InterPARES Project

International Research on Permanent Authentic Records in Electronic Systems

Case Study
Interview Protocol (CSIP)

ROUND 4

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Protocol Introduction

This protocol will be used as the primary instrument to gather empirical data for the Authenticity Task Force case studies of electronic systems. The main purpose of the interview questionnaire contained in this protocol is to provide the data that researchers will need to populate the Template for Analysis elements for each case study. Additional information needed to accomplish this task may also come from internal documentation provided by the interviewee, additional comments made by the interviewee, external documentation from or about the case study system or organization (i.e. website), or other identifiable sources. The Template for Analysis element data and data source information will be managed by case study researchers using a separate "Template Element Data Gathering Instrument (TEDGI)." This Case Study Interview Protocol, therefore, should be used in conjunction with the Authenticity Task Force's Template for Analysis and the Template Element Data Gathering Instrument (TEDGI).

This protocol has been devised by the Authenticity Task Force to ensure that all interviews carried out for the InterPARES case studies are conducted under comparable conditions at each institution. *It is important, therefore, that you follow this protocol as written*. Before conducting any interviews, you should do background research on the business function, context, and system you will be addressing. It will speed up the interview itself if you request juridical context, business process, and technical system documentation *in advance of the interview.* You may use this documentation to complete some of the context-related questions of the questionnaire. You can then verify how you have completed these questions during the interview.

You should read this protocol over several times before interviewing anyone so that you will be familiar with the script in the event that the interview starts to diverge from this protocol and you need to steer it back on track. If you do not fully understand any question, you should get further clarification from the Authenticity Task Force researchers who are responsible for training in the use of this protocol.

You should note, however, that not all parts of the protocol may be appropriate for your particular case. This includes introductory components such as InterPARES Project background and human subjects' assurances. This also applies to any follow-up questions that you might need to ask, either to solicit a response that answers the case study questions more closely, or to clarify a response.

Bolded text inside square brackets (**[text]**) indicate instructions to the interviewer and should not be read out loud to the interviewee. Italicized text inside square brackets (*[text]*) indicate sample dialogue which should be read to the interviewee as needed to facilitate the flow of the interview.

You should expect one interview to last approximately 3 hours, depending upon how detailed the responses are, how many questions the respondent asks of you, and whether you need to complete human subjects assurances. Although in some international or government settings you may not be required to get a human subjects

waiver, each case study researcher is responsible for ensuring compliance with applicable human subjects regulations before proceeding.

Interview Introduction

[My name is <your name>. I am participating in the InterPARES research as a <your title or role in project, e.g., doctoral researcher, institutional team member>, and today I would like to ask you some questions about <name of electronic system, or aggregation of electronic records considered> as part of a case study being conducted for InterPARES.

Let me briefly explain to you the aims of InterPARES. The InterPARES Project is an international research initiative that involves national archives, college and university archives, and various government agencies working together with industry representatives and a team of academic researchers in archival science, preservation, and computer science to address important issues related to the permanent preservation of authentic electronic records. We are particularly interested in identifying what we need to do as systems designers, records creators, records managers, archivists, and policy developers to ensure that electronic systems that are used for record-making and/or recordkeeping purposes and/or the electronic records that these systems eventually create can be preserved with their authenticity intact over the long-term.

I have a pamphlet which I will leave with you that explains the goals of the InterPARES Project in more detail. If you would like to learn more about the project, there is a Website that you can go to that contains project reports, organizational structure, and so forth. The URL is printed on the pamphlet.

Are there any questions I can answer for you at this moment about InterPARES before I move on to talk about the case study?

[Wait for respondent to reply. If there are no questions, move on. If there are questions, either try to address them or refer the participant again to the background materials and project reports on the Website.]

Part of our research efforts involves trying to identify what constitutes a record in the electronic environment, and then trying to figure out whether it is possible to construct a typology that lists and describes different types of records that frequently occur in different organizational settings. In order to learn more about different record types, we are conducting a series of case studies of different kinds of electronic records or electronic systems in a range of institutional contexts.

We have identified <name of electronic system or records being studied> as one of these case studies, and now we are conducting interviews with people who are familiar with <either this system or these records> so that we can learn as much as possible about <it/them>.

What I plan to do is to go through a series of questions with you about the <system or records>. I would like you to try to answer me as fully as you can. It would be helpful if

you can go into more detail than a simple yes or no. Please don't worry if I ask you any questions that you do not know how to answer, although it would be helpful if you were able to indicate anyone else who might be able to answer them so that I might also talk to them. Also, I would welcome copies of any appropriate documentation related to the [system or records] that you think might assist the InterPARES researchers in understanding the system or records.

I will be taking notes as you talk, but I would also like to use a tape recorder to help me with my note-taking and subsequent data analysis by the InterPARES researchers. Do you mind if I tape record our conversation?

[Wait for respondent to reply. If he or she replies that they do not mind being tape recorded, move on. If he or she has questions about the purpose or subsequent use of the tape recording, explain that the recording is purely voluntary and that tapes will be kept strictly confidential and only used by the researchers analyzing the data in order to assist them with the data analysis. If he or she says he or she is not comfortable being recorded; for example, in a situation where the respondent's supervisor is an InterPARES team member -- say that is fine and move on. Remember that in the latter case, you will need to take much more detailed notes of the participant's responses.]

Do you have any questions that I can answer for you at this point about how the case study will be conducted or what I will be asking you?

[Wait for respondent to reply. If he or she replies that they do not mind being tape recorded, move on. If the respondent has questions, try to address them based on your training in the conduct of this protocol]

Once I have interviewed you, I will give my notes, tapes, and any documentation I have gathered to the InterPARES researchers who will be responsible for analyzing the case study data. They will keep the data in a secure place and personally identifiable data or sensitive system configuration information will not be released to anyone beyond the InterPARES Project researchers. The data will be coded for anonymity and then used to develop a profile of different kinds of electronic records and record-keeping systems, and, ultimately, a records typology.

Can I answer any other questions for you at this point?

[Wait for respondent to reply. If he or she replies that they do not mind being tape recorded, move on. If the respondent has questions, try to address them based on your training in the conduct of this protocol]

Human Subject Consent

Before we progress any further with this interview, I need to go over your rights and what you can expect from us an individual participating in this research study. I would like to reassure you that your participation is completely voluntary and that you have the right to withdraw from the case study at any point. I am now going to give you a human subjects consent form that outlines what I have just gone over with you. I would like you to take a few minutes to read it over, and then, if you don't have any questions, to sign it.

[Give the respondent the human subjects consent form and give him or her time to read it over.]

[Ask the respondent if he or she has any questions. If no, ask the respondent to sign the human subjects consent form, then set it aside in your folder for making a copy to return to the respondent, and then filing of the original with other human subjects' clearances. If yes, try to address the questions based on your training in the conduct of this protocol. If the respondent is reluctant to sign, you will not be able to continue with the case study; thank the respondent for his or her time and conclude the interview.]

Identifying Information

[I would now like to move ahead with the case study questions. I am just going to switch on the tape recorder]

[Switch on tape recorder and briefly test it to make sure that it is recording.]

Skip questions in the *Identifying Information* section for which you already have an answer (i.e. organization name)]

Interview Questions

1. CONTEXT
(see Template 5.1 - 5.4)

[We'll start by considering the context of the electronic system or the records: what activities or processes it supports, and so on.]

1.0   What is the mandate of your agency?

   1.1   Can you describe the business activity in which the information/documents/ records in this electronic system are created and/or used?

         [For example, processing applications for drivers' licenses. Is there more than one business activity to which the information/documents/records in this electronic system relate? – if so, **complete multiple question sheets for 1.1.1 to 1.1.2. Additional copies are provided in Appendix 3 for this purpose.]**

         1.1.1   Is this business activity subject to legal, regulatory, licensing, or accreditation requirements? If yes, which ones?

                     YES   NO

         1.1.2   How do these external requirements affect the creation, form, and content of the record, their authentication, and the way they are organized?

            [At this point, the respondent may want to give very detailed information about the creation, form and content of the records themselves; the interviewer should determine if this is information which will be elicited later in the CSIP. If this happens, the interviewer should try to steer the respondent back to the broader contextual perspective.]

1.2   What does your organizational unit do within the agency/institution?

   1.2.1   How does the organizational unit fit into the larger function or mission of the organization?
[Please ask for a copy of any available organizational charts.]

   1.3   Have there been administrative or functional changes within the organization that have affected the business activity or the procedure for carrying it out since the electronic system was created?

<div align="center">YES   NO</div>

   1.3.1   If yes, what are those changes?

_____

_____

_____

_____

_____

_____

_____

_____

   1.3.2   If yes, how have the information/documents/records created or used in the activity or procedure been affected?

1.3.3   Do you have any documentation of these effects?

YES   NO

[Please ask for copies of any available documentation.]

1.4   Who is the official responsible for the business activity in which the information/documents/records are created or used?

_____

_____

_____

_____

_____

_____

1.4.1   Is this official also responsible for managing the information/documents/records? If not, what is the relationship between the records manager and the official responsible for the business activity in which the information/documents/records are created or used?

YES   NO

_____

_____

_____

_____

1.4.2   Is this official also responsible for the technical support for the electronic system which holds the information/documents/records? If not, what is the relationship between the IT manager and the official responsible for the business activity in which the information/documents/records are created or used?

1.5   Does the system stand alone or is it part of a larger system?

  1.5.1   How do you use the electronic system to support what the organizational unit does?

        1.5.2   Can you describe the steps you go through in the process of doing your business and how you would use the system at each step?

                [At this point it may be helpful if the respondent can sit down in front of screen with you and walk you through the process.]

        1.5.3   Do you make a decision on the basis of what the system displays or do you correlate what you get from the system with additional information?

            1.5.3.1   If you use additional information from where does it come?

    1.6   Is the information/documents/records in this electronic system subject to records management standards or policies? **[Complete multiple question sheets for different types of records, if necessary, for 1.6 and 1.6.1. Additional copies are provided in Appendix 3 for this purpose.]**

                            YES   NO

        1.6.1   Do the records management policies or standards include a classification system?

YES   NO

1.6.2   How is it determined how long the material is kept in the electronic system and who makes that determination?

_____

_____

_____

_____

1.6.2.1   Is there a records retention schedule that regulates how long the information/documents/records are retained in active status, semi-active status and when they are either destroyed or transferred to archives, what criteria are used to establish the retention periods?

[For example, are there specific business or legal requirements that dictate that the material be maintained for a period of time?]

1.6.2.2   If there is a records retention schedule, has it been altered in response to any changes in the business activity or procedure, legal requirements, or regulations?

YES   NO

1.6.2.3   If yes, in which way(s) have the information/documents/records been affected?

1.6.2.4   Do you have documentation of these effects?

                YES   NO

[Please ask for copies of any available documentation.]

1.6.3   Do you have documentation of the process and criteria for determining the retention and final disposition of the information/documents/records in this electronic system?

[e.g., appraisal reports, terms and conditions]

                YES   NO

[Please ask for copies of any available documentation.]

1.6.4   Does the electronic system implement records retention and disposition?

                YES   NO

1.6.4.1   If yes, how?

1.6.4.2   If yes, for how long are the records maintained in the electronic system?

1.6.4.3   For how much of this period are they considered active?

1.7   Can you describe any business or documentary procedures, controls or conventions governing the way in which information can be updated, amended, deleted?

YES   NO

1.7.1   What controls (both procedural and technological) are in place to limit access to the information/documents/records within the electronic system for the purpose of creating, modifying, and deleting them?

1.7.2   Who is allowed to alter information/documents/records that are complete, stable, and unchangeable, and under what circumstances?

1.7.3   Does the electronic system guarantee that information/documents/records are not altered after they are completed?

YES   NO

1.7.3.1   If yes, how?

1.7.3.2   Do users have ways of overriding or getting around these controls?

YES   NO

1.8   Have any system changes or updates retrospectively enforced structural changes upon, or additions of elements within stored or fixed records?

1.9   If elements of a record are stored in different places, is the record brought together as a whole?

YES   NO

1.9.1   If yes, what are the elements and how are they brought together?

_____

_____

_____

1.10   Are there different views of the system content associated with different user roles?

1.11   Can you provide us a schematic that would help us understand how the electronic system works? For example, can you generate this out of the system or sketch a diagram on a piece of paper?

YES   NO

1.11.1   Can you provide us with a data entry or user manual, any instructions about how to create specific outputs, and information about metadata structure and content such as a data elements dictionary, data layout, Document Type Definitions (DTD), or tag library?

2. INTRINSIC ELEMENTS OF FORM

(See Template Section 3)

[The next series of questions relate to the elements of a record that convey the action in which it participates and its immediate context.]

2.1 Can you list or describe the different kinds of records that are created or used in this activity or the procedure for carrying it out?

[For example, in a electronic system related to licenses or grants: applications, award documents, correspondence with awardees, revocations or suspensions; in a correspondence tracking system, a register, log, or tracking system used to manage the correspondence.]

_____

_____

_____

_____

_____

[If there is more than one type of records and they are significantly different, repeat questions 2.2 – 2.15.1 for each activity. Additional copies are provided in Appendix 3 for this purpose.]

2.2 Who has the formal authority to issue a record of this type? This authority might lie with an individual, a position, a role, or an organizational body.

[In other words, who, or which body, assumes ultimate responsibility for issuing each record?]

_____

_____

2.2.1 Is their name included as part of the content of the record?

YES   NO

2.2.1.1 If yes, what form does that name take and where is it located? For example, if a user id is recorded, does that link to another file or directory that maintains the full name of the person?

_____

_____

2.2.1.2 If yes, is it visible to end users?

YES   NO

2.2.2 If the name is not included in the record, does the record include any other indication of the identity of the author, such as title or user account name?

YES   NO

2.2.3 If the author's identity is not indicated in the record, is it elsewhere in the electronic system, and is it linked to the content of the record?

YES   NO

2.2.4 Does the electronic system include any method to ensure that only someone with the proper authority can issue this type of record?

YES   NO

2.2.4.1 If yes, how?

_____

_____

_____

_____

_____

2.3 Which individual or corporate entity owns the electronic address where records are sent or received?

_____

_____

_____

2.3.1 Is the owner's name included as part of the content of the record?

YES   NO

2.3.1.1 If yes, where?

_____
_____
_____

2.3.1.2   If yes, is it visible to end users?

YES   NO

2.3.2   If the name is not included in the record, does the record include any other indication of the identity of the originator, such as title or user account name?

_____
_____
_____
_____

2.3.3   If the identity is not indicated in the record, is it elsewhere in the electronic system?

YES   NO

2.3.4   If the identity is not indicated in the record, but is indicated elsewhere in the electronic system, is it linked to the content of the record?

YES   NO

2.4   Is the date of compilation of the record included in the record?

YES   NO

2.5   Is the time of day also included in the record?

YES   NO

2.6   If the date is not included in the record, is it captured anywhere else, or can it be ascertained from the electronic system in some other way?

YES   NO

SPECIFY: _____

_____

_____

2.7   If the date is included, is it captured automatically or at user discretion?

_____

_____

_____

2.8   Is the geographical place where the record is made included as part of the content of the record?

YES   NO

2.8.1   If not, does it appear anywhere else or can it in some other way be ascertained from the electronic system?

YES   NO

SPECIFY: _____

_____

_____

_____

2.9   For which individual or corporate entities are the records intended?

_____

_____

_____

_____

_____

 2.9.1   Is/are the name(s) of the intended addressee(s) included in the record?

YES   NO

 2.9.1.1   If yes, are names visible to the end user? Please explain.

 2.9.2   If the record does not include the name(s), does the record include any other indication of the identity of the addressee(s), such as title(s), user account name(s), or names of distribution lists?

YES   NO

 2.9.3   If the identify is included, where?

_____

_____

_____

 2.9.3.1   If the identity is not included in the record, how is it linked to the record?

_____

_____

_____

_____

2.10   Does anyone else receive copies of the records in addition to the addressee?

YES   NO

2.10.1 Does (Do) the receiver(s) get copies of the full record, or only of part of it?

FULL RECORD   PART

2.10.2 Are the name(s) of receivers included in the record?

YES   NO

2.10.2.1   If yes, are names visible to the end user? Please explain.

2.10.3 If the record does not include the name(s), does the record include any other indication of the identity of the receiver(s), such as title(s), user account name(s), or names of distribution lists?

YES   NO

SPECIFY: _____
_____

2.10.4 If the identity is included in the record, where in the record is it included?
_____
_____

2.10.5 If the identity is not indicated in the record, how is it linked to the content of the record?
_____
_____

2.11   Is the subject matter of the record expressed or implied in any way?

YES   NO

2.11.1   If yes, please describe how.

2.11.2   Does the electronic system include any method for ensuring that the subject is correctly expressed?

YES   NO

SPECIFY: _____

_____

_____

_____

2.12   Why is it necessary to make this record, as opposed to communicating what it says in some less formal way, such as orally?

_____

_____

_____

_____

_____

_____

2.12.1   Can you describe where the content of the record comes from?

_____

_____

_____

2.12.2   Is the content entered directly by someone or is any of it extracted from this electronic system or other systems?

DIRECTLY   EXTRACTED

2.12.2.1   What, if any, of the content is derived from data in an electronic system?

_____

_____

_____

_____

2.12.2.2   If any of the content is derived from data in an electronic system, is it inserted in the record automatically?

YES   NO

2.12.2.3   If any of the content is drawn from one or more other electronic systems, can you identify the system(s)?

2.12.3   Is any of the content compiled from other source(s) external to the electronic system?

[For example, a questionnaire or an application form.]

YES   NO

SPECIFY

2.12.4   Is there a point in time when the content of the record is complete, stable and unchangeable?

YES   NO

2.12.4.1   If there is not such a point in time, in what way is the content changed: by addition of new content or by deletion or substitution

of existing content?

_____

_____

_____

_____

    2.12.4.2   If the content is changed, is it changed by the system or is it changed by manual user input?

               SYSTEM   USER

2.13   Who decides what data or information is included in the record and how it is presented?

_____

_____

_____

    2.13.1   Is the name, or other identifier, of the writer included in the record?

               YES   NO

    2.13.1.1   If yes, where?

_____

_____

_____

    2.13.1.2   If yes, is it visible to the end user?

               YES   NO

    2.13.1.3   If no, is the name of the writer anywhere in the electronic system and is it linked to the content of the record?

YES   NO

2.13.2   Are the title and/or the responsibility of the writer part of the content of the record? Where?

YES   NO

SPECIFY: _____

_____

_____

_____

2.13.3   If the title and/or the responsibility of the writer are not included in the record, where do you need to look to get that information?

_____

_____

_____

2.14   Is there any statement in the record that expresses and guarantees that the record can be trusted?

[For example, this record has been issued under the Seal of the University of California?]

YES   NO

SPECIFY: _____

_____

_____

2.15   Is there a declaration of title and/or responsibility on the record?

YES   NO

2.15.1   If yes, where?

_____

_____

_____

_____

_____

3. EXTRINSIC ELEMENTS OF FORM
(See Template 2)

[The next set of questions relates to how the record is written and how it is presented for use. **Use multiple question sheets for 3.1-3.2.1.1 if more than one record type is present. Additional copies are provided in Appendix 3 for this purpose.** *]*

3.1 What is the human language(s) used in the record?

[For example, French or English, mathematical, a combination of more than one of these.]

_____

_____

3.1.1 Are there any requirements that relate to which or how language is used for any elements within the records?

[For example, translation of certain words or data into another language?]

YES   NO

3.1.2 Are there controls or conventions governing the way in which information must be entered?

[For example, standardized forms]

YES   NO

3.1.2.1 If so, can you tell me what are the source(s) of these controls and conventions?

[For example, ISO 9000, standard operating procedures, systems design, international standards for creating the records, local conventions and procedures.]

_____

_____

_____

3.1.2.2   Are there formulaic or boilerplate phrases, paragraphs and clauses that are used in compiling the record?

                    YES   NO

3.1.2.3   If so, can you explain when such formulaic text might be required, conditional, or optional?

_____

_____

_____

3.1.2.4   Are you using a controlled vocabulary in the course of creating these records?
[In other words, when you create records, do you use any required or specialized vocabulary or a specified set of terms, codes or abbreviations?]

                    YES   NO

3.1.2.5   Are there any other limitations upon what you can enter in the record?

                    YES   NO

3.1.2.6   Can you describe how any of these limitations are enforced by the electronic system?

[for example, maximum field length, formatting requirements, validity checks, integrity requirements, lookup tables or drop down lists, valid ranges]

[The respondent may likely indicate that there are different limitations in place for different data elements within the record]

_____

_____

_____

_____

_____

_____

3.1.2.7   Does any document that outlines these limitations exist?

YES   NO

[Please ask for copies of any available documentation.]

3.1.2.8   Can the records creator or any other user bypass or in any way get around the controls, conventions, or limitations?

YES   NO

SPECIFY: _____

_____

_____

3.2   How is the content of the record presented to humans?

[For example, words, numbers, drawings, images, sound, or a combination of one or more of these?]

_____

_____

_____

3.2.1   In order to achieve the purpose for which it is created, does the record need to have a specific appearance (or sound in the case of an audio record?)

YES   NO

    3.2.1.1   If yes, describe these characteristics

_____

_____

_____

_____

_____

_____

_____

3.3   Are logos or official crests used on records in this electronic system?

YES   NO

    3.3.1   If so, are they used for all records or only for a selection of records?

ALL   SELECTION

    3.3.2   If only a selection, which records have logos or official crests and for what reasons?

_____

_____

_____

_____

    3.3.2.1   Do you receive electronic records from outside individuals or organizations that contain logos or official crests?

YES   NO

    3.3.2.1.1   If so, how do you handle them?

_____

_____

_____

_____

_____

3.4   Are digital watermarks used on records in this electronic system?

YES   NO

3.4.1   If so, are they used for all records or only for a selection of records?

ALL   SELECTION

3.4.2   If only a selection, which records have digital watermarks and for what reasons?

_____

_____

_____

_____

_____

_____

3.4.2.1   Do you receive records from outside individuals or organizations that contain digital watermarks?

YES   NO

3.4.2.1.1   If so, how do you handle the digital watermarks?

_____

_____

_____

_____

_____

3.5   Does the electronic system support digital signatures?

YES   NO

    3.5.1   If yes, when are they used?

_____
_____
_____
_____
_____

3.6   Do you receive records from outside individuals or organizations that contain digital signatures?

YES   NO

    3.6.1   If yes, how do you handle the digital signatures?

_____
_____
_____
_____
_____
_____

3.7   Are digital time-stamps assigned by a Trusted Third Party used on records in this electronic system?

YES   NO

    3.7.1   If yes, when are they used?

_____
_____
_____

    3.7.2   If yes, are they used alone or in conjunction with digital signatures?

ALONE   IN CONJUNCTION

3.7.3   Do you receive records from outside individuals or organizations that contain digital time-stamps?

YES   NO

3.7.3.1   If yes, how do you handle them?

_____

_____

_____

_____

_____

_____

3.8   Are any other kinds of electronic signatures used? If so, name them.

YES   NO

_____

_____

_____

3.9   Could you describe the method of formal (i.e., external) certification, if any, that is used for the electronic records in this system?

_____

_____

_____

_____

_____

3.9.1   If so, is such method(s) used in conjunction with digital time stamps, signatures or watermarks?

YES   NO

SPECIFY:

_____

_____

3.9.1.1   Who is responsible for certifying what?

_____

_____

_____

_____

3.9.1.2   Is there any government or professional body with whom certifiers are required to register?

YES   NO

3.9.1.3   Are any of these methods required by law or other form of regulatory authority?

[For example, professional licensing association such as the bar or state medical association, an accrediting agency, or a contractual obligation.]

YES   NO

3.9.1.3.1   Can you specify the source of this requirement, such as the name of the law?

_____

3.10   Are any mechanisms used on records in this electronic system to embed hidden codes or messages, such as steganographic tools?

