



# **The National Archives**

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# **Cutting the Beast Down to Size**

**The role of risk evaluation in determining preservation strategies**

**Richard Blake**  
**Archives Sector Development**



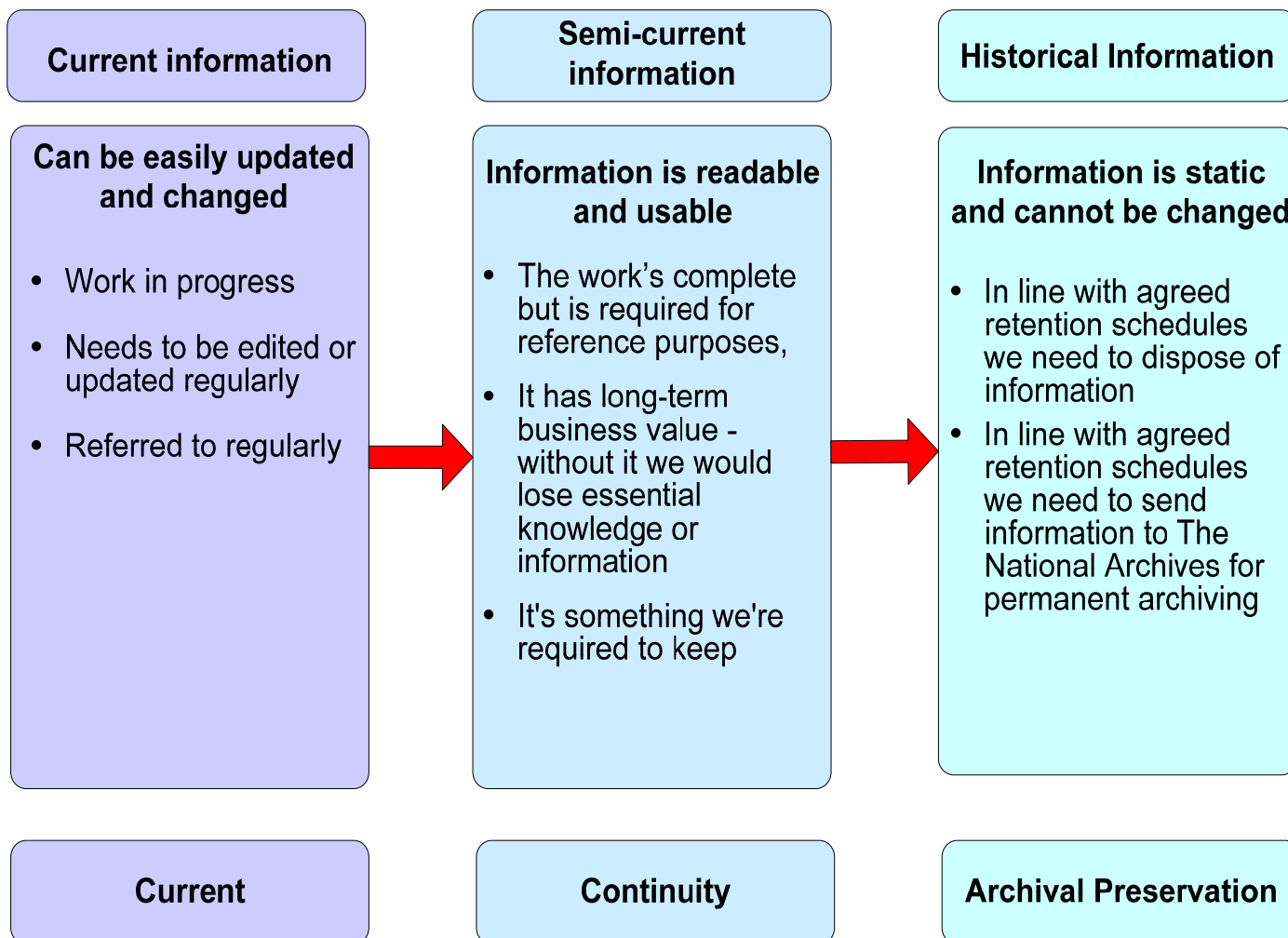
# Context & motivational drivers

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- Need to secure eternal digital acquisitions
- Loss or impairment of heritage
- Need to acquire and secure digital assets from parent bodies
- Loss or impairment of information assets leading to avoidable costs
- Accountability impaired
- Avoidance of Reputational damage

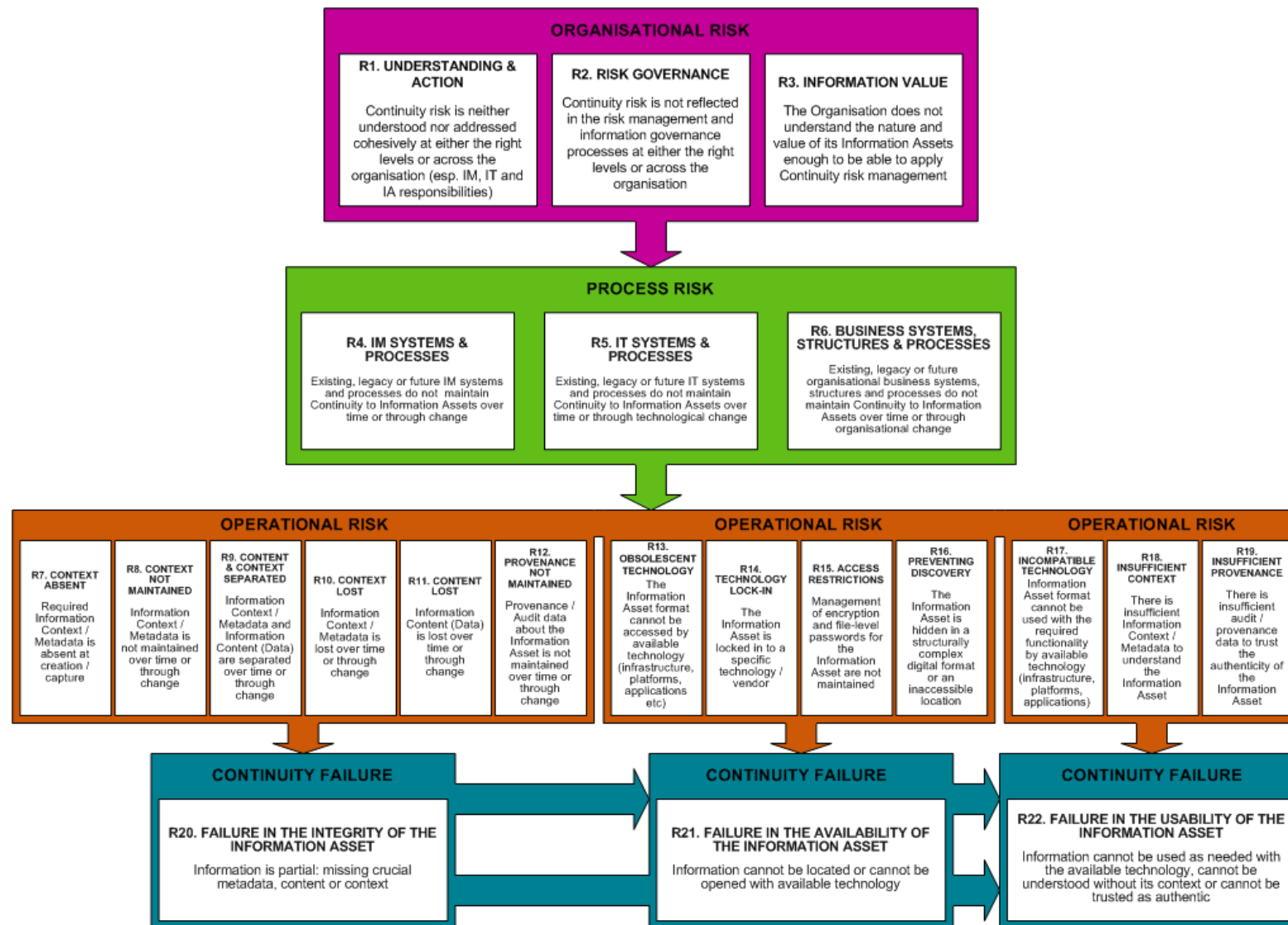


# Continuity or Preservation?






# A risk management approach



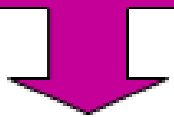
- **Risk 1 Understanding & Action**

**Continuity risk is neither understood nor addressed cohesively at either the right levels or across the organisation (esp. IM, IT and IA responsibilities)**



- **Risk 2 Risk Governance**

**Continuity risk is not reflected in the risk management and information governance processes at either the right levels or across the organisation**



- **Risk 3 Informational Value**


**The Organisation does not understand the nature and value of its Information Assets enough to be able to apply Continuity risk management**






- **R4 IM Systems and Processes**

**Existing, legacy or future IM systems and processes do not maintain Continuity to Information Assets over time or through change**




- **R5 IT Systems and Processes**

**Existing, legacy or future IT systems and processes do not maintain Continuity to Information Assets over time or through technological change**



- **R6 Business Systems, Structures and Processes**

**Existing, legacy or future organisational business systems, structures and processes do not maintain Continuity to Information Assets over time or through organisational change**





# Operational risks - 7 to 12

R7. CONTEXT ABSENT	R8. CONTEXT NOT MAINTAINED	R9. CONTENT & CONTEXT SEPARATE D	R10. CONTEXT LOST	R11. CONTENT LOST	R12. PROVENANCE NOT MAINTAINED
Required Information Context / Metadata is absent at creation /capture	Information Context /Metadata is not maintained over time or through change	Information Context /Metadata and Information Content (Data) are separated over time or through change	Information Context /Metadata is lost over time or through change	Information Content (Data) is lost over time or through change	Provenance /Audit data about the Information Asset is not maintained over time or through change





# Operational risks - 13 to 16

<b>R13. OBSOLESCE TECHNOLOGY</b>	<b>R14. TECHNOLOGY LOCK-IN</b>	<b>R15. ACCESS RESTRICTIONS</b>	<b>R16. PREVENTING DISCOVERY</b>
The Information Asset format cannot be accessed by available technology (infrastructure, platforms, applications etc)	The Information Asset is locked into a specific technology /vendor	Management of encryption and file-level passwords for the Information Asset are not maintained	The Information Asset is hidden in a structurally complex digital format or an inaccessible location





# Operational risks - 17 to 19

## **R17. INCOMPATIBLE TECHNOLOGY**

**Information Asset  
format cannot be  
used with the  
required  
functionality by  
available technology  
(infrastructure,  
platforms,  
applications)**

## **R18. INSUFFICIENT CONTEXT**

**There is insufficient  
Information Context  
/Metadata to understand  
the Information Asset**

## **R19. INSUFFICIENT PROVENANCE**

**There is insufficient  
audit /provenance  
data to trust the  
authenticity of the  
Information Asset**



## CONTINUITY FAILURE

### R20. Failure in the Integrity of the Information Asset

Information is partial: missing crucial metadata, content or context



## CONTINUITY FAILURE

### R21. Failure in the Availability of the Information Asset

Information cannot be located or cannot be opened with available technology







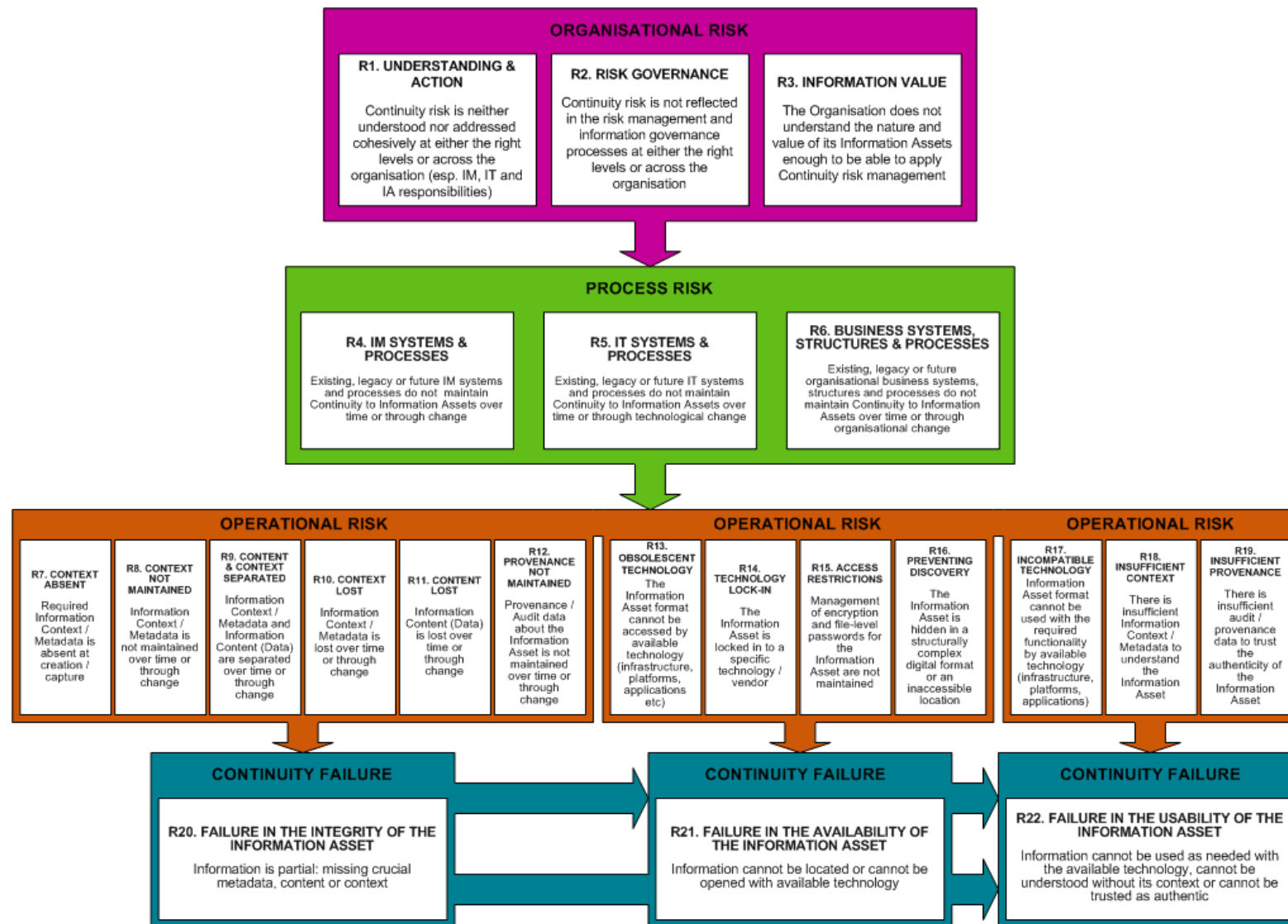
## CONTINUITY FAILURE

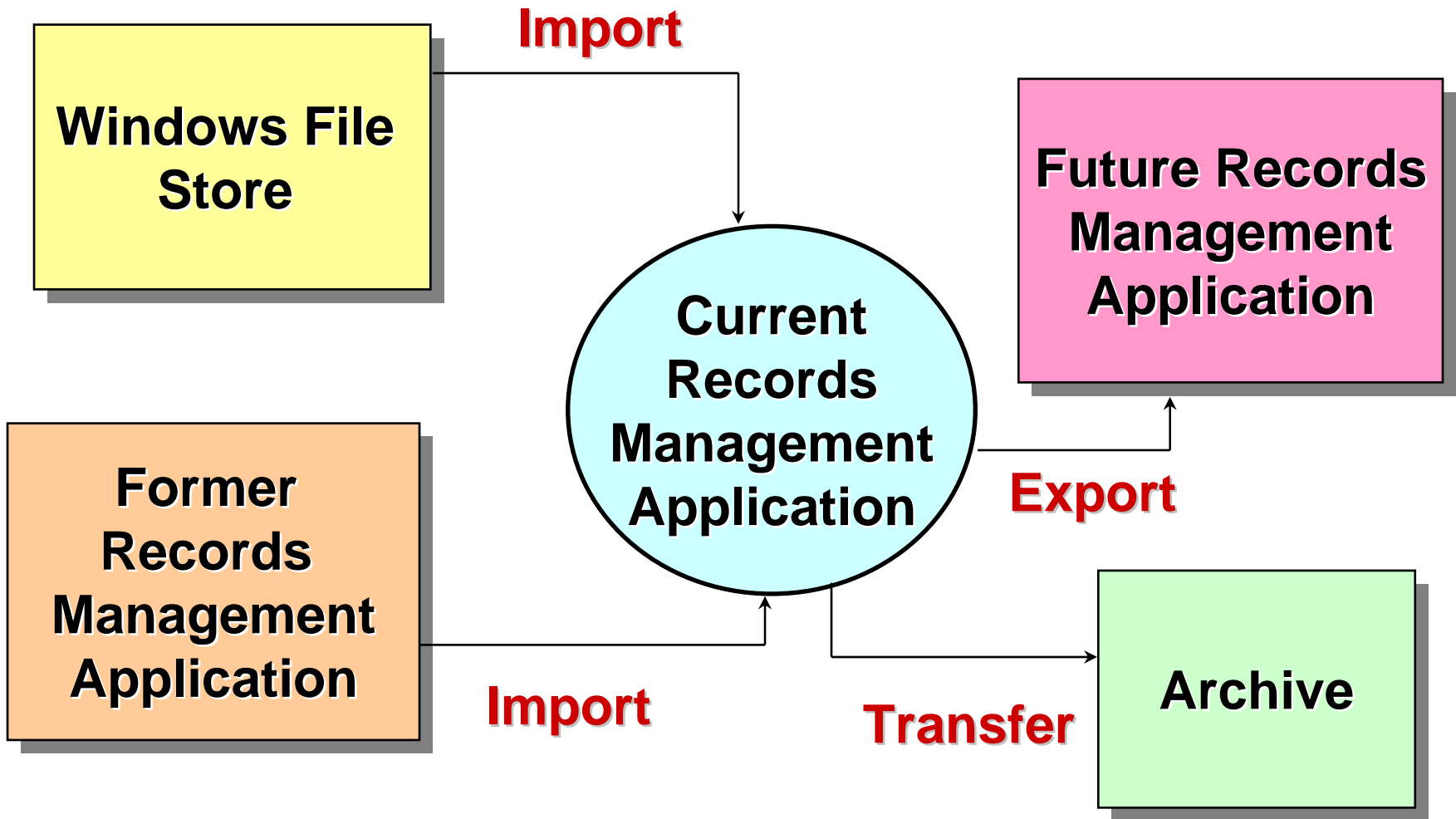
### **R22. Failure in the Usability of the Information Asset**

Information cannot be used as needed with the available technology, cannot be understood without its context or cannot be trusted as authentic



# A risk management approach







For more information and advice  
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