**InterPARES Trust**



InterPARES Trust
North American Team
Research Project 06
Retention & Disposition in a Cloud Environment
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# Retention & Disposition Functional Requirements
Questionnaire for use when evaluating specific cloud products/services

| No. | Questions | Yes | No | Don't Know |
|-----|-----------|-----|-----|------------|
| **Privacy and Security Considerations** | | | | |
| 1 | Does the vendor allow independent audits of systems and processes? | | | |
| 2 | Is the content encrypted when in transit to the cloud? | | | |
| 3 | Is the content encrypted when at rest in the cloud? | | | |
| 4 | Are the physical servers located within a jurisdiction approved for your organization? | | | |
| 5 | Are the backup servers located within a jurisdiction approved for your organization? | | | |
| **Establishing disposition authorities** | | | | |
| 6 | What indexing capability is supported (can it accommodate customers' taxonomy for indexing)? | | | |
| 7 | Can retention periods be applied? | | | |
| 8 | Can destruction be automated? | | | |
| **Applying disposition authorities** | | | | |
| 9 | Can a disposition authority (retention and disposition specifications) be applied to aggregations of records? | | | |
| 10 | Can records be locked down for viewing only? | | | |
| 11 | Can records be retained indefinitely? | | | |
| 12 | Can records not in an aggregation be destroyed at a future date? | | | |
| 13 | Can records not in an aggregation be transferred at a future date? | | | |
| **Executing disposition authorities** | | | | |
| 14 | Can records be deleted according to the retention/disposition schedule? | | | |
| 15 | Can backups be deleted according to the retention/disposition schedule? | | | |
| 16 | Are users alerted to conflicts related to links from records to be deleted to other records aggregations that have different records disposition | | | |

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|---|---|---|---|---|
| | requirements? | | | |
| 17 | If more than one disposal authority is associated with an aggregation of records, can these multiple retention requirements be tracked to allow the manual or automatic lock or freeze on the process (ex. Freeze for litigation or freedom of information request)? | | | |
| **Documenting disposal actions** | | | | |
| 18 | Are disposal actions documented in process metadata? | | | |
| 19 | Can all disposal actions be automatically recorded and reported to the administrator? | | | |
| **Reviewing disposition** | | | | |
| 20 | Are electronic aggregations presented for review along with their records management metadata and disposal authority information so both content and records management metadata can be reviewed? | | | |
| 21 | Can records be marked for destruction, transfer, further review? | | | |
| 22 | Are all decisions made during review stored in metadata? | | | |
| 23 | Can the system generate reports on the disposition process? | | | |
| 24 | Is the ability to interface with workflow facility to support scheduling, review, and export transfer processes provided or supported? | | | |
| **Integration** | | | | |
| 25 | Is the metadata schema compatible with other systems, such as Enterprise Content Management or Records Management Systems? | | | |