



InterPARES 3 Project

International Research on Permanent Authentic Records in Electronic Systems

Title: Case Study ## - Title of Case Study:¹
Policy Research Questions

Status: Final (Public)

Version: 1.0

Submission Date: April 2008

Release Date:

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URL: http://www.interpares.org/display_file.cfm?doc=ip3_cs##_systems_questions.pdf

¹ Note: For consistency, please use the title that appears in the “Accepted Case Studies” section on the restricted site.

Research Questions

1. *How are policies generally developed, and what is the context within which they are being developed (e.g. accountability)?*

Your answer here...

2. *What collaborative efforts (either internal, among units of the organization, or external, in collaboration with other organizations or teams of experts) are made to design and establish a policy?*

Your answer here...

3. *Who is responsible for issuing a records/archives policy?*

Your answer here...

4. *Who is responsible for implementing a records/archives policy?*

Your answer here...

5. *What are the procedures for ensuring that all the concerned parties are aware of, comprehend and apply the records/archives policy?*

Your answer here...

6. *Who is responsible for auditing the implementation of the records/archives policy?*

Your answer here...

7. *What is the relationship between the archives and the records creator(s)? (e.g., are they collaborating in records creation and management? If not, does the archives issue a retention and disposition schedule?)*

Your answer here...

8. *What is the relationship between units that are involved with records/archives creation and management (e.g., archival and IT personnel, records creating departments and IT)? Do they collaborate? If so, by what means? How frequently?*

Your answer here...

9. *To what extent do existing policies, procedures, and standards currently control or influence records creation, maintenance, preservation or use? Do they need to be modified or augmented?*

Your answer here...

10. *What legal, moral (e.g. control over artistic expression) or ethical obligations, concerns or issues exist regarding the creation, maintenance, preservation or use of the records?*

Your answer here...

11. *Does the archives have a record/archives policy for traditional records? If yes, when was it issued and how often is it revisited? If yes, is it fully implemented? If yes, does it fulfill the archives needs and purposes?*

Your answer here...

12. *If the archives does not have a records/archives policy, what procedures or informal processes does it carry out to handle transfers of records, to process and preserve them?*

Your answer here...

13. *How many staff members does the archives have? What are their qualifications and competences?*

Your answer here...

14. *Who are the primary or exclusive users of the archives?*

Your answer here...

15. *How many records does the archives receive each year?*

Your answer here...

16. *Does the archives already hold digital material? If yes, what type of material, and how has it been processed and preserved? If not, what digital material does the archives expect to receive and when?*

Your answer here...

17. If the archives currently preserves digital material, what is its primary method for this preservation (e.g., copying, migration, emulation, etc.)? How frequently does the archives attend to these digital materials?

Your answer here...

18. What are the knowledge and financial resources of the archives? What are its technological capabilities, if any? What are the future expectations for resources and technical capabilities?

Your answer here...

Appendix 1: Diplomatic Analysis²

² Note: Only include those appendices that are applicable to your case study.

Appendix 2: Activity Model

Appendix 3: Interview Instrument(s)

Appendix 4: Other