, and associated archival and technical documentation.

A43, Transmit Electronic Records

To send electronic records prepared for transfer, with the accompanying information necessary for continuing preservation, to the office responsible for the preservation function.

Sending transfer packaged with information to those responsible for the continuing preservation.

iii) Arrow Definitions

Appraisal Decision

A determination of the disposition of electronic records, including the terms and conditions of transfer, that has been reviewed and revised as necessary in the light of changes in the records and their context.

Appraisal Strategies

The rules and conventions of the entity responsible for continuing preservation that govern the appraisal of electronic records.

Archival Science

The concepts, principles, and methodologies governing the treatment of records, including the concepts, principles, and methodologies defined by diplomatics.

Assessment of Authenticity

A record stating the reasons for presuming electronic records to be authentic in terms of the benchmark requirements for authenticity.

Assessment of Continuing Value

A record stating the reasons for continuing preservation of electronic records.

Authenticity Requirements

The specification of the elements of form and context that need to be preserved in order to maintain the authenticity of a given type of electronic record.

Computer Equipment and Software

Hardware and software to access electronic records.

Disposition Rules & Procedures

The rules and procedures governing the process of the disposition of electronic records.

Electronic Records

A record that is created (made or received and set aside) in electronic form.

Electronic Records Not Selected for Preservation

Electronic records identified for destruction or disposition to an entity other than the one responsible for continuing preservation.

Electronic Records Prepared for Transfer

Electronic records formatted and copied for transfer and associated with the information necessary for transmittal and continuing preservation.

Electronic Records Selected for Preservation

Electronic records identified for transfer to the entity responsible for continuing preservation.

Evidence for the Presumption of Authenticity

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

Facilities

Material resources need to undertake the selection of electronic records.

Feasibility Information

Information about the cost and technical capability required for continuing preservation of a given body of electronic records.

Information about Appraisal Decision

A record explaining the valuation of electronic records and the feasibility of their continued preservation, and justifying the decision.

Information about Appraised Electronic Records

A record compiled during the appraisal process containing information about the context and content of appraised electronic records.

Information about Digital Components to Be Preserved

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

Information about Disposition

Information about the quantity and characteristics of records selected for preservation and records not selected for preservation, and about the process and the cost of disposition of electronic records, utilized for management purposes.

Information about Electronic Records Prepared for Transfer

Information that spells out the terms and conditions of transfer of electronic records, and that identifies the digital components to be preserved together with the archival and technical specifications necessary to guide continuing preservation.

Information about Initial Appraisal Decision

A record explaining the initial valuation of electronic records and the feasibility of their continued preservation, and justifying the decision.

Information about Preservation Capabilities

Information about the preserver's current and anticipated capacity to preserve electronic records, including the state of preservation knowledge, hardware/software capabilities, staff expertise, and financial resources.

Information about Records' Contexts

- Information about the juridical-administrative, provenancial, procedural, and documentary contexts of the records.
- Information about the Technological Context of Records**
 - Information about the hardware and software environment(s) in which electronic records were created and kept.
- Information about Transferred Electronic Records**
 - A record providing the necessary information about electronic records to maintain them continuously in authentic form, including the terms and conditions of transfer.
- Information from Electronic Records**
 - Information drawn from reading the form and content of electronic records.
- Initial Appraisal Decision**
 - An initial determination of the disposition of electronic records, including the terms and conditions of transfer.
- Legal Requirements**
 - The concepts, principles, and specific statements in law relevant to the selection of records.
- List of Digital Components to Be Preserved**
 - List of the components in the electronic environment that manifest the record elements that need to be preserved to maintain authenticity.
- List of Record Elements to Be Preserved**
 - A list of the extrinsic and intrinsic elements of form that need to be preserved to maintain the authenticity of electronic records.
- Need for Verification**
 - The need to employ methods of verification of authenticity as a result of there being weak evidence for the presumption of authenticity.
- Needs of the Records' Creator**
 - The perceived interests of the creator served by continuing preservation of records.
- Persons**
 - People who perform the selection function.
- Recommendation to Redo Appraisal**
 - Instructions to revise an appraisal decision as a result of substantial changes in the records and their context.
- Relevant Information about Electronic Records**
 - Information that is needed to appraise electronic records.
- Societal Needs**
 - The perceived interests other than those of the creator served by continuing preservation of records.
- Transfer of Electronic Records Selected for Preservation**

Electronic records copied and formatted for transfer and sent to the office responsible for the preservation function.

Updated Information about Appraised Electronic Records

A record compiled during the monitoring process containing updated information about the context and content of appraised electronic records.

Valuation Information

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