



# **InterPARES 2 Project**

**International Research on Permanent Authentic Records in Electronic Systems**

*International Research on Permanent Authentic  
Records in Electronic Systems (InterPARES) 2:  
Experiential, Interactive and Dynamic Records*

## **APPENDIX 7**

### **Diplomatic Analysis Template**

**Status:** Final (public)

**Version:** Electronic

**Publication Date:** 2008

**Project Unit:** Focus Task Force

**URL:** [http://www.interpares.org/display\\_file.cfm?doc=ip2\\_book\\_appendix\\_07.pdf](http://www.interpares.org/display_file.cfm?doc=ip2_book_appendix_07.pdf)

**How to Cite:** Focus Task Force, "Appendix 07: Diplomatic Analysis Template," [electronic version] in *International Research on Permanent Authentic Records in Electronic Systems (InterPARES) 2: Experiential, Interactive and Dynamic Records*, Luciana Duranti and Randy Preston, eds. (Padova, Italy: Associazione Nazionale Archivistica Italiana, 2008).  
<[http://www.interpares.org/display\\_file.cfm?doc=ip2\\_book\\_appendix\\_07.pdf](http://www.interpares.org/display_file.cfm?doc=ip2_book_appendix_07.pdf)>

# Diplomatic Analysis Template

## Diplomatic Analysis

### CS[##] [Title of Case Study] Case Study

#### **INTRODUCTION**

Paragraph 1<sup>1</sup> - The InterPARES case study # ...

Paragraph 2<sup>2</sup> - The ... project/program/system/database ...

Paragraph 3<sup>3</sup> - The following text presents the results of the diplomatic analysis on the digital entity identified in the case study report. The purpose of the diplomatic analysis is to assess the status of the identified digital entity as record, and based on the analysis, Domain 3 of InterPARES 2 could propose applicable preservation strategies. The digital entity identified in the case study report is ... This diplomatic analysis therefore centers on the identification of the [digital entity] as record.

#### **IDENTIFICATION OF RECORD(S)**

The current version of the InterPARES glossary definition of record defines a record<sup>4</sup> as “a document made or received in the course of a practical activity as an instrument or a by-product of such activity, and set aside for action or reference.”<sup>5</sup> This definition implies that, to be considered as a record, a digital entity must comprise five indispensable elements: fixed content and form, embedded action, archival bond, persons and contexts, the establishment of which is based on diplomatic analysis, archival science and findings from InterPARES. The application of the definition on the [digital entity] is therefore analyzed accordingly:

**1. TO BE IDENTIFIED AS A RECORD, THE DIGITAL ENTITY MUST POSSESS FIXED CONTENT AND FORM,<sup>6</sup> AND BE AFFIXED TO A STABLE MEDIUM (OR PHYSICAL CARRIER).**

- The content of the [digital entity] is fixed or not and why
- The documentary form<sup>7</sup> of the [digital entity] is fixed or not and why

---

<sup>1</sup> Introduction to the case study.

<sup>2</sup> Introduction to the case study subject.

<sup>3</sup> Introduction to the diplomatic analysis, including the indication of the subject of the diplomatic analysis, i.e., the digital entity in the report that needs to be analyzed.

<sup>4</sup> Current version of the definition of record as assessing criterion, which starts the process of analyzing the 5 components.

<sup>5</sup> Glossary definitions, in Terminology Database, accessible through the InterPARES website research restricted area.

<sup>6</sup> The InterPARES1 Authenticity Task Force has defined fixed form as the following: 1) binary content of the record, including indicators of documentary form, must be stored in a manner that ensures it remains complete and unaltered, and 2) technology must be maintained and procedures defined and enforced to ensure that the content is presented or rendered with the same documentary form it had when set aside. (See ATF Research Methodology Statement, available at: [http://www.interpares.org/documents/interpares\\_ResearchMethodologyStatement.pdf](http://www.interpares.org/documents/interpares_ResearchMethodologyStatement.pdf)).

<sup>7</sup> Definition of documentary form from Glossary Definitions, Terminology Database, InterPARES Web site: The rules of representation according to which the content of a record, its administrative and documentary context, and its authority are communicated. Documentary form possesses both extrinsic and intrinsic elements.

- The digital entity is fixed to a stable medium or not and why

**2. A RECORD MUST ALSO PARTICIPATE IN AN ACTION, DEFINED AS THE CONSCIOUS EXERCISE OF WILL BY THE AUTHOR OR BY AN EXTERNAL PERSON, AIMED TO CREATE, MAINTAIN, MODIFY OR EXTINGUISH SITUATIONS. A RECORD RESULTS AS A NATURAL BY-PRODUCT OF THE ACTION.**

Statement of the name of action that generated the [digital entity] and how it participates in the action.

