



InterPARES 3 Project

International Research on Permanent Authentic Records in Electronic Systems

Template for Case Study Contextual Analysis

December 2007

The purpose of this template is to enable the gathering of contextual information that is relevant to each case study. Through this exercise, a general overview will be created, which will provide insights into the types of record creators and activities that are being studied.

The template has been structured in two sections. The first concerns the *Test-bed*. The second concerns the *Activities Resulting in the Creation of the Relevant Records*. This latter section is split into two sub-sections, involving the “Administrative and Managerial Framework,” and the “Digital Entity/Entities Under Study.”

TEST-BED

This information is essential to understanding the test-bed. The focus of the analysis is the immediate administrative context of the case study (e.g., not the Vancouver Police Department, but the office in charge of the records under study).

If the following is inapplicable to the case study at hand, or unavailable, please indicate wherever possible why this is so. The bullets following each section are an “indication” of the content to be included in the section. Additional content that is not listed among the bullets might be relevant to the understanding of the test-bed; if so, please include it. In some cases, the content indicated might not be relevant to the case study and, as such, will not have to be included. It is always better to be redundant than to miss information which might be necessary.

Name

- Provide the official name and other names of the test-bed

Location

- Provide the country, region (example: province, state), and/or city that exerts the most legal influence over the test-bed

Origins

- Provide the origins of the test-bed, such as information regarding how and why it began its activities
- Provide the official founding date and/or founding event

Legal Status

- Provide the legal status. For example: “for-profit small company,” “research group”
- Provide the year of legal establishment if applicable
- Provide specifics about the most relevant laws under which the test-bed is governed. For example: “copyright legislation,” “Companies Act”
- Provide information about any legal status inherited from other organizations or associations, any other legally required standards, codes or regulations that apply to the test-bed

Norms

- Provide information about any non-legally required standards, methodologies, codes or regulations that are subscribed to by the test-bed
- Provide information about the non-legally required standards, methodologies, codes or regulations from organizations, disciplines, traditions or professional associations that are subscribed to by the test-bed. For example: “archival method”

Funding

- Provide information about the sources of revenue related to case under study. For example: “Grants,” “Ticket sales”

Resources (Physical)

- Provide information about the physical context in which the test-bed is working, including relevant information about equipment and infrastructure. For example: “one office, shared with another group”

Governance

- Provide information about how the test-bed is managed. For example: “cooperative,” “collective,” “partnership”
- Provide information about the organization of the test-bed, also including an organizational chart, if relevant
- Provide information about employees, members or partners (number, areas of specialization, qualifications, turnover)
- Provide information about the test-bed place within an organization, if applicable
- Provide information about any internal policies or regulations

Mandate

- Provide information about the responsibilities of the test-bed given to it through enabling legislation
- Provide information about any stated mandate

Philosophy

The core of the organizational culture of the test-bed.

- Provide information about the test-bed vision and values
- Provide information about which genres or disciplines the test-bed relates to. For example: “museology,” “geology”
- Provide information about the schools of thought to which the test-bed subscribes, if these influence its choices and practises

Mission

The stated ways in which the test-bed is working towards the mandate.

- Provide the mission statement(s), which may have evolved over time

Policy

A formal statement of direction or guidance as to how the test-bed will carry out its mandate, mission, functions or specific activities.

- Provide the policy statement

Functions

- List all of the major functions that the test-bed undertakes to fulfill the mandate/mission/policy.
For example: “Administration,” “Research,” “Preservation,” “Training,” “Exhibition”

Recognitions

- Provide information about any achievements, honours, or prizes that the test-bed has received for its work

ACTIVITIES RESULTING IN THE CREATION OF THE RELEVANT RECORDS

This section is divided into two sub-sections. The first concerns the Administrative and Managerial Framework within which the relevant digital records are created. The second focuses on the digital records themselves. Both sub-sections aim to gather information to allow the characterization of the types of activities and records that are the test-bed's concern.

Administrative and Managerial Framework

If the following is inapplicable to the case study at hand, or unavailable, please indicate wherever possible in the report why this is so.

General description

- Provide a general description of the relevant administrative practices. For example: "The creator must generate both paper and digital blueprints"

Type of activities

- List the general types of activities related to the relevant records. For example: "Tracking the movement of suspects," "Writing grant applications"

Documents resulting from activities

- List the main types of documents resulting from these activities. For example: "Receipts," "Reports," "Correspondence"

Existence of a records management program

- Provide a description of the existence of activities related to records management
- Provide information about any policies that the creator might have about its records

Individuals responsible for records maintenance

- Provide the name and qualifications of individuals(s) responsible for keeping the records after their creation (records maintenance)
- Provide information about the relationship of the individuals responsible for maintenance to the creation of the records. For example: "Once completed, the author maintains the records on his computer"

Existence of maintenance strategies

The complex of practical means formally articulated or simply implemented by the test-bed, its plan or a road map for recordkeeping.

- Provide the location in which the records are kept
- Provide the medium in which records are kept. For example: "Some records are on DVD and some on paper, but the majority is in digital form on the hard drive of each officer."
- Provide a description of the organization of the records during maintenance by the creator. For example: "Records are split, with some records being kept by the contracting party"
- Provide a brief description of any methods used to maintain records
- Provide a brief description of any methods used to attempt to avoid technological obsolescence while the records are still active or semi-active

Legal Requirements and Constraints

- Provide a description of how the relevant laws impact upon the policies and procedures by which *records creating activities* are carried out
- Provide a description of how the relevant laws influence the creation, form, content, identity integrity, organization and maintenance of the records

Normative Requirements and Constraints

The written or unwritten rules of a specific discipline or area of thought to which the creator subscribes. The written or unwritten rules may not be limited to scientific, artistic and ethical requirements and constraints.

