



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 13

**Domain 3 Template for
Case Study Analysis**

Status: Final (public)
Version: Electronic
Publication Date: 2008
Project Unit: Domain 3 Task Force
URL: http://www.interpares.org/display_file.cfm?doc=ip2_book_appendix_13.pdf
How to Cite: Domain 3 Task Force, "Appendix 13: Domain 3 Template for Case Study Analysis," [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_13.pdf>

Domain 3 Template for Case Study Analysis

Domain 3 Case Study Analysis

**Case Study
Title
Organization**

1. What types of entities does the diplomatic analysis identify in this case study? (i.e. records, publications, data, etc.)¹
 - 1a. If there are no records, should there be records? If not, why not?
 - 1b. If there should be records, what kinds of records should be created to satisfy the creator's needs (as defined by an archivist)?
 - 1c. What characteristics of records (as defined by an archivist)² are missing yet necessary to preserve these entities?
 - completed as part of an action
 - involving a communication among 3 juridical or physical persons (e.g. author, writer, addressee), or over time
 - a fixed documentary form
 - a stable content
 - an archival bond with other records either inside or outside the system
 - an identifiable context
2. Are the entities reliable? If not, why not? (Give evidence from both the diplomatic analysis and the case study report.)
3. Are the entities accurate? If not, why not? (Give evidence from both the diplomatic analysis and the case study report.)
4. To what degree can the entities be presumed to be authentic, and why?³ (The answer to this question requires providing the evidence for all benchmark requirements that have been fulfilled and also reaching a cumulative presumption of authenticity. The higher the number of satisfied requirements, and the greater the degree to which requirement is satisfied, the stronger the presumption of authenticity.)

Benchmark Requirements Supporting the Production of Authentic Copies of Electronic Records (these apply to the creator):

1. Capture of identity and integrity metadata
2. Enforcement of access privileges
3. Protection against loss and corruption

¹ If multiple entity types are identified, answer questions 1a onward for each type of entity selected for analysis. See Appendix [1a], section 1 for a discussion of General vs. Special Diplomats and section 2 for a number of definitions relevant to Question 1.

² See Appendix [1a], section 3 for a more complete definition of the characteristics of a record.

³ See Appendix [1b] for a more extensive discussion of the elements of the Benchmark and Baseline Requirements Supporting the Presumption of Authenticity of Electronic Records, from InterPARES 1.

4. Protection against media and technology obsolescence
5. Established documentary forms
6. Ability to authenticate records
7. Procedures in place to identify the authoritative record
8. Procedures in place to properly document removal and transfer of records from the creator's originating system

Baseline Requirements Supporting the Production of Authentic Copies of Electronic Records (these apply to the preserver):

1. Controls over records transfer, maintenance, and reproduction
 2. Documentation of reproduction process and its effects
 3. Archival description
-
5. For what purpose(s) are the entities to be preserved?⁴
 6. Has the feasibility of preservation been explored?
 - 6a. If yes, what elements and components need to be preserved?
 7. Which preservation strategies⁵ might most usefully be applied, and what are their strengths and weaknesses, including costs and degree of technical difficulty?
 - 7a. Which alternative preservation strategies⁶ might be applied? What are their strengths and weaknesses, including costs and degree of technical difficulty?
 8. What additional information does the preserver need to know to facilitate appraisal and preservation?
 - 8a. If required information is missing, where should it come from and how should it be made manifest?
 9. Are there any policies in place that affect preservation?
 - 9a. Are there any policies in place that present obstacles to preservation?
 - 9b. Are there any policies that would need to be put in place to facilitate appraisal and preservation?

⁴ If multiple purposes are identified, answer questions #3 onwards for each purpose.

⁵ For a list of the many existing preservation strategies, see the *Domain 3 Preservation Strategies* document. Draft 3, dated 2006-02-22 is located at [ip2\(d3\)_preservation_strategies.pdf](#). Confirm that you have the most up-to-date version of the document. Identify any of the maintenance strategies from Section A that are not undertaken or are prevented by the existing recordkeeping system. Then apply any one or combination of more than one strategy from Section B that might be applied by the preserver.

