



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 10

Template for Case Study Analysis ("Areas to be Covered")

by

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Template for Case Study Analysis (“Areas to be Covered”)

Version 1.0: Heather Daly and Ann Forman, December 2004

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The purpose of this template is to enable the gathering of information spread over the whole of the documentation related to each case study. Through this exercise, a general overview will be created, which will provide insight into the types of record creators and activities that have been studied by Focus 1, 2 and 3. With this overview, we will be able to validate the case studies and inform the work of the Domains and Cross-domains.

This template is not intended to be another framework to be used when writing the Final Report. Rather, it serves as a reminder of the information that we must have as part of the Report.

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

CREATOR OF THE RECORDS

The information we are looking for about the *creator of the records* is often embedded within the provenancial, juridical-administrative, procedural, documentary and technological contexts (see [Case Study Reporting Framework, December 2003](#)). This information is essential to understanding who has produced the digital records, and for what reasons. This understanding will allow the characterization of the case studies.

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

Name

- Provide the official name and other names of the body under study.

Location

- Provide the country, region (example: province, state) and/or city which exerts the most legal influence over the body.

Origins

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

Legal Status

- Provide the legal status. For example: “private individual,” “for-profit small company,” “research group”
- Provide the year of legal establishment, if applicable.
- Provide specifics about the most relevant laws under which body 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 body.

Norms

- Provide information about any non-legally required standards, methodologies, codes or regulations that are subscribed to by the body.
- Provide information about the non-legally required standards, methodologies, codes or regulations from other organizations, traditions or associations that are subscribed to by the body. For example: “methodologies related to archaeology”

Funding

- Provide information about the sources of revenue related to the digital entity under study. For example: “grants”, “ticket sales”

Resources (Physical)

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

Governance

- Provide information about how the body is managed. For example: “cooperative,” “collective,” “partnership”
- Provide information about the organization of the body, such as through the inclusion of an organizational chart.
Provide information about employees, members or partners (number, areas of specialization, qualifications, turnover).
- Provide information about the body’s place within an organization, if applicable.
- Provide information about any internal policies or regulations.

Mandate*The responsibilities of the body*

- Provide information about the responsibilities of the body given to the body through enabling legislation.
- Provide information about any stated mandate.

Philosophy*The vision and values the body works toward or under*

- Provide information about the body’s philosophy and values.

- Provide information about which genres or disciplines the body is related. For example: “multidisciplinary theatre,” “geology”
- Provide information about the schools of thought to which the body subscribes, if these influence the body’s choices and practices.

Mission

The stated ways in which the body is working towards the mandate

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

Functions

- List all of the major functions which the body undertakes to fulfil the mission(s) and mandate. For example: “administration,” “research,” “performance,” “training”

Recognitions

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

ACTIVITIES RESULTING IN DOCUMENT CREATION

Administrative and Managerial Framework

This section is divided into two sub-sections. The first concerns the Administrative and Managerial Framework within which the digital entity under study is created. The second focuses on the digital entity. Both sub-sections aim to gather information to allow the characterization of the types of activities and entities that have been studied.

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 administrative practices. For example: “The creator must administer payroll and grant applications”

Type of activities

- List the general types of administrative activities undertaken on a regular basis. For example: “submitting reports,” “writing grant applications”

Documents resulting from activities

- List the main types of documents resulting from administrative activities. For example: “receipts,” “reports,” “correspondence”

Existence of a records management and/or archives program

- Provide a description of the existence of activities related to archives and records management.
- Provide information about any policies that the body may have which govern archives and records management.

Individuals responsible for preservation

- Provide the name and qualifications of individuals(s) responsible for archives and/or records management.
- Provide information about the relationship of the individuals responsible for preservation to the creation of the records. For example: “Once completed, he maintains the records on his computer”

Existence of preservation strategies

- Provide the location in which the records are kept.
- Provide the nature in which records are kept. For example: “All records are digitized”
- Provide a description of the organization of the records created by the body under study. For example: “Records are split, with some records being kept by the contracting party”
- Provide a brief description of any methods used to preserve records.
- Provide a brief description of any methods used to attempt to avoid technological obsolescence.

Legal Requirements and Constraints

- Provide a description of how the relevant laws impact upon the policies and procedures by which *administrative activities* are carried out.
- Provide a description of how the relevant laws impact upon the creation, form, content, identity integrity, organization and preservation of the records related to administrative activities.

Normative Requirements and Constraints

The written or unwritten rules of a specific discipline or area of thought to which the body 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 body 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 administrative 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 related to administrative activities.

Artistic requirements and constraints

Artistic foundations or schools of thought which the body 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 administrative 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 related to administrative 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 related to administrative activities.

Technological Requirements and Constraints

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

- Provide a description of the equipment used:
 - Architecture (e.g., network topology, infrastructure, hardware)
 - Creation or input tools (e.g., software, camera, microphone)
 - Processing tools (e.g., 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 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 related to administrative activities.

ACTIVITIES RESULTING IN DOCUMENT CREATION**Digital Entity/Entities Under Study****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 relate(s) to the body's mandate and mission(s).

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: “photographs,” “correspondence”
- Provide a list of documents that result from the activities related to the digital entity/entities. For example: “digitized images,” “e-mails”

Existence of preservation strategies

- Provide a brief description of any methods used to preserve records related to the digital entity/entities or the digital entity/entities itself/themselves.

- 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 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 impact upon the creation, form, content, identity, integrity, organization and preservation of the records generated by the digital entity/entities or the digital entity/entities of the record(s).

Normative Requirements and Constraints

The written or unwritten rules of a specific discipline or area of thought to which the body 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 body 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 records generated by the digital entity/entities or the digital entity/entities of the record(s).

Artistic requirements and constraints

Artistic foundations or schools of thought which the body 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 the digital entity/entities of the record(s).

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 records generated by the digital entity/entities or the digital entity/entities of the record(s).

Technological Requirements and Constraints

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

- Provide a description of the equipment used:
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