**3. THIRD, A RECORD MUST POSSESS AN ARCHIVAL BOND, WHICH IS THE RELATIONSHIP THAT LINKS EACH RECORD TO THE PREVIOUS AND SUBSEQUENT RECORD OF THE SAME ACTION AND, INCREMENTALLY, TO ALL THE RECORDS WHICH PARTICIPATE IN THE SAME ACTIVITY. THE ARCHIVAL BOND IS ORIGINARY (I.E., IT COMES INTO EXISTENCE WHEN THE RECORD IS MADE OR RECEIVED AND SET ASIDE), NECESSARY (I.E., IT EXISTS FOR EVERY RECORD), AND DETERMINED (I.E., IT IS CHARACTERISED BY THE PURPOSE OF THE RECORD).**

The [digital entity] possesses (or does not possess) archival bond and why.

**4. FOURTH, RECORD CREATION MUST INVOLVE AT LEAST THREE PERSONS, WHETHER OR NOT THEY EXPLICITLY APPEAR IN THE RECORD ITSELF. THESE PERSONS ARE THE AUTHOR, ADDRESSEE AND WRITER; IN THE ELECTRONIC ENVIRONMENT, ONE MUST ALSO TAKE INTO ACCOUNT TWO ADDITIONAL NECESSARY PERSONS: THE CREATOR AND THE ORIGINATOR.**

- The record's author is the physical or juridical person having the authority and capacity to issue the record or in whose name or by whose command the record has been issued.

Name of the author and why.

- The writer is the physical or juridical person having the authority and capacity to articulate the content of the record.

Name of the writer and why.

- The addressee is the physical or juridical person(s) to whom the record is directed or for whom the record is intended.

Name of the address and why.

- The creator is the person in whose fonds the record exists.

Name of the creator and why.

- The originator is the person to whom the Internet account issuing or the server holding the record belongs.

Name of the originator and why.

**5. FINALLY, A RECORD MUST POSSESS AN IDENTIFIABLE CONTEXT, DEFINED AS THE FRAMEWORK IN WHICH THE ACTION IN WHICH THE RECORD PARTICIPATES TAKES PLACE. THE TYPES OF CONTEXT INCLUDE JURIDICAL-ADMINISTRATIVE, PROVENANCIAL, PROCEDURAL, DOCUMENTARY, AND TECHNOLOGICAL.**

- The juridical-administrative context is the legal and organizational system in which the creating body belongs.

Juridical context:

Administrative context:

- The provenancial context refers to the creating body, its mandate, structure and functions.

Provenancial context:

- The procedural context comprises of the business procedure in the course of which the record is created.

Procedures:

Diplomatic analysis of Procedural Phases in the Creation of the [digital entity]

- a) **Initiative:** The introductory phase of any procedure is “constituted by those acts, written and/ or oral, which start the mechanism of the procedure.”<sup>8</sup>
- b) **Inquiry:** This preliminary phase “is constituted by the collection of the elements necessary to evaluate the situation.”<sup>9</sup>
- c) **Consultation:** This phase is “constituted by the collection of opinions and advice after all the relevant data has been assembled.”<sup>10</sup>
- d) **Deliberation:** This phase is “constituted by the final decision-making.”<sup>11</sup>
- e) **Deliberation control:** This phase is “constituted by the control exercised by a physical or juridical person different from the author of the document embodying the transaction, on the substance of the deliberation and / or on its forms.”<sup>12</sup>
- f) **Execution:** “The documents created in this phase are the originals of those embodying the transactions.”<sup>13</sup> In other words, the execution phase results in the issuing of the first record capable of producing the consequences intended by its author.

---

<sup>8</sup> Luciana Duranti, *Diplomatics: New Uses for an Old Science* (Lanham, Maryland and London: The Scarecrow Press in association with the Society of American Archivists and the Association of Canadian Archivists, 1998), 115.

<sup>9</sup> Ibid.

<sup>10</sup> Ibid.

<sup>11</sup> Ibid.

<sup>12</sup> Ibid.

<sup>13</sup> Ibid., 116.

- The documentary context is defined as the archival fonds to which a record belongs and its internal structure.

Documentary context:

- The technological context is defined as the characteristics of the technological components of an electronic computing system in which records are created.

Technological context:

## **CONCLUSIONS**

Overall conclusions of the status of the digital entity under examination:

If it is not a record:

Summary of the digital entity as a publication:

Summary of the digital entity as a potential record: