InterPARES: The Brazilian Experience

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Record

“A document made or received in the course of a practical activity as an instrument or a by-product of such activity, and set aside for action or reference.”

(IP3 glossary).
Câmara Técnica de Documentos Eletrônicos – CTDE

GLOSSÁRIO
(Versão 5.1 – março de 2010)

AC
Ver também: Autoridade certificadora.

Acervo
Totalidade dos documentos de uma entidade produtora ou de uma entidade custodiadora.

Acessibilidade
Facilidade no acesso ao conteúdo e ao significado de um objeto digital.
(I) Accessibility.
Ver também: Acesso.

Acesso
Direito, oportunidade ou meios de encontrar, recuperar e usar a informação.
Ver também: Acessibilidade: classificação (2) credencial de segurança.

Anexo
Um objeto digital que segue junto com uma mensagem de correio eletrônico ou um fluxo de trabalho. (I) Attachment.

Anotação
Informação acrescentada ao documento arquivístico após sua produção. Exemplo: “Urgente”, “arquivou-se”, número do protocolo, código de classificação, temporalidade, data, hora e local da transmissão, indicação de anexos e outros.

AR
Ver também: Autoridade de registro.
Benchmark requirements for supporting the presumption of authenticity of electronic records

<< Requirement Set A >>

To support a presumption of authenticity the preserver must obtain evidence that:

REQUIREMENT A.1: Expression of Record Attributes and Linkage to Record
The value of the following attributes are explicitly expressed and inextricably linked to every record. These attributes can be distinguished into categories, the first concerning the identity of records, and the second concerning the integrity of records.

A.1.a Identity of the record:
   A.1.a.i Names of the persons concurring in the formation of the record, that is:
      • name of author
      • name of writer (if different from the author)
      • name of originator (if different from name of author or writer)
      • name of addressee
   A.1.a.ii Name of action or matter
   A.1.a.iii Date(s) of creation and transmission, that is:
      • chronological date
      • received date
      • archival date
      • transmission date(s)
   A.1.a.iv Expression of archival bond (e.g., classification code, file identifier)
   A.1.a.v Indication of attachments

A.1.b Integrity of the record:
   A.1.b.i Name of handling office
   A.1.b.ii Name of office of primary responsibility (if different from handling office)
   A.1.b.iii Indication of types of annotations added to the record
   A.1.b.iv Indication of technical modifications

REQUIREMENT A.2: Access Privileges
The creator has defined and effectively implemented access privileges concerning the creation, modification, annotation, relocation, and destruction of records.

<< Requirement Set A (cont) >>

REQUIREMENT A.3: Protective Procedures: Loss and Corruption of Records
The creator has established and effectively implemented procedures to prevent, discover, and correct loss or corruption of records.

REQUIREMENT A.4: Protective Procedures: Media and Technology
The creator has established and effectively implemented procedures to guarantee the continuing identity and integrity of records against media deterioration and across technological change.

REQUIREMENT A.5: Establishment of Documentary Forms
The creator has established the documentary forms of records associated with each procedure either according to the requirements of the juridical system or those of the creator.

REQUIREMENT A.6: Authentication of Records
If authentication is required by the juridical system or the needs of the organization, the creator has established specific rules regarding which records must be authenticated, by whom, and the means of authentication.

REQUIREMENT A.7: Identification of Authoritative Record
If multiple copies of the same record exist, the creator has established procedures that identify which record is authoritative.

REQUIREMENT A.8: Removal and Transfer of Relevant Documentation
If there is a transition of records from active status to semi-active and inactive status, which involves the removal of records from the electronic system, the creator has established and effectively implemented procedures determining what documentation has to be removed and transferred to the preserver along with the records.
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## Introduction

## Structure of the Principles

### Principles for Records Creators

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<th>Principle</th>
<th>Description</th>
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</thead>
<tbody>
<tr>
<td>(C1)</td>
<td>Digital objects must have a stable format and a fixed documentary form to be considered records and to be capable of being preserved over time.</td>
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<tr>
<td>(C2)</td>
<td>Record creation procedures should ensure that digital components of records can be separately maintained and recombined over time.</td>
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<tr>
<td>(C3)</td>
<td>Record creation and maintenance requirements should be formulated in terms of the purposes the records are to fulfill, rather than in terms of the available or chosen record-making or recordkeeping technologies.</td>
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<td>(C4)</td>
<td>Record creation and maintenance policies, strategies, and standards should address the issues of record stability, accuracy, and authenticity expressly and separately.</td>
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<td>(C5)</td>
<td>A trusted record-making system should be used to generate records that can be presumed reliable.</td>
</tr>
<tr>
<td>(C6)</td>
<td>A trusted record-keeping system should be used to maintain records that can be presumed accurate and authentic.</td>
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### Preservation Considerations

- (P1) | Preservation considerations should be incorporated into all activities involved in record creation and maintenance. A creator wishes to maintain and preserve accurate and authentic records pertaining to its operational business needs. |
- (P2) | A trusted custodian should be designated as the trusted keeper of the creator’s records. |
- (P3) | All business processes that contribute to the creation and use of the same records should be explicitly documented. |
- (P4) | Third-party intellectual property rights attached to the creator’s records should be explicitly identified and managed in the record-making and record-keeping systems. |
- (P5) | Privacy rights and obligations attached to the creator’s records should be explicitly identified and protected in the record-making and record-keeping systems. |
- (P6) | Procedures for sharing records across different jurisdictions should be established on the basis of the legal requirements within which the records are created. |
- (P7) | Records of a record made by the creator in its usual and ordinary course of business and for its purposes and use, as part of its record-making activities, have the same effect as the first manifestation, and each is to be considered at any given time the record of the creator. |

### Principles for Records Preservers

<table>
<thead>
<tr>
<th>Principle</th>
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<tbody>
<tr>
<td>(P8)</td>
<td>A designated record preserver fulfills the role of trusted custodian.</td>
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<tr>
<td>(P9)</td>
<td>Preservation policies, strategies, and standards should address the issues of record stability, accuracy, and authenticity expressly and separately.</td>
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<tr>
<td>(P10)</td>
<td>Records preservation procedures should ensure that the digital components of records can be separately preserved and reassessed over time.</td>
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<td>(P11)</td>
<td>Authentic copies should be made for preservation purposes only from the records that are to be considered authentic copies of the creator’s records.</td>
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<td>(P12)</td>
<td>Preservation requirements should be articulated in terms of the purpose or desired outcome of preservation, rather than in terms of the specific technologies available.</td>
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<td>(P13)</td>
<td>Preservation considerations should be incorporated into all activities involved in each phase of the records lifecycle if their continuing authentic existence over the long term is to be ensured.</td>
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<td>(P14)</td>
<td>Third-party intellectual property rights attached to the creator’s records should be explicitly identified and managed in the preservation system.</td>
</tr>
<tr>
<td>(P15)</td>
<td>Privacy rights and obligations attached to the creator’s records should be explicitly identified and protected in the preservation system.</td>
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<tr>
<td>(P16)</td>
<td>Archival approval should identify and analyze all business processes that contribute to the creation and use of the same records.</td>
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<tr>
<td>(P17)</td>
<td>Archival approval should assess the authenticity of the records.</td>
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<tr>
<td>(P18)</td>
<td>Archival description should be used as a collective authentication of the records in an archival fonds.</td>
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<td>(P19)</td>
<td>Procedures for accessing records created in one jurisdiction to users in other jurisdictions should be established on the basis of the legal environment in which the records were created.</td>
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InterPARES 2 Project, Policy Cross-domain
InterPARES 3 – TEAM Brazil

Direction:
National Archives

Test-bed Partners:
Chamber of Deputies
UNICAMP – University of São Paulo
Ministry of Health
State Archives of São Paulo
Porto Alegre Municipal Archives
TEAM Brazil case studies

Ministry of Health
CS01 - Hospital Internment Authorization (AIH) record

UNICAMP
CS02 – Photographic records
CS03 – Digital audiovisual programs records (TV programs)
CS04 - Digital master's dissertations and PhD theses
CS05 – Grades and attendance reports
CS07 – Staff paychecks

Chamber of Deputies
CS08 – Digital legislative propositions' dossier

State Archives of São Paulo
CS09 - Electronic recordkeeping system

Porto Alegre Municipal Archives
CS10 - Porto Alegre municipal government's management website
InterPARES Trust

Case study:
Preserving and managing record’s life-cycle in a multiprovenance government digital environment (LA01)

Terminology database
Considerations

• CLAID Team – dissemination in Brazil and Latin America

• National Archives initiatives influenced by InterPARES
  – AN Digital
  – Records management – government agencies

It’s a long way which we are beginning to go through
Muchas Gracias