⁶ For a list of the many existing preservation strategies, see the *Domain 3 Preservation Strategies* document. Draft 3, dated 2006-02-22 is located at [ip2\(d3\)_preservation_strategies.pdf](#). Confirm that you have the most up-to-date version of the document. Identify any of the maintenance strategies from Section A that are not undertaken or are prevented by the existing recordkeeping system. Then apply any one or combination of more than one strategy from Section B that might be applied by the preserver.

Appendix [Definitions]

1. General vs. Special Diplomats

The limitations of the diplomatic model of a record as it is elaborated in the *Template for Analysis* are attributable mainly to the fact that the model was built on the premises of general diplomatics. *General diplomatics* seeks to decontextualize records, to eliminate their particularities, variations and anomalies in the interest of identifying the common, shared elements of records that cut across juridical, provenancial, and technological boundaries. Given the complexity and variety of electronic systems, it might make more sense to adopt and adapt the approach of *special diplomatics*, which, traditionally, has focused on the records of individual chanceries and specific juridical systems. In such an approach, one would begin with an analysis of the various features of the systems themselves and the broader record-keeping environment in their own terms, with all their particularities, variations, and anomalies; and, on the basis of that analysis, begin to build a more general framework.⁷

2. Current IP2 Definitions

Record⁸

[Archival Science] - *n.*, 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.

Reliable record⁹

[Archival Science] - *n.*, A record capable of standing for the facts to which it attests.

Reliability refers to the trustworthiness of a record as a statement of fact. It exists when a record can stand for the fact it is about, and is established by examining the completeness of the record's form and the amount of control exercised on the process of its creation. The records forms generated using new information technologies make increasingly difficult to determine when a record is complete and whether the controls established on its creation are either sufficient or effective for anyone to be able to assume its reliability.¹⁰

Accuracy refers to the truthfulness of the content of the record and can only be established through content analysis. With administrative and legal records, it is usually inferred on the basis of the degree of the records' reliability and is only verified when such degree is very low. The volatility of the digital medium, the ease of change, editing, and the difficulty of version control, all make it harder to presume accuracy on the traditional [basis].¹¹

⁷ From the Final Report of the Authenticity Task Force, p. 24, at

http://www.interpares.org/display_file.cfm?doc=ip1_atf_report.pdf

⁸ From the InterPARES Glossary, at http://www.interpares.org/ip2/ip2_terminology_db.cfm.

⁹ Ibid.

¹⁰ From the detailed proposal, p. 12, at http://www.interpares.org/display_file.cfm?doc=ip2_detailed_proposal.pdf.

¹¹ Ibid.

Authenticity refers to the trustworthiness of a record as a record. An authentic record is one that is what it purports to be and has not been tampered with or otherwise corrupted. Authenticity is established by assessing the identity and the integrity of the record.¹²

3. **Characteristics of a Record:**¹³

- a **fixed documentary form**, which means that:

- the binary content of the record, including indicators of its documentary form, are stored in a manner that ensures it remains complete and unaltered

- technology has been maintained and procedures defined and enforced to ensure that the content is presented or rendered with the same documentary form it had when it was set aside

- a **stable content**

- an **archival bond** with other records either inside or outside the system

- an **identifiable context**, which means that it participates in or supports an action, either procedurally or as part of the decision-making process (meaning its creation may be mandatory or discretionary), and at least three persons (author, writer, and addressee) are involved in its creation (although these three conceptual persons may in fact be only one physical or juridical person).

Appendix [Benchmark and Baseline Requirements]

[Note: This section has been omitted. Abridged versions of the InterPARES 1 Benchmark and Baseline Requirements are instead provided in Appendices 21a and 21b, respectively.

¹² Ibid.

¹³ From the Final Report of the Authenticity Task Force, InterPARES 1, p. 6, at http://www.interpares.org/display_file.cfm?doc=ip1_atf_report.pdf.