Scientific requirements and constraints

Scientific foundations of the discipline with which the creator identifies that require, influence or prohibit certain behaviours.

- Provide a description of how relevant scientific requirements/constraints impact upon the policies and procedures by which activities are carried out
- Provide a description of how relevant scientific requirements/constraints impact upon the creation, form, content, identity, integrity, organization and preservation of the records resulting from those activities

Artistic requirements and constraints

Artistic foundations or schools of thought which the creator identifies that require, influence, or prohibit certain behaviours.

- Provide a description of how relevant artistic requirements/constraints impact upon the policies and procedures by which activities are carried out
- Provide a description of how relevant artistic requirements/constraints impact upon the creation, form, content, identity, integrity, organization and preservation of the records resulting from those activities

Ethical requirements and constraints

Propriety and rules of behaviour which the body uses or identifies with that require, influence, or prohibit certain behaviours.

- Provide a description of how relevant ethical requirements/constraints impact upon the policies and procedures by which administrative activities are carried out
- Provide a description of how relevant ethical requirements/constraints impact upon the creation, form, content, identity, integrity, organization and preservation of the records resulting from those activities

Technological Requirements and Constraints

Technology requirements and constraints related only to the administrative or management function.

- Provide a description of the equipment used :
 - o Architecture (e.g., network topology, infrastructure, hardware)
 - o Creation or input tools (e.g., software, camera, microphone)
 - o Processing tools (e.g., for example software, console)
- Provide a list of the types of media created (e.g., graphic, textual, audio)
- Provide a list of the formats created (e.g., .pdf, .doc, .jpg)
- Provide a description of how relevant technological requirements/constraints impact upon on the policies and procedures by which administrative activities are carried out
- Provide a description of how relevant technological requirements/constraints impact upon the creation, form, content, identity integrity, organization and preservation of the records resulting from them

Digital Entity/Entities under Study

If the following is inapplicable to the case study at hand, or unavailable, please indicate wherever possible in the report why this is so.

General description of the activity

- Provide the name and type of the digital entity/entities being studied
- Provide a description of the goals and functions of the digital entity/entities
- Provide a description of how the digital entity/entities relates to the creator's mandate, mission(s), policy or functions

Type of activities

- Provide a description of the activities related to the creation of the digital entity/entities

Documents resulting from activities

- Provide a list of documents that enable the activities related to the digital entity/entities. For example: "directives"
- Provide a list of documents that result from the activities related to the digital entity/entities. For example: "digitized images"

Existence of maintenance strategies

- Provide a brief description of any methods used to maintain the digital entity/entities
- Provide a brief description of any methods used to attempt to avoid technological obsolescence

Legal Requirements and Constraints

- Provide a description of how any relevant laws or by-laws impact upon the policies and procedures by which activities related to digital entity/entities are carried out
- Provide a description of how any relevant laws or by-laws impact upon the creation, form, content, identity, integrity, organization and preservation of the digital entity/entities

Normative Requirements and Constraints

The written or unwritten rules of a specific discipline or area of thought to which the creator subscribes. The written or unwritten rules may not be limited to scientific, artistic and ethical requirements and constraints.

Scientific requirements and constraints

Scientific foundations of the discipline with which the creator uses or identifies with that require, influence or prohibit certain behaviours.

- Provide a description of how relevant scientific requirements/constraints impact upon the policies and procedures by which activities related to digital entity/entities are carried out
- Provide a description of how relevant scientific requirements/constraints impact upon the creation, form, content, identity, integrity, organization and preservation of the digital entity/entities or of the records generated by or from them

Artistic requirements and constraints

Artistic foundations or schools of thought which the creator uses or identifies with that require, influence, or prohibit certain behaviours.

- Provide a description of how relevant artistic requirements/constraints impact upon the policies and procedures by which activities related to digital entity/entities are carried out

- Provide a description of how relevant artistic requirements/constraints impact upon the creation, form, content, identity, integrity, organization and preservation of the records generated by the digital entity/entities or of the records generated by or from them

Ethical requirements and constraints

Propriety and rules of behaviour which the body uses or identifies with that require, influence, or prohibit certain behaviours.

- Provide a description of how relevant ethical requirements/constraints impact upon the policies and procedures by which activities related to digital entity/entities are carried out
- Provide a description of how relevant ethical requirements/constraints impact upon the creation, form, content, identity, integrity, organization and preservation of the digital entity/entities or of the records generated by or from them

Technological Requirements and Constraints

Technology requirements and constraints related only to the administrative or management function.

- Provide a description of the equipment used :
 - o Architecture (e.g., network topology, infrastructure, hardware)
 - o Creation or input tools (e.g., software, camera, microphone)
 - o Processing tools (e.g., for example software, console)
- Provide a list of the types of documentary presentations created (i.e., made or received and set aside or accumulated) (e.g., graphic, textual, audio)
- Provide a list of the formats created (e.g., .pdf, .doc, .jpg)
- Provide a description of how relevant technological requirements/constraints impact upon the policies and procedures by which activities related to digital entity/entities are carried out
- Provide a description of how relevant technological requirements/constraints impact upon the creation, form, content, identity integrity, organization and preservation of the digital entity/entities or of the records generated by or from them