YES   NO

3.10.1   If so, what records are they used for?

_____

_____

_____

3.10.1.1   If only used for a selection of records, on which records are these mechanisms used and for what reasons?

_____

_____

_____

4. ANNOTATIONS

(See Template 4)

[Use multiple question sheets for all of section 4 if more than one record type is present. Additional copies are provided in Appendix 3 for this purpose.]

4.1   Does the electronic system or the user have the capacity to add elements to a record after it has been made or received either as part of the formal execution phase of an administrative procedure, or for the purpose of handling the business matter to which the record relates, or for records management purposes? [*Most annotations fall into the second and third categories*]

YES   NO

[If elements are added, identify each element and its form according to one of the following categories:]

Category 1 annotations are additions made to the record after its compilation as part of the execution phase of an administrative procedure. Normally this sort of annotation is used only for the authentication and registration of legal records whose form is required by law. Examples of category 1 annotations are the registration number added to a land deed by the land registry office, or the statement of the authenticity of the signatures in a will. For specific types of electronic records, namely, electronic mail records, the date, time, and place of transmission, and the indication of attachments are also considered category 1 annotations.

Category 2 annotations are additions to the record made in the course of handling the business matter in which the record participates. These annotations reflect subsequent actions taken after the creation of the record *to handle the activity or the matter* in which the record participates. Examples of category 2 annotations are: name of handling office, comments, notes and dates of transmission to other offices, or any other addition made to the record in the course of handling the business matter in which the record participates.

Category 3 annotations are additions to the record made in the course of handling the records for records management purposes. These annotations reflect subsequent actions taken after the compilation of the record *to handle the record*. Examples of category 3 annotations are a classification code, registration number, draft/version number, cross-references to other records, or any other addition that is made to the record for records management purposes.

[Additional copies of the category sections are provided in the Appendix 3 for this purpose]

Category 1. Added as part of the formal execution phase of an administrative procedure

4.1.1.1 Does the electronic system or the user add the element?

SYSTEM   USER

4.1.1.1.1 How?

_____

_____

_____

_____

4.1.1.2 What form does the element take?

_____

_____

_____

4.1.1.3 When is the element added?

_____

_____

_____

4.1.1.4   How is the element embedded or linked to the record?

_____

_____

      4.1.1.4.1   If it is linked, is possible to import the element into the content of the record?

           YES   NO

4.1.1.5   Once the element has been added, can it be altered or deleted?

           YES   NO

      4.1.1.5.1   How?

_____

_____

4.1.1.6   Is this element required by law; external regulations; licensing, or accrediting bodies; internal administrative regulations; or by the business process in which the record participates?

           YES   NO

SPECIFY: _____

_____

_____

Category 2. Added in the course of handling the activity or matter in which the record participates

4.1.2.1   Does the electronic system or the user add the element?

SYSTEM   USER

4.1.2.1.1   How?

_____

_____

_____

4.1.2.2   What form does the element take?

_____

_____

_____

_____

4.1.2.3   When is the element added?

_____

_____

_____

4.1.2.4   How is the element embedded or linked to the record?

_____

_____

_____

_____

4.1.2.4.1   If it is linked, is possible to import the element into the content of the record?

YES   NO

4.1.2.5   Once the element has been added, can it be altered or deleted?

YES   NO

4.1.2.5.1 How?

_____

_____

_____

4.1.2.6   Is this element required by law; external regulations; licensing, or accrediting bodies; internal administrative regulations; or by the business process in which the record participates?

YES   NO

Category 3. Added in the course of handling the records for records management purposes

4.1.3.1   Does the electronic system or the user add the element?

YES   NO

4.1.3.1.1 How?

_____

_____

_____

4.1.3.2   What form does the element take?

_____

_____

4.1.3.3   When is the element added?

_____

_____

4.1.3.4   How is the element embedded or linked to the record?

_____
_____
_____
_____
_____

4.1.3.4.1   If it is linked, is possible to import the element into the content of the record?

YES   NO

4.1.3.5   Once the element has been added, can it be altered or deleted?

YES   NO

4.1.3.5.1   How?

_____
_____
_____
_____

4.1.3.6   Is this element required by law; external regulations; licensing, or accrediting bodies; internal administrative regulations; or by the business process in which the record participates?

YES   NO

SPECIFY: _____

_____
_____

4.1.4   Are any of the annotations in the three categories used to verify the authenticity of the records? If so, indicate which ones.

YES   NO

_____
_____
_____
_____
_____
_____

4.1.5   Are there any annotations that are always added to every record?

[For example, an indication of the priority of transmission or handling.]

YES   NO

SPECIFY: _____
_____
_____
_____
_____

4.1.5.1   Are these annotations added by the user or by the electronic system?

SYSTEM   USER

5. MEDIUM & TECHNOLOGICAL CONTEXT
(Template Sections 1 & 5.5)

[This section will likely need to be completed with the assistance of the technical staff responsible for the design and maintenance of the electronic system. It will speed up the process if the person conducting the case studies gets copies of technical documentation about the system in advance and completes as much as he/she is able of this section before the interview. If this is done, then the interviewer should be able merely to verify any previously completed answers with the respondent.

If the respondent does not want to address the technical questions, skip to the end of the case study questions, thank the respondent, and conclude the interview.]

[This is the last section of the case study questions, and it refers to the technological context within which the information/documents/records were created. If you do not feel qualified to answer these questions, could you please give me the name or names of persons whom I might ask?]

5.1   Is the electronic system(s) subject to technical standards established by the (parent) organization for all electronic systems*?*

[For example, an information architecture, data standards, specifications of hardware and/or software.]

5.1.1   Has the electronic system been designed to conform to recordkeeping standards such as DOD or ISO 9000 recordkeeping standards?

YES   NO

5.1.2   If yes, can you describe any additional customization of the recordkeeping software that might affect how the standard is implemented?

5.5   Is a copy of the live record/data stored separately for security/recovery purposes, i.e., as a protective measure against the possibility of catastrophic loss?

5.5.1.1 How long is the record/data stored for security/recovery purposes before it is overwritten?

5.5.2 Other than for security/recovery purposes, is the live record/data transferred to off-line tapes or disks at periodic intervals for the purpose of ensuring its permanent or long-term preservation?

5.5.2.1 If yes, please explain the procedure for such transfer and the action that triggers it (unless this has already been answered in Section 1).

5.5.3 Are there any other provisions for ensuring the long-term preservation of the record/data?

5.14 Does your institution or unit have any labeling or file naming conventions that you are required or recommended to use?

YES   NO

5.35 Do you preserve the schemas, diagrams, etc. of the previous electronic system(s) and how the records/data were previously configured?

YES   NO

5.35.1 If yes, how?

5.36 Do you have export paths or other obsolescence strategies to deal with these dependencies?

YES   NO

5.37   What procedures, processes, and controls are in place to identify or track any alteration or deletion of data/documents/records that occurs in the course of system administration?

_____

_____

_____

5.38   Are there any security controls implemented for the electronic system?

[For examples, password protection, voice-print detection]

YES   NO

SPECIFY: _____

_____

_____

_____

5.38.1   If yes, at what level?

[For example, at the application level, OS level, or driver level (Are there security controls to prevent unauthorized access to the records/data without using the application software that created or managed it?)]

_____

_____

_____

_____

5.38.2   For each level, list any existing user domains or security-access levels.

Annex A: Case Study Cover Letter Template

<INTERPARES LETTERHEAD>

<DATE>

Dear : <NAME OF PERSON RESPONSIBLE FOR SYSTEM>

I am writing to inform you about important research currently underway and to request your assistance in gathering critical data. InterPARES is a three-year project involving an inter-disciplinary team of academic researchers, national and university archives, government agencies, and the corporate sector drawn from countries in North America, Europe, Asia, and Australia. <IDENTIFY THE INDIVIDUAL(S) WITHIN YOUR OWN INSTITUTION WHO IS PARTICIPATING IN INTERPARES, *e.g., InterPARES research is being undertaken at UCLA by Profs. Anne Gilliland-Swetland and Michèle Cloonan from the Department of Information Studies*>. The project is investigating techniques for identifying and addressing requirements for preserving authentic records in electronic systems. Project funding agencies include the Canadian Social Science and Humanities Research Council, the U.S. National Historical Publications and Records Commission, the National Archives and Records Administration of the United States, and the Italian National Research Council.

The information technology revolution has dramatically altered the way in which governments, corporations, and individuals communicate and carry out their daily activities. As by-products of these activities, records often need to be preserved, sometimes permanently, for operational, legal or historical reasons. The preservation of records created in electronic systems has proven to be problematic, however, given the rapid cycles of technological obsolescence, storage media fragility, and the challenge of guaranteeing the authenticity of electronic records over the long-term.

To better understand the specific functionality and requirements of existing electronic recordkeeping and information systems, InterPARES researchers are conducting extensive case studies over the next two years of different types of systems in a range of organizational settings. In looking at the recordkeeping activities of <NAME OF INSTITUTION/AGENCY> we have identified the <INSERT NAME OF INFORMATION OR RECORD-KEEPING SYSTEM> maintained by your <AGENCY/OFFICE> as an excellent example of a complex, mission-critical electronic system and are requesting your permission to use it as a case study.

The case study would involve meeting with the person or persons responsible for the system to identify those technical staff and records creators who would be most knowledgeable about the technical aspects and business processes associated with the design, maintenance, functionality, and use of the system. One of the project researchers would set up appointments and interview each person identified about his or her knowledge of the system (we anticipate that each interview would take approximately two hours). The interview data would then be coded and analyzed and used to develop appropriate techniques for preserving authentic records in systems such as that examined in the case study. When the data are compiled, abstracts of case studies as well as copies of InterPARES research findings and recommendations will be given to case study participants.

I hope that you will consider participating in this study and will contact you in the next few days to follow up on this letter. I look forward to discussing this research further with you, but in the meantime, you can find further information about InterPARES online at http://www.interpares.org.

Sincerely,

<YOUR NAME, TITLE, & INSTITUTIONAL AFFILIATION, TELEPHONE NUMBER & E-MAIL ADDRESS>

Annex B: Interview Feedback Form

1. Please describe the process you went through in order to identify the people you interviewed.

   _____

   _____

   _____

   _____

   _____

   _____

   _____

   _____

   _____

2. How many people did you interview?

   _____

   _____

3. How long did the interview take?

   _____

4. Did the interviewee bring up anything to which you were unsure how to respond? If so, please describe.

   _____

   _____

   _____

   _____

   _____

   _____

   _____

   _____

5. Are there any questions that you feel should be added to the case study interview? If so, please describe.

   _____

   _____

   _____

   _____

   _____

   _____

6. Were there any questions that did not seem to yield useful responses from any of

the people you interviewed? If so, please describe.

_____
_____
_____
_____
_____
_____
_____
_____
_____
_____
_____
_____

7. Do you have any comments on how the case study interview could be made more effective and/or productive?

_____
_____
_____
_____
_____
_____
_____
_____
_____
_____
_____
_____
_____
_____
_____
_____
_____

Annex C: Repeatable Interview Sections

This appendix contains additional question forms for those sections in the interview which may be repeated a number of times. These sections should be copied as necessary and inserted in the appropriate section of this document. The following pages do not contain page numbers to facilitate this task.

They are:

1. Questions 1.1.1 - 1.1.2
2. Questions 1.6 - 1.6.1
3. Questions 2-2.15.1
4. Questions 3.1 – 3.2.1.1
5. Questions 4.1 - 4.1.5.1

1.1.1   Is this business activity subject to legal, regulatory, licensing, or accreditation requirements? If yes, which ones?

YES   NO

1.1.2   How do these external requirements affect the creation, form, and content of the record, their authentication, and the way they are organized?

[At this point, the respondent may want to give very detailed information about the creation, form and content of the records themselves; the interviewer should determine if this is information which will be elicited later in the CSIP. If this happens, the interviewer should try to steer the respondent back to the broader contextual perspective.]

1.6   Is the information/documents/records in this electronic system subject to records management standards or policies? **[Complete multiple question sheets for different types of records, if necessary, for 1.6 and 1.6.1. Additional copies are provided in Appendix 3 for this purpose.]**

                       YES   NO

1.6.1   Do the records management policies or standards include a classification system?

                       YES   NO

2.2   Who has the formal authority to issue a record of this type? This authority might lie with an individual, a position, a role, or an organizational body.

[In other words, who, or which body, assumes ultimate responsibility for issuing each record?]

_____

_____

2.2.1   Is their name included as part of the content of the record?

YES   NO

2.2.1.1   If yes, what form does that name take and where is it located? For example, if a user id is recorded, does that link to another file or directory that maintains the full name of the person?

_____

_____

2.2.1.2   If yes, is it visible to end users?

YES   NO

2.2.2   If the name is not included in the record, does the record include any other indication of the identity of the author, such as title or user account name?

YES   NO

2.2.3   If the author's identity is not indicated in the record, is it elsewhere in the electronic system, and is it linked to the content of the record?

YES   NO

2.2.4   Does the electronic system include any method to ensure that only

someone with the proper authority can issue this type of record?

YES   NO

   2.2.4.1   If yes, how?

   _____

   _____

   _____

   _____

   _____

2.3   Which individual or corporate entity owns the electronic address where records
      are sent or received?

   _____

   _____

   _____

   2.3.1   Is the owner's name included as part of the content of the record?

YES   NO

      2.3.1.1   If yes, where?

      _____

      _____

      _____

      2.3.1.2   If yes, is it visible to end users?

YES   NO

   2.3.2   If the name is not included in the record, does the record include any
           other indication of the identity of the originator, such as title or user

account name?

_____

_____

_____

_____

2.3.3   If the identity is not indicated in the record, is it elsewhere in the electronic system?

YES   NO

2.3.4   If the identity is not indicated in the record, but is indicated elsewhere in the electronic system, is it linked to the content of the record?

YES   NO

2.4   Is the date of compilation of the record included in the record?

YES   NO

2.5   Is the time of day also included in the record?

YES   NO

2.6   If the date is not included in the record, is it captured anywhere else, or can it be ascertained from the electronic system in some other way?

YES   NO

SPECIFY: _____

_____

_____

2.7   If the date is included, is it captured automatically or at user discretion?

_____

_____

_____

2.8   Is the geographical place where the record is made included as part of the content of the record?

                         YES   NO

2.8.1   If not, does it appear anywhere else or can it in some other way be ascertained from the electronic system?

                         YES   NO

SPECIFY: _____

_____

_____

_____

2.9   For which individual or corporate entities are the records intended?

_____

_____

_____

_____

_____

2.9.1   Is/are the name(s) of the intended addressee(s) included in the record?

                         YES   NO

2.9.1.1   If yes, are names visible to the end user? Please explain.

2.9.2 If the record does not include the name(s), does the record include any other indication of the identity of the addressee(s), such as title(s), user account name(s), or names of distribution lists?

YES   NO

2.9.3 If the identify is included, where?

_____

_____

_____

2.9.3.1 If the identity is not included in the record, how is it linked to the record?

_____

_____

_____

_____

2.10 Does anyone else receive copies of the records in addition to the addressee?

YES   NO

2.10.1 Does (Do) the receiver(s) get copies of the full record, or only of part of it?

FULL RECORD   PART

2.10.2 Are the name(s) of receivers included in the record?

YES   NO

2.10.2.1 If yes, are names visible to the end user? Please explain.

2.10.3 If the record does not include the name(s), does the record include any other indication of the identity of the receiver(s), such as title(s), user

account name(s), or names of distribution lists?

YES   NO

SPECIFY: _____

_____

2.10.4   If the identity is included in the record, where in the record is it included?

_____

_____

2.10.5   If the identity is not indicated in the record, how is it linked to the content of the record?

_____

_____

2.11   Is the subject matter of the record expressed or implied in any way?

YES   NO

2.11.1   If yes, please describe how.

2.11.2   Does the electronic system include any method for ensuring that the subject is correctly expressed?

YES   NO

SPECIFY: _____

_____

_____

2.12   Why is it necessary to make this record, as opposed to communicating what it says in some less formal way, such as orally?

_____
_____
_____
_____
_____
_____
_____

2.12.1   Can you describe where the content of the record comes from?

_____
_____
_____

2.12.2   Is the content entered directly by someone or is any of it extracted from this electronic system or other systems?

DIRECTLY   EXTRACTED

2.12.2.1   What, if any, of the content is derived from data in an electronic system?

_____
_____
_____

2.12.2.2   If any of the content is derived from data in an electronic system, is it inserted in the record automatically?

YES   NO

2.12.2.3   If any of the content is drawn from one or more other electronic systems, can you identify the system(s)?

2.12.3   Is any of the content compiled from other source(s) external to the electronic system?

[For example, a questionnaire or an application form.]

YES   NO

SPECIFY

2.12.4   Is there a point in time when the content of the record is complete, stable and unchangeable?

YES   NO

2.12.4.1   If there is not such a point in time, in what way is the content changed: by addition of new content or by deletion or substitution of existing content?

_____

_____

_____

_____

2.12.4.2   If the content is changed, is it changed by the system or is it changed by manual user input?
             SYSTEM   USER

2.13   Who decides what data or information is included in the record and how it is presented?

_____

_____

_____

2.13.1   Is the name, or other identifier, of the writer included in the record?

                    YES   NO

2.13.1.1   If yes, where?

_____

_____

_____

2.13.1.2   If yes, is it visible to the end user?
                    YES   NO

2.13.1.3   If no, is the name of the writer anywhere in the electronic system and is it linked to the content of the record?

                    YES   NO

2.13.2   Are the title and/or the responsibility of the writer part of the content of the record? Where?

                    YES   NO

SPECIFY: _____

_____

_____

2.13.3   If the title and/or the responsibility of the writer are not included in the record, where do you need to look to get that information?

2.14   Is there any statement in the record that expresses and guarantees that the record can be trusted?

[For example, this record has been issued under the Seal of the University of California?]

<div align="center">YES   NO</div>

SPECIFY: _____

2.15   Is there a declaration of title and/or responsibility on the record?

<div align="center">YES   NO</div>

2.15.1   If yes, where?

3.1   What is the human language(s) used in the record?

[For example, French or English, mathematical, a combination of more than one of these.]

_____

_____

_____

3.1.1   Are there any requirements that relate to which or how language is used for any elements within the records?

[For example, translation of certain words or data into another language?]
             YES   NO

3.1.2   Are there controls or conventions governing the way in which information must be entered?

[For example, standardized forms]

             YES   NO

3.1.2.1   If so, can you tell me what are the source(s) of these controls and conventions?

[For example, ISO 9000, standard operating procedures, systems design, international standards for creating the records, local conventions and procedures.]

_____

_____

_____

3.1.2.2   Are there formulaic or boilerplate phrases, paragraphs and clauses that are used in compiling the record?

YES   NO

3.1.2.3 If so, can you explain when such formulaic text might be required, conditional, or optional?

_____

_____

_____

3.1.2.4 Are you using a controlled vocabulary in the course of creating these records?
[In other words, when you create records, do you use any required or specialized vocabulary or a specified set of terms, codes or abbreviations?]

YES   NO

3.1.2.5 Are there any other limitations upon what you can enter in the record?

YES   NO

3.1.2.6 Can you describe how any of these limitations are enforced by the electronic system?

[for example, maximum field length, formatting requirements, validity checks, integrity requirements, lookup tables or drop down lists, valid ranges]

[The respondent may likely indicate that there are different limitations in place for different data elements within the record]

_____

_____

_____

_____

_____

_____

3.1.2.7   Does any document that outlines these limitations exist?

YES   NO

[Please ask for copies of any available documentation.]

3.1.2.8   Can the records creator or any other user bypass or in any way get around the controls, conventions, or limitations?

YES   NO

SPECIFY: _____

_____

_____

3.2   How is the content of the record presented to humans?

[For example, words, numbers, drawings, images, sound, or a combination of one or more of these?]

_____

_____

3.2.1   In order to achieve the purpose for which it is created, does the record need to have a specific appearance (or sound in the case of an audio record?)

YES   NO

3.2.1.1   If yes, describe these characteristics

4.1   Does the electronic system or the user have the capacity to add elements to a record after it has been made or received either as part of the formal execution phase of an administrative procedure, or for the purpose of handling the business matter to which the record relates, or for records management purposes? [*Most annotations fall into the second and third categories*]

YES   NO

[If elements are added, identify each element and its form according to one of the following categories:]

Category 1 annotations are additions made to the record after its compilation as part of the execution phase of an administrative procedure. Normally this sort of annotation is used only for the authentication and registration of legal records whose form is required by law. Examples of category 1 annotations are the registration number added to a land deed by the land registry office, or the statement of the authenticity of the signatures in a will. For specific types of electronic records, namely, electronic mail records, the date, time, and place of transmission, and the indication of attachments are also considered category 1 annotations.

Category 2 annotations are additions to the record made in the course of handling the business matter in which the record participates. These annotations reflect subsequent actions taken after the creation of the record *to handle the activity or the matter* in which the record participates. Examples of category 2 annotations are: name of handling office, comments, notes and dates of transmission to other offices, or any other addition made to the record in the course of handling the business matter in which the record participates.

Category 3 annotations are additions to the record made in the course of handling the records for records management purposes. These annotations reflect subsequent actions taken after the compilation of the record *to handle the record*. Examples of category 3 annotations are a classification code, registration number, draft/version number, cross-references to other records, or any other addition that is made to the record for records management purposes.

[Additional copies of the category sections are provided in the Appendix 3 for this purpose]

Category 1. Added as part of the formal execution phase of an administrative procedure

4.1.1.1   Does the electronic system or the user add the element?

SYSTEM   USER

4.1.1.1.1   How?

_____

_____

_____

_____

4.1.1.2   What form does the element take?

_____

_____

_____

4.1.1.3   When is the element added?

_____

_____

_____

4.1.1.4   How is the element embedded or linked to the record?

_____

_____

4.1.1.4.1   If it is linked, is possible to import the element into the content of the record?

YES   NO

4.1.1.5   Once the element has been added, can it be altered or deleted?

YES   NO

4.1.1.5.1   How?

_____

_____

_____

4.1.1.6   Is this element required by law; external regulations; licensing, or accrediting bodies; internal administrative regulations; or by the business process in which the record participates?

YES NO

SPECIFY: _____

_____

_____

_____

Category 2. Added in the course of handling the activity or matter in which the record participates

4.1.2.1 Does the electronic system or the user add the element?

SYSTEM USER

4.1.2.1.1 How?

_____

_____

_____

4.1.2.2 What form does the element take?

_____

_____

_____

_____

4.1.2.3 When is the element added?

_____

_____

4.1.2.4 How is the element embedded or linked to the record?

_____

_____

_____

_____

4.1.2.4.1   If it is linked, is possible to import the element into the content of the record?

YES   NO

4.1.2.5   Once the element has been added, can it be altered or deleted?

YES   NO

4.1.2.5.1   How?

_____

_____

_____

4.1.2.6   Is this element required by law; external regulations; licensing, or accrediting bodies; internal administrative regulations; or by the business process in which the record participates?

YES   NO

Category 3. Added in the course of handling the records for records management purposes

4.1.3.1   Does the electronic system or the user add the element?

YES   NO

4.1.3.1.1   How?

_____

_____

_____

_____

4.1.3.2 What form does the element take?

_____

_____

4.1.3.3 When is the element added?

_____

_____

4.1.3.4 How is the element embedded or linked to the record?

_____

_____

_____

_____

4.1.3.4.1 If it is linked, is possible to import the element into the content of the record?

YES   NO

4.1.3.5 Once the element has been added, can it be altered or deleted?

YES   NO

4.1.3.5.1 How?

_____

_____

_____

4.1.3.6 Is this element required by law; external regulations; licensing, or accrediting bodies; internal administrative regulations; or by the business process in which the record participates?

YES   NO

SPECIFY: _____

_____

_____

4.1.4   Are any of the annotations in the three categories used to verify the authenticity of the records? If so, indicate which ones.

YES   NO

_____

_____

_____

_____

_____

_____

4.1.5   Are there any annotations that are always added to every record?

[For example, an indication of the priority of transmission or handling.]

YES   NO

SPECIFY: _____

_____

_____

_____

4.1.5.1   Are these annotations added by the user or by the electronic system?

SYSTEM   USER