Mapping Archives for Dealing with the Past Processes

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The IVD Archives mapping team. Copyright IVD.

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1 Objective and Range of the Mapping

Understanding what archives are available for use in a transitional justice or dealing with the past process[1] is an essential first step in assembling evidence and material to be used by truth commissions, fact-finding bodies, tribunals and other mechanisms that help a society cope with a past troubled by violence, dictatorship and armed conflict. Thus, a mapping or surveying project is often useful to provide an overview of the existing archives that contain information relevant for the respective dealing with the past process.

The present Essential on Mapping Archives for Dealing with the Past Processes provides an outline of the steps required to plan and execute an archival mapping (also referred to as "survey") project and, in the annexes, sample forms, and guidelines.

Before beginning an archives mapping process within a dealing with the past process, it is important to clarify the aim and the objectives of the exercise. Generally, archives mapping aims to determine the following:

→ what archives exist that are of interest to the dealing with the past mechanism (or mechanisms, depending on the context);

→ where they are located;

→ what information they contain;

→ to whom the archives are accessible and who controls access.

In addition, a mapping project can also help to identify records that must be secured immediately and what measures must be taken in order to do so, e.g. preservation measures or, in the case of state archives, the seizure by a tribunal to prevent destruction of the records. In the process, by providing evidence that the archives do exist, the survey may offer some informal protection against destruction, even if a formal process is not (or not yet) undertaken.

1 In this Essential we refer to 'dealing with the past' rather than transitional justice in order to emphasize the long-term nature of the process, the judicial and non-judicial elements of a reckoning with past violence, and to allow for the possibility that such a process will not be a linear transition from 'A' to 'B' but rather an ongoing and complicated set of negotiations and dialogues between many different actors. However, the terminology of 'transitional justice' is prolific in the literature and practice of this field and thus many of the sources we cite here will also use this vocabulary.

Archival mapping may help identify archives to be copied and collected by the dealing with the past mechanism. It may also identify archives that should be transferred to the national archives or to the archives that is the designated permanent home for those records.

In addition to the specific aims of identification, location and description of records relevant for a dealing with the past mechanism or process, mapping may also facilitate awareness regarding the importance of dealing with the past among the contacts in various public and private institutions.

All of these goals can be included in a survey, but for planning purposes, it is important to know which should receive priority, especially if the project begins to run out of time or money. The Truth and Dignity Commission in Tunisia focused on government archives located in Tunis and some specific regional government structures (e.g., police stations, prisons).

2 Planning and Strategy

Archival mapping is a systematic procedure to gather information about archives (state or non-state) that are not in either the custody of the national archives or a dealing with the past mechanism that wishes to use them (e.g., a truth commission or a tribunal). While such mapping can be carried out to locate important bodies of personal materials (for example, diaries or photographs), the more usual survey for dealing with the past purposes focuses on either government institutions or non-governmental organizations (NGOs).

In a first step, the framework of the mapping needs to be defined. A dealing with the past mechanism usually has a clearly defined mandate with regard to content and temporal and geographical limits.

In Tunisia, the Organic Law on Establishing and Organizing Transitional Justice limits the mandate of the Truth and Dignity Commission to the period extending from 1 July 1955 until 2013 (Article 17). Truth seeking is focused on "gross or systematic infringement of any human right committed by the State's apparatuses or by groups or individuals who acted in State's name or under its protection, even if they do not have the capacity or authority to do so [...] [or] by organized groups" (Article 3).

It is important to define the institutions that will be mapped and limit the scope of the mapping according to the mandate, time frame and focus of the dealing with the past mechanism. An archival mapping may focus on either all archives of a single government agency (for example, all records of the police), all archives related to a specific issue (e.g., human rights violations, violations of International humanitarian law, corruption) in any agency or organization, records of human rights organizations and other civil society actors, or all archives in a specific region (for example, all archives in the capital).

However, the more ambitious the parameters of the mapping are, the more time and resources will be required. Since dealing with the past mechanisms usually work under severe time pressure, it is important at the outset to define the institutions to be surveyed within the specific focus of the mechanism.

It is also important to understand that each context is different and that, therefore, the possibilities of contacting the authorities and private actors and accessing their records vary from country to country.

Moreover, considering that records relevant for dealing with the past mechanisms usually address human rights violations, violations of International Humanitarian Law (IHL), financial corruption and/or election fraud, mapping may become a sensitive task and some institutions and organizations might not want to share information with the dealing with the past mechanism. In this case, it may be important to consider an informal outreach to key actors of those institutions in order to verify the accuracy or completeness of the information obtained during the mapping.

The quality of archives and the importance given to them also vary depending on archival traditions, a tendency to either written or oral cultures, archival legislation, the competences and powers attributed to the state archives, in particular to the national archives, and the importance given to records management and archives in general.

Tunisia has a long tradition of public records and archives dating back to the period before the establishment of the French Protectorate and the establishment of an administrative system with the creation of the State Correspondence Centre (Centre des correspondences de l'Etat) in 1874. Tunisia can therefore be considered as a pioneer in this field. In 1883 the "Centre des correspondences de l'Etat" became known as "Les Archives générales du gouvernement" (State General Archives).[2] Due to this long archives tradition, the Tunisian National Archives is well established. State records are organised and archives preserved according to the Tunisian Archives Law from 1988.[3]

2 See historical overview on the website of the National Archives of Tunisia: www.archives.nat.tn

3 La loi n° 88–95 du 2 août 1988 relative aux archives http://www.legislation.tn/sites/default/files/journal-officiel/1988/1988F/Jo05288.pdf

3 Authorizations

Ideally, the mapping will be a cooperative project between the dealing with the past mechanism sponsoring the project (e.g., a truth commission, a tribunal, a missing persons commission) and the institution to be surveyed (e.g., police archives, NGO archives). The initial approach to the institution to be surveyed must be carefully planned.

A personal meeting is essential, which in most cases should be preceded by a written introduction (depending on the situation, this could be a formal letter or an e-mail message) addressed to the senior management level in charge of the archives (e.g., the ministry of justice, interior, the headquarters of a trade union, the country office of an NGO). The message should explain the aim and the framework of the mapping project. It should ask for support of the technical aspect of mapping and for the name of the responsible person/archivist with whom the mapping team will work.

If a first personal meeting fails to elicit cooperation, the dealing with the past mechanism must seek permission for access elsewhere, such as through appointment by a court as a special master, a mandate from the relevant ministry or from the executive, or an action by the legislature. However, if the dealing with the past mechanism is concerned that a demand of access may accelerate the destruction of key archives, it may be necessary to appeal to the judiciary first to get an injunction to prevent destruction.

In contexts where a legal basis guarantees access to archives for the dealing with the past mechanism, gaining access to the archives is easier.

In Tunisia, archival cooperation with the Truth and Dignity Commission (IVD) is provided for in article 40(1) Organic Law on Establishing and Organizing Transitional Justice, which says that the Commission shall “[h]ave access to public and private archives, regardless of all restrictions contained in the applicable legislation.” Nevertheless, careful planning was required to carry out the mapping and to contact the relevant institutions and organizations.

In the course of the initial discussion with the institution that holds custody of the archives, the objectives and scope of the mapping must be stated clearly. A visit to the locations where the records are stored is also desirable.

After the meeting, the agreed goals and scope must be committed to writing, such as in a memorandum of understanding. Because it is possible that at some point during the mapping someone at the institution being surveyed will challenge the surveyor’s authority to see a part of the archives, it is essential to have a clear, written agreement that the surveyor can indeed have access to the archive (or at least to finding aids, accession lists, etc.).

4 Staff Requirements

A successful mapping project requires sufficient personnel. Ideally, the project will involve both staff members of the institution responsible for the mapping (e.g., a truth commission) and of the organization/institution whose records are being mapped. If the survey is covering government records, it is desirable to have staff members from the national archives on the team. If, however, the national archives is unwilling or unable to be involved, another source of staff members must be identified.

Additional staff could be hired for the purpose by the institution responsible for the mapping. A team composed of persons who have a professional background in archives, documentation or records management is preferred. The team could include university students enrolled in archival or documentation studies; however, surveys can also be undertaken with persons who are committed to the project but have no particular background in archival work, as long as competent archival supervision is supplied. If the persons doing the mapping are not from the institution being mapped, the national archives, or the transitional justice institution, confidentiality issues must be explained carefully and non-disclosure agreements signed. In any case, it is essential that the team members receive thorough training in order to collect accurate and consistent information.

To guarantee smooth progress and consistent results from the mapping, a project coordinator needs to be selected, preferably someone with at least basic archival training. If neither the national archives nor the dealing with the past mechanism itself is providing the project coordinator, it may be possible to identify someone either from a school that teaches archives, from another archival institution, or from a consulting firm that provides information management services.[4]

4 As a basic manual on records surveys says, “Qualifications for a director will vary with the size and complexity of the project but must include knowledge of archival principles and procedures, appropriate archives or records experience, tact, patience with detail, and the ability to see work through to a conclusion.” See: John Fleckner, Archives & Manuscripts: Surveys. Chicago: Society of American Archivists, 1977, p. 6.

In the case of the IVD in Tunisia, the staff of the archives unit that was created as an operational unit within the commission right at the beginning of the existence of the commission (direction de la documentation et des archives) trained the technical team of the archives mapping. The director of archives and documentation of the IVD managed and oversaw the project. The technical team consisted of different specialists, including a historian, an archivist, an information officer and a librarian. All team members received training in dealing with the past and electronic information management and were trained to gather accurate and consistent information.

The dealing with the past staff may include a technical expert who can provide the information management support for the mapping. Alternatively, an expert can be hired to write a software that can be used to compile and retrieve information obtained from the mapping. This person should join the team early in the project to ensure that the software supports the data collection and the ultimate use of the information gathered.

It may be helpful to have an advisory board, including stakeholders from the dealing with the past mechanism, the national archives, and the institutions/organizations to be surveyed. A board can both give legitimacy to the project and help facilitate access to the archives to be surveyed. An advisory board can also be used to generate public support for the survey and to help disseminate information to the public; it can also help the dealing with the past mechanism decide what of the survey results can be published and what should remain confidential for the present.

5 Scope and Content of Mapping

While the information to be obtained varies by the type of institution surveyed and the purpose of the mapping, two types of basic information must be collected in every case: information about the institution that holds the archives (the context) and information about the archives themselves (the content). How detailed the survey will be depends on the time and money available. Examples of survey forms and survey instructions are found as annexes I a and b (for context information about the institution surveyed) and II a and b (for context information about series of archives).

The mapping should cover all records – active and inactive, in office areas and in basements and attics and outbuildings, in paper and electronic and audio-visual formats. Archivists usually look for series – that is, a body of archives arranged in accordance with a filing system or maintained as a unit because they result from the same accumulation or filing process, or the same activity; have a particular form (for example, all sound recordings, all bound volumes of photographs); or because of some other relationship arising out of their creation, receipt, or use. However, if the records are in disarrangement, only the most general and summary description might be possible.[5]

5 During the training for the persons who will carry out the mapping, it is important to emphasize what is not to be included, such as stocks of duplicate printed materials or truly personal materials.

6 Work Plan

It is helpful to start the mapping project with a pilot mapping project, then adjust the mapping tools based on what is learned in this phase. Some projects subsequently select a few institutions to focus on in a second step. Pilot projects are particularly important if organizations in different geographic areas are included in the mapping, as conditions may vary between headquarters and field operations, for example, and a pilot project covering some offices in both locations will bring the differences to the surface.

The work plan should explain the strategy for completing the mapping and include locations, times, and the responsibilities within the team. Additionally, it should include the method of compiling the results, as well as state who will have access to the results (including when the public will be given the information), and who ultimately will be responsible for maintaining the information gathered (for government archives, the national archives may be the permanent location for the survey information).

The work plan should also address the financing required by the project. This includes salaries, office space, vehicles or other travel costs (e.g., airfare to regions for training and accommodation for staff members), as well as equipment (including computers and scanners) and supplies. If the mapping is to be conducted in more than one geographic area, the project must decide whether it will send a team from place to place, which will take longer but will ensure consistency of results, or whether it will engage teams in each of the geographic areas. If one team is to move, it will require transportation, housing and per diem. If teams are created in various areas, the project director(s) will have to make visits, which will also require funding.

While some funds for executing the survey may be covered by the institution conducting the survey, other funds may have to be obtained from external donors or, particularly in the case of a mapping of government records, from a special allocation by the government.

7 Mapping

7.1 Understanding the Institution

It is essential that the mapping team members understand the history and functions of the institution to be mapped. Ideally, a public history of the institution already exists. This could either be a self-published report (see, for example, the synopsis of the history of the Armed Forces of the Philippines) or reports/literature published by a third party (secondary literature). If no public report is available, the mapping project must develop one based on public resources and, if possible, on interviews of the employees or former employees of the institution/organization. The report should include:

- → a brief chronology of the institution;
- → an organizational chart (or multiple charts showing how the institution changed over the years);
- → a list of the functions of the institution (including those entrusted to it by law and de facto functions that might not be enshrined in a legal basis);
- → if the institution uses very technical language: a list of key terms that are likely to be encountered (e.g., military terminology required in order to understand the documents of the armed forces).

The example of the Armed Forces of the Philippines shows that the structure of an institution may change significantly over time. Since these changes affect the manner in which incidents are documented and archives created, it is essential to understand the changes and report the chronology in the mapping. A series of historical events led to the structure of today that is reflected in the organisation chart available online at www.afp.mil.ph. The following chronology is therefore an important part of an archives mapping:

Mapping

Example: The Armed Forces of the Philippines

Timeline:

1935: Formation of the Armed Forces of the Philippines (AFP) under the National Defence Act; on request of the government: formation and supervision of the AFP by General Douglas MacArthur of the United States;

1938: formation of the "Philippine Constabulary" (police) in the AFP;

1940: formation of the naval / marine forces (navy) and reorganization of the air forces (air force, formerly Philippine Constabulary Air Corps);

1941: start of the Pacific War, Japanese invasion of the Philippines; incorporation of the majority of the soldiers of the Philippine Army in the Army of the United States (U.S. Army Forces Far East – USAFFE);

1941–1945: fighting of the guerrilla units against Japanese troops continued;

1946: Philippine Independence following the defeat of Japan in World War II;

1947: formation of the modern AFP;

1951–1953: Commitment of the AFP in the Korean War and struggles against internal rebellions Hukbalahap, Central Luzon, Southern Tagalog, Visayan;

1972–1986: military regime under President Ferdinand Marcos with gross human rights violations (murder, arrests, torture of political opponents). Marcos was commander in chief of the AFP; war against "Moro National Liberation Front (MNLF)" on the Bangsamoro / Mindanao against the "New People's Army" communist;

1986: fall of President Marcos in the "revolution of the people" (EDSA People Revolution) with the support of a faction of FAP led by Defense Minister Juan Ponce Enrile and General Fidel V. Ramos; inauguration of Corazon Aquino as new president of the Philippines;

1989: attempted coup against Aquino is repressed with help of the United States. Continuation of the struggle against the rebels in the south (Mindanao);

1991: elimination of the Philippine Constabulary and integration in the Philippine National Police (NP);

2000: start of the "total war" against the MNLF under President Joseph Estrada;

2001: Estrada removed from power during demonstrations of the population and vice president Gloria Macapagal-Arroyo appointed as president.

7.2 Preparing the Forms

Two separate forms are used for mapping. One, based on the International Standard for Describing Institutions with Archival Holdings (ISDIAH), identifies the institution, its constituent parts, and basic information required to use the archives. The second, based on the International Standard for Archival Description (General) (ISAD(G)), reports the contents and volume of the records. A simple mapping project may obtain only the ISDIAH information, while a more thorough and useful mapping will use both. The mapping team may decide that specific information on the contents should be included, depending on the requirements and mandate of the dealing with the past mechanism that is initiating the mapping. It might include a quite bold question asking about the existence of archives containing information on violations of human rights, financial corruption and electoral fraud. (See both forms and guidance for using them in dealing with the past surveys in Annexes I).

In Tunisia, the IVD mapping focused on bodies of archives that it believed would contain information about specific violations of human rights, financial corruption, embezzlement and electoral fraud, since these issues were of interest to the mandate of the IVD.

In addition, a database must be prepared in order to manage the information gathered in forms and interviews. Ideally, the database mirrors the questions in the questionnaire.

Certain elements of the ISDIAH form may be obtained by the project team during preparatory research and can be entered prior to the initial visit, such as the history of the institution, the address of its offices, and so forth. This will save time during the visit and will allow the team to verify information on site with the archives' staff.

For the ISAD(G) form, the project team needs to determine which of the elements of the survey form must be filled out for every body of archives and which are optional (both forms in the annexes indicate a suggested set of required elements). The electronic template for the form should require the completion of those elements before the form is forwarded to the central project team for review. The electronic form should also have some “check boxes” or pull-down elements for common types of information (these are also suggested on the forms in the annexes I and II) as well as a few items that will be standard from one form to another and can be embedded in the electronic version.

7.3 Training of Staff

When the elements of the forms to be used have been determined and the database format is ready for use, a thorough training session for all those involved in the mapping project is essential. If separate teams work in different geographical areas, financial considerations may require the project to bring together only the leaders of the geographic teams, train them, and have them train their own team members. It is essential that at least the leaders of the teams come together to discuss all the elements of the project to create a common spirit of cooperation. In this case, the training session will include two parts: an introduction to the basics of mapping and a training of team leaders on the administrative requirements of the project (reporting, finances, personnel issues, etc.).

Tools for training can vary. Paper manuals are a time-tested way to provide guidance for completing a survey. A project can develop a training video, which can be shown in various location (including to the staff members of the institution being surveyed and possibly to members of the public), can be put on line or distributed to be used on laptops; this will be helpful in reinforcing the central points to be covered. A tutorial embedded in computers used by the surveyors can answer questions that arise without necessitating contacts with the project's director.

7.4 Equipment and Supplies

The persons who are doing the mapping will receive simple supplies, which could be distributed during the training. Laptops and tablets are ideal for recording information, which can be sent electronically to the central project direction. However, in some working conditions it is easier to use paper survey forms on a clipboard. Other useful supplies are a flashlight and a measuring tape (in the absence of a measuring device, it is helpful to know the length of the most common paper currency in circulation and use that to measure archives). If the records are extremely dusty or dirty, consider using masks covering the nose and mouth, simple brushes (such as those used to brush a baby's hair), and thin cotton gloves. Prudent surveyors will also take along a few bands-aids for the inevitable paper cuts, strong insect repellent and a camera to take photographs.

7.5 Contact with Organizations / Institutions to Map

As outlined before, the dealing with the past mechanism initiating the mapping has made a formal contact with the institutions whose archives are to be mapped and has a written statement of the terms under which the mapping will take place. To complete the basic ISDIAH form, the project team will schedule an interview with the person designated as the archival contact in the office whose records are to be mapped. During that meeting, the team will arrange for the subsequent visit(s) to work with the archives and complete the ISAD(G) descriptions.

7.6 Interviews

a) Preparing the Interview

- → Complete Internet research with available documents
- → Conduct a preliminary interview with a person who has a good understanding of the institution
- → Enter on the mapping form the preliminary information obtained
- → Highlight questions to ask
- → Schedule a meeting with the designated contact, carefully explaining the idea and the aim of mapping and how to proceed
- → Choose an adequate team for the visit (in the beginning have two team members, including one who subsequently will survey the records

b) Conducting the Interview

- → Introduce the team
- → Present the mapping: the aim, the importance , the desired result, its use in the next steps, the information interesting to the mandate of the dealing with the past mechanism
- → Explain in detail what documents you are looking for (broad mandate of the dealing with the past mechanism)
- → Precisely explain the aspects of confidentiality
- → Respond to all questions
- → Conduct the interview according to the questionnaire / the form
- → Always remain flexible but clear concerning the mandate and the limits of the mapping project

- → While it is important to be transparent, being flexible in the language used to present the project can help to avoid shocking the contacted organizations (e.g., in a first step, addressing the mapping of archives in general instead of directly referring to documents related to human rights violations)
- → Stay transparent and precisely explain the role of the project management, which of their questions you are able to respond to and which questions you are not able to respond to
- → Refer to the framework of mapping as well as to the legal framework and to the mandate of the dealing with the past mechanism
- → Refer the person to a member of the dealing with the past mechanism who can answer questions the visiting team cannot answer
- → Take notes during the interview directly in the sheet / questionnaire
- → In addition to the information provided in writing, pay attention to information transmitted orally. It may be quite important for the mapping, especially in regard of sensitive documents
- → If possible, also take a look inside the archival boxes in order to gain an overview.
- → Identify the bodies of records for survey and completion of ISAD(G) forms
- → Agree on the time to begin the physical survey and complete the ISAD(G) forms
- → Identify the work space where the survey team will use the records
- → Agree on whether the survey team can itself take records off shelves or out of file cabinets or whether the institution's staff will do this
- → Discuss the finding aids available to identify records of interest (e.g., registry books, index cards,

computer databases) and the steps required to locate a file identified by the finding aids

- → Clearly name the contact person and their contact information in the form (including mobile number and email address)
- → Leave a card with a phone number of the person who conducted the interview
- → Thank the person and discuss providing a copy of the information obtained to the institution whose records were surveyed (transmitting of information, a follow-up visit, etc.)

7.7 After the Interview

- → Complete the ISDIAH form and identify open questions still to be answered by the contact
- → Get in touch with the contact person if you have any questions or issues to clarify or to track (for example in case the contact person promised additional material, inventory, etc.)
- → Analyse and correct notes and finalize the document
- → Enter the details in the database
- → Add additional documentation received during the meeting or later
- → Digitize any paper documents created or received, safely encode them with a password and store in a central data file, store the hard copy

7.8 Survey the Records

- → Arrive at the survey location with the necessary equipment
- → Determine the order of records to review (e.g., start with indexes, start with case files on missing

- persons) and how many records the survey team will have in its workspace at one time

→ Request or retrieve the records

→ Do not eat, drink or smoke around the records

→ Do not mark on or insert any markers in the records

→ If the records include photographs, try not to touch the picture surface

→ When survey form entry completed, return records to their original location and/or close the electronic file

→ At end of each work day, take all mapping materials out of the work space

→ Respect the daily work times of the office whose records are being surveyed (starting and ending times, lunch hours, holidays)

8 Monitoring

Surveyors should turn in survey forms quickly and regularly. The project direction needs to review them rapidly for errors or omissions and, if necessary, ask the surveyor to revise the submission while still at the survey location (if possible).

The field team could be asked to give weekly reports on the progress and how long they believe it will take to complete the mapping. This is especially useful if the field team is responsible for surveys in a number of institutions in its area, such as all NGOs or all army installations.

9 Compilation of Results

The central staff responsible for the mapping/report should begin to compile the results as soon as the mapping forms are returned.

As part of this work, the central direction should ensure that the descriptions of individual institutions that are a part of a larger organization, such as the municipal offices of the national attorney general, are consistent.

The project team must also decide whether to immediately share the results with other units/departments of the dealing with the past mechanism or wait to compile more complete results.

Eventually, the dealing with the past mechanism, along with the project team and its advisory board (if it has been established) should decide when and how to make the survey results available to the public and, if used in a legal proceeding, to the lawyers for the defendants.

In the case of the IVD in Tunisia, all the results were included in a rather complex Excel file that contained a number of interlinked sub-folders and was also linked to a larger computer based internal data base.

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About swisspeace

swisspeace is an action-oriented peace research institute with headquarters in Bern, Switzerland. It aims to prevent the outbreak of violent conflicts and to enable sustainable conflict transformation. swisspeace sees itself as a centre of excellence and an information platform in the areas of conflict analysis and peacebuilding. We conduct research on the causes of war and violent conflict, develop tools for early recognition of tensions, and formulate conflict mitigation and peacebuilding strategies. swisspeace contributes to information exchange and networking on current issues of peace and security policy through its analyses and reports as well as meetings and conferences.

swisspeace was founded in 1988 as the “Swiss Peace Foundation” with the goal of promoting independent peace research in Switzerland. Today swisspeace engages about 40 staff members. Its most important clients include the Swiss Federal Department of Foreign Affairs (FDFA) and the Swiss National Science Foundation. Its activities are further assisted by contributions from its Support Association. The supreme swisspeace body is the Foundation Council, which is comprised of representatives from politics, science, and the government. swisspeace is an associated Institute of the University of Basel and member of the Swiss Academy of Humanities and Social Sciences (SAHS).

For more information: www.swisspeace.org

About the project “Archives and Dealing with the Past”

The project “Archives and Dealing with the Past” is a mandate by the FDFA which swisspeace implements in close coordination with the Swiss Federal Archives. The goal of the project is to make a significant contribution to preserving, securing and making accessible archives and records of past human right violations. The project aims at providing a support to governments, international organizations and NGOs related to the protection and management of archives that document human rights violations. It is conceived as a hub and offers a platform of contact between actors in need of support and experts working in this field.

For more information:
http://archivesproject.swisspeace.ch/

Annexes

Annex I a:
Application of ISDIAH for Transitional Justice surveys

Trudy Huskamp Peterson, 2016-03-29

Prepare one ISDIAH for each institutional unit surveyed. For example, if the provisional police have a headquarters and six substations, prepare a total of seven ISDIAH forms.

1 IDENTITY AREA

1.1 Identifier

Purpose:
To provide a unique numeric or alpha-numeric code identifying the institution with archival holdings.

Rule:
Record the numeric or alpha-numeric code identifying the institution with archival holdings in accordance with the relevant international and national standards.

Supplemental rules for transitional justice surveys:
1. Each identifier begins with the postal code for the country; for example, CO for Colombia. Country codes are established by the International Organization for Standardization. To find the ISO country code for your country, go to http://www.iso.org/iso/en/prods-services/iso3166ma/02iso-3166-code-lists/list-en1.html#sz
2. A code for the institution follows, using a standard format that has been chosen by the survey. For example, a survey could use letters derived from the institution’s name. For example, FGN-FNE-DHDIH for Fiscalia General de la Nacion, Fiscalias Nacionales Expecializadas Derechos Humanos y DIH or JNF for the Julius Nyerere Foundation. A survey could also use a number for each surveyed institution, such as 0018 for the 18th nongovernmental organization surveyed. Or a survey could use a combination of

letters and numbers, such as PN 016 for the Policia Nacional in the 16th province.
3. If the survey covers personal materials instead of or in addition to institutional archives, begin the code for personal materials with the letter P plus the initials of the creator of the materials or a sequential number. For example, the personal materials of Antonio Perez of Uruguay could be UR-P-AP or UR-P-0012. Numbers are preferred because many people will have the same initials.

1.2 Authorised form(s) of name

Purpose:
To create an authorised access point that uniquely identifies the institution with archival holdings.

Rule:
Record the standardized form of name of the institution with archival holdings, adding appropriate qualifiers (for instance dates, place, etc.), if necessary.

Specify separately in the Rules and/or conventions element (6.3) which set of rules has been applied for this element.

Supplemental rules for transitional justice surveys:
1. Record the institution's name in full.
2. For personal materials, record the name of the person who created the materials.

1.3 Parallel form(s) of name

Purpose:
To indicate the various forms in which the Authorised form of name of an institution with archival holdings occurs in other languages or script form(s).

Rule:
Record the parallel form(s) of name of the institution with archival holdings in accordance with any relevant

national or international conventions or rules applied by the agency that created the description, including any necessary sub elements and/or qualifiers required by those conventions or rules. Specify in the Rules and/or conventions element (5.6.3) which rules have been applied.

Supplemental rules for transitional justice surveys:
1. Record the institution's name in other official languages, if any.
2. For personal materials, record the name of the person with custody of the materials if different from the creator; for example, if a daughter has the papers of her mother, record the daughter's name. If the person with custody is the creator, do not use 1.3.

1.4 Other form(s) of name

Purpose:
To indicate any other name(s) for the institution with archival holdings not used elsewhere in the Identity Area.

Rule:
Record any other name(s) by which the institution with archival holdings may be known. This could include other forms of the same name, acronyms; other institutional names; or changes of name over time, including, if possible, relevant dates.

Supplemental rules for transitional justice surveys:
1. Record any previous names for the same institution. If none, do not use 1.4.
2. For persons who created the materials, record birth name or married name if different from current name. If none, do not use 1.4.

1.5 Type of institution with archival holdings

Purpose:
To identify the type of an institution with archival holdings.

Rule:
Identify the type of the institution with archival holdings.

Note:
different consistent systems of criteria can be used and/or combined to classify institutions with archival holdings, in accordance with any relevant national or international conventions, rules or controlled vocabularies.

Supplemental rules for transitional justice surveys:
Choose one of the following:

→ Government (specify national, district, or local)

→ Business

→ Religious institution

→ School (specify government or non-government)

→ Political party

→ Non-governmental organization

→ Family/individual

2 CONTACT AREA

2.1 Location and address(es)

Purpose:
To provide all relevant addresses for the institution with archival holdings, both physical and electronic.

Rule:

→ Record the location(s) for public access to the institution with archival holdings (street address, postal code, city, province, county or state, country, etc.).

→ Indicate any other relevant addresses (for example addresses of other facilities).

→ Also record the electronic address used by the institution (for example, the URL of their website).

Supplemental rules for transitional justice surveys:
For persons, indicate whether this is a business address or a residence.

2.2 Telephone, fax, email

Purpose:
To provide details necessary to contact the institution with archival holdings.

Rule:
Record the telephone, fax, and/or email addresses and other electronic tools which can be used to contact and/or communicate with the institution with archival holdings.

Supplemental rules for transitional justice surveys:
No additional rules.

2.3 Contact persons

Purpose:
To provide users with all the information needed to contact members of staff.

Rule:
Record the name, the contact details and the position of the members of staff (first name, surname, area of responsibility, email, etc.). This information may relate to the Administrative structure element (3.4).

Supplemental rules for transitional justice surveys:
For persons, use only if the person to contact is different from the person having custody and listed in 1.3 above.

3. DESCRIPTION AREA

3.1 History of the institution with archival holdings

Purpose:
To provide a concise history of the institution with archival holdings.

Rule:
Record any relevant information about the history of the institution with archival holdings. This element may include information on dates of establishment, changes of names, changes of legislative mandates, or of any other sources of authority for the institution with archival holdings.

Supplemental rules for transitional justice surveys:
No additional rules.

3.2 Geographical and cultural context

Purpose:
To provide information about the geographical and cultural context of the institution with archival holdings.

Rule:
Identify the geographical area the institution with archival holdings belongs to. Record any other relevant information about the cultural context.

Supplemental rules for transitional justice surveys:
Use this element only if the context is not clear from the title of the institution and the description in 3.1 above.

Annexes

3.3 Mandates / Sources of authority

Purpose:
To indicate the sources of authority for the institution with archival holdings in terms of its powers, functions, responsibilities or sphere of activities, including territorial.

Rule:
Record any document, law, directive or charter which acts as a source of authority for the powers, functions and responsibilities of the institution with archival holdings, together with information on the jurisdiction(s) and covering dates when the mandate(s) applied or were changed.

Supplemental rules for transitional justice surveys:
1. Record the mandate for the institution. Cite laws, if applicable.
2. If the papers held by a person are not those either made or received by the individual, record here the means by which the person came into possession of the material, such as “Inherited from XX on YY date” or “Purchased from XX on YY date” or “Given to person A by person ZZ on YY date.”

3.4 Administrative structure

Purpose:
To represent the current administrative structure of the institution with archival holdings.

Rule:
Describe, in narrative form or using organisational charts, the current administrative structure of the institution with archival holdings.

Supplemental rules for transitional justice surveys:
1. Provide information for the administrative structure only in the entry for the headquarters (central office).

2. For a subordinate part of a larger entity, report only the names of the unit and its immediate superior; for example, San Carlos sub-station, Alameda Police.

3.5 Records management and collecting policies

Purpose:
To provide information about the records management and collecting policies of the institution with archival holdings.

Rule:
Record information about the records management and collecting policies of the institution with archival holdings. Define the scope and nature of material which the institution with archival holdings accessions. Indicate whether the repository seeks to acquire archival materials by transfer, gift, purchase and/or loan. If the policy includes active survey and/or rescue work, this might be spelt out.

Supplemental rules for transitional justice surveys:
1. For institutions, describe the records management practices at headquarters (central office) level, if known. If the institution has a written policy, indicate whether the survey has obtained a copy in paper or electronic format. If no information, write “No information available.” If the institution says it has no records management policy, write “Institution says it has no records management policy.”
2. For institutions like NGOs that collect information on specific topic, such as information on disappeared persons, describe the collecting criteria the institution uses.

3.6 Building(s)

Purpose:
To provide information about the building(s) of the institution with archival holdings.

Rule:
Record information on the building(s) of the institution with archival holdings (general and architectural characteristics of the building, capacity of storage areas, etc). Where possible, provide information which can be used for generating statistics.

Supplemental rules for transitional justice surveys:
1. For institutions, list each storage or office area where materials are located.
2. For individuals, state only, “Private house, personal office,” or “Private house, library,” or “Personal office at business.”

3.7 Archival and other holdings

Purpose:
To provide a profile of the holdings of the institution.

Rule:
Record a short description of the holdings of the institution, describing how and when they were formed. Provide information on volume of holdings, media formats, thematic coverage, etc. See “Addenda” below for guidance on how to establish links to archival databases and/or detailed descriptions of the holdings.

Supplemental rules for transitional justice surveys:
Link here to materials described with ISAD(G) for transitional justice surveys.

3.8 Finding aids, guides and publications

Purpose:
To provide a general overview of the published and/or unpublished finding aids and guides prepared by the institution with archival holdings and any other relevant publications.

Rule:

- → Record the title and other pertinent details of the published and/or unpublished finding aids and guides prepared by the institution with archival holdings and of any other relevant publications.
- → Use ISO 690 Information and documentation – Bibliographic references and other national or international cataloguing rules. See “Addenda” below for guidance on how to establish links to online archival catalogues and/or finding aids.

Supplemental rules for transitional justice surveys:
If any published and unpublished finding aids have been created by the institution, such as an NGO, cite. Indicate if survey has obtained a copy, in paper or electronic format. If on line, link here.

4. ACCESS AREA

4.1 Opening times

Purpose:
To provide information on opening times and dates of annual closures.

Rule:
Record the opening hours of the institution with archival holdings and annual, seasonal and public holidays, and any other planned closures. Describe times associated with the availability and/or delivery of services (for example, exhibition spaces, reference services, etc.).

Supplemental rules for transitional justice surveys:
1. Provide for institutions with regular hours for public access. If no public hours, state “No public access.”
2. For institutions or individuals who permit access upon request, state “Access available by prior arrangement.”

4.2 Conditions and requirements for access and use

Purpose:
To provide information about the conditions, requirements and procedures for access to, and use of institutional services.

Rule:
Describe access policies, including any restrictions and/or regulations for the use of materials and facilities. Record information about registration, appointments, readers’ tickets, letters of introduction, admission fees, etc. Where appropriate, refer to the relevant legislation.

Supplemental rules for transitional justice surveys:
Provide for any institution that permits regular access to its materials.

4.3 Accessibility

Purpose:
To provide accessibility information related to the institution and its services.

Rule:
Record information about travelling to the institution and details for users with disabilities, including building features, specialised equipment or tools, parking or lifts.

Supplemental rules for transitional justice surveys:
Provide for any institution that permits regular access to its materials.

5. SERVICES AREA

5.1 Research services

Purpose:
To describe the research services provided by the institution with archival holdings.

Rule:

→ Record information about the onsite services provided by the institution with archival holdings such as languages spoken by staff, research and consultation rooms, enquiry services, internal libraries, map, microfiches, audio-visual, computer rooms, etc.

→ Record as well any relevant information about research services, such as research undertaken by the institution with archival holdings, and the fee charge if applicable.

Supplemental rules for transitional justice surveys:
Provide for any institution that permits regular access to its materials.

5.2 Reproduction services

Purpose:
To provide information about reproduction services.

Rule:
Record information about reproduction services available to the public (microfilms, photocopies, photographs, digitised copies). Specify general conditions and restrictions to the services including applicable fees and publication rules.

Supplemental rules for transitional justice surveys:
Provide for any institution that permits regular access to its materials.

5.3 Public areas

Purpose:
To provide information about areas of the institution availablefor public use.

Rule:
Record information about spaces available for public use (permanent or temporary exhibitions, free or charged internet connection, cash machines, cafeterias, restaurants, shops, etc.).

Supplemental rules for transitional justice surveys:
Do not use.

6. CONTROL AREA

6.1 Description identifier

Purpose:
To identify the description of the institution with archival holdings uniquely within the context in which it will be used.

Rule:
Record a unique description identifier in accordance with local and/or national conventions. If the description is to be used internationally, record the code of the country in which the description was created in accordance with the latest version of ISO 3166 Codes for the representation of names of countries. Where the creator of the description is an international organisation, give the organisational identifier in place of the country code.

Supplemental rules for transitional justice surveys:
Do not use.

6.2 Institution identifier

Purpose:
To identify the agency(ies) responsible for the description.

Rule:
Record the full authorised form of name(s) of the agency(ies) responsible for creating, modifying or disseminating the description or, alternatively, record a

code for the agency in accordance with the national or international agency code standard.

Supplemental rules for transitional justice surveys:
State "Survey by [name of institution]."

6.3 Rules and/or conventions used

Purpose:
To identify the national or international conventions or rules applied in creating the description.

Rule:
Record the names, and where useful the editions or publication dates, of the conventions or rules applied. Specify separately which rules have been applied for creating the Authorised form of name. Include reference to any system(s) of dating used to identify dates in this description (e.g. ISO 8601).

Supplemental rules for transitional justice surveys:
State "ISDIAH for transitional justice surveys."

6.4 Status

Purpose:
To indicate the drafting status of the description so that users can understand the current status of the description.

Rule:
Record the current status of the description, indicating whether it is a draft, finalized and/or revised or deleted.

Supplemental rules for transitional justice surveys:
State "Draft," "Revised," or "Final."

6.5 Level of detail

Purpose:
To indicate whether the description applies a minimal, partial or a full level of detail.

Rule:
Record whether the description consists of a minimal, partial or full level of detail in accordance with relevant international and/or national guidelines and/or rules.
In the absence of national guidelines or rules, minimal descriptions are those that consist only of the three essential elements of an ISDIAH compliant description (see 4.7), while full descriptions are those that convey information for all relevant ISDIAH elements of description.

Supplemental rules for transitional justice surveys:
Do not use.

6.6 Dates of creation, revision or deletion

Purpose:
To indicate when this description was created, revised or deleted.

Rule:
Record the date the description was created and the dates of any revisions to the description. Specify in the Rules and/or conventions element (5.6.3) the system(s) of dating used, e.g. ISO 8601.

Supplemental rules for transitional justice surveys:
1. Enter date created. Use the format year-months-day, in accordance with ISO 2014, "Writing of calendar dates in all numeric form."
2. Enter all dates of revision, indicating that the date is of a revision. Retain the date(s) of all previous versions. For example, 2016-03-16; rev. 2016-03-29.

6.7 Language(s) and script(s)

Purpose:
To indicate the language(s) and/or script(s) used to create the description of the institution with archival holdings.

Rule:
Record the language(s) and/or script(s) of the description. Include the appropriate ISO codes for languages (ISO 639-2 Codes for the representation of names of languages) and/or scripts (ISO 15924 Codes for the representation of names of scripts).

Supplemental rules for transitional justice surveys:
Do not use.

6.8 Sources

To indicate the sources consulted in creating the description of the institution with archival holdings.

Rule:
Record the sources consulted in establishing the description of the institution with archival holdings.

Supplemental rules for transitional justice surveys:
Do not use.

6.9 Maintenance notes

Purpose:
To document additional information relating to the creation of and changes to the description.

Rule:
Record notes pertinent to the creation and maintenance of the description. For example, the names of persons responsible for creating and/or revising the description may be recorded here.

Annexes

Supplemental rules for transitional justice surveys:
1. State name of person completing the survey. For revisions made after the description is final, add the name of the reviser but do not delete the name of the original surveyor.

Annex I b:
Template of ISDIAH for Transitional Justice surveys

1 IDENTITY AREA
1.1 Identifier
1.2 Authorized form (s) of name
1.3 Parallel form (s) of name
1.4 Other form (s) of name
1.5 Type of institution with archival holdings

2 CONTACT AREA
2.1 Location and address
2.2 Telephone, fax, email
2.3 Contact Persons

3 DESCRIPTION AREA
3.1 History of the institution with archival holdings
3.2 Geographical and cultural context
3.3 Mandate / Source of authority
3.4 Administrative structure
3.5 Records management and collecting policies
3.6 Building(s)
3.7 Archival and other holdings
3.8 Finding aids, guides and publications

4 ACCESS AREA
4.1 Opening hours
4.2 Conditions and requirements for use and access
4.3 Accessibility

5 SERVICE AREA
5.1 Research assistance services
5.2 Reproduction services
5.3 Public areas

5 CONTROL AREA
6.1 Description identifier
6.2 Identifier of the institution
6.3 Rules and /or conventions used
6.4 Status
6.5 Level of detail

6.6 Dates of creation, revision or deletion
6.7 Language(s) and script(s)
6.8 Sources
6.9 Maintenance notes

A. LINKING OF THE INSTITUTION DESCRIPTION, FILES, ARCHIVAL HOLDINGS WITH ARCHIVAL RESOURCES AND PRODUCERS
A.1 Title and identifier of the related archival resource
A.2 Description of relationship
A.3 Dates of relationship

Annex II a:
Application of ISAD(G) for Transitional Justice Surveys

GENERAL INTERNATIONAL STANDARD ARCHIVAL DESCRIPTION, SECOND EDITION (ISAD(G)) – see also: ISAD(G) second edition

Trudy Huskamp Peterson, 2016

ISAD(G) descriptions are linked to the ISDIAH describing the institution that has custody of the archives (Annex I). In general, ISAD(G) descriptions will be prepared for series of archives. A series is a body of archives that has a common filing order (the most usual way to identify a series), a common subject, and/or a common physical format (paper, bound volumes, cassette audio recordings, etc.). ISAD(G) descriptions may also be created if a particularly important file, item, photograph, or unique material is found. In these cases, it is important to link the description to the series of archives of which it is a part.

While some archives to be surveyed will be in filing cabinets or boxes with a label, others will be in heaps in stairwells, in damp basements, and in disgusting conditions. In these cases, the surveyor will have to make an educated guess about the nature of the archives. For consistency, call such a mass a series, although it is likely that more than one series will be found when the materials are sorted.

For surveys of electronic records, the surveyors will need to obtain assistance and passwords from the institution's technical support staff. That staff will have basic information about the electronic systems in use, and they will be able to tell you the number of authorized users for each system. Government institutions and large nongovernment ones usually will have word processing and other desktop applications (whether or not these records are stored on individual computers or centrally), email (also either individual or central), databases, and

websites. Many additional types are possible. The survey needs to include all these systems.

The Purpose and Rule for each element are those of ISAD(G). Each is followed by a supplemental rule, which provides additional information for the surveyor.

1. IDENTITY STATEMENT AREA

1.1 Reference code(s)

Purpose:
To identify uniquely the unit of description and to provide a link to the description that represents it.

Rule:
Record, as necessary for unique identification, the following elements:

→ the country code in accordance with the latest version of ISO 3166 Codes for the representation of names of countries;

→ the repository code in accordance with the national repository code standard or other unique location identifier;

→ a specific local reference code, control number, or other unique identifier.

All three elements must be present for the purpose of information exchange at the international level.

Supplemental rules for transitional justice surveys:
1. Use the ISDIAH code for the repository. Leave a space, enter S for a series, F for a file unit or I for a single item. Follow that identifier with a consecutive number.
   Example: CO PN16 S0022 (for Colombia, Policia Nacional in Province 16, the 22nd series surveyed)

2. Blocks of consecutive number can be assigned to individual surveyors. At the completion of the survey, surveyors must report unused numbers to ensure that there is no future confusion as to whether a number was used and a survey form should exist.

1.2 Title

Purpose:
To name the unit of description.

Rules:
Provide either a formal title or a concise supplied title in accordance with the rules of multilevel description and national conventions.

If appropriate, abridge a long formal title, but only if this can be done without loss of essential information.
For supplied titles, at the higher level, include the name of the creator of the records. At lower levels one may include, for example, the name of the author of the document and a term indicating the form of the material comprising the unit of description and, where appropriate, a phrase reflecting function, activity, subject, location, or theme.

Distinguish between formal and supplied titles according to national or language conventions.

Supplemental rules for transitional justice surveys:
1. If the archives being described already have a title, use it.
   For example, filing cabinet drawers may say “Estadisticas” or a database may be called “Assignments.”
2. When the original title of the unit of description is unclear, add clarifying information after it in brackets.
   Example: SCU [Serious Crimes Unit]
3. If the original title is spelled incorrectly and if the correct spelling is necessary for understanding, add the correct spelling after it in brackets.
   Example: Personal [Personnel]
4. For heaps of archives, usually paper, that are in no apparent order, create a title and indicate that it is for a disordered body of material.
   Example: Procurement documents [disordered; additional subjects possible]

Annexes

1.3 Date(s)

Purpose:
To identify and record the date(s) of the unit of description.

Rules:
Record at least one of the following types of dates for the unit of description, as appropriate to the materials and the level of description.

Date(s) when records were accumulated in the transaction of business or the conduct of affairs; Date(s) when documents were created. This includes the dates of copies, editions, or versions of, attachments to, or originals of items generated prior to their accumulation as records.

Identify the type of date(s) given. Other dates may be supplied and identified in accordance with national conventions.

Record as a single date or a range of dates as appropriate. A range of dates should always be inclusive unless the unit of description is a record-keeping system (or part thereof) in active use.

Supplemental rules for transitional justice surveys:
1. Dates are written in year-month-day format in accordance with ISO 2014, “Writing of calendar dates in all-numeric form.” The all numeric form is preferable because it is internationally easier to understand than numbers for years and words for months.

The all-numeric system can be extended to accommodate hour and minute, if required to describe radio or television broadcasts.

→ Example: 1998-02-22

→ Example: 1998-02-22-09-12

2. Descriptions of series use only the year or the year-month. Day is included when describing a single item such as a daily publication, a radio broadcast, or a television program.
3. When the dates of creation of one or a small number of items is significantly outside the range of dates of the body of material being described, indicate the break by use of a comma to separate the non-sequential items.
   Example: 1960, 1982-1985
4. When there are significant gaps in the series, indicate the break by use of a comma to separate the two span dates.
   Example: 1962–1966, 1970–1971
5. When there is a continuous sequence of documents, but most of them were created between two dates, record the span dates and the predominant dates.
   Example: 1973–1985 (predominant 1980–1983)
6. When there is a continuous sequence of documents, but many dates are missing, list first and last dates and indicate gaps.
   Example: 1962–1985 (with gaps)

1.4 Level of description

Purpose:
To identify the level of arrangement of the unit of description.

Rule:
Record the level of this unit of description.

Examples:

→ Series

→ File

→ Item

Supplemental rules for transitional justice surveys:
1. Normally use series.
2. “Item” means the smallest physical entity handled by the user, irrespective of the number of parts of the intellectual contents within the physical entity. For example, a video tape of a news program will contain within it a number of segments, but the ISAD(G) description will describe the contents of the tape as an entire item.

1.5 Extent and medium of the unit of description (quantity, bulk, or size)

Purpose:
To identify and describe a) the physical or logical extent and b) the medium of the unit of description.

Rules:
Record the extent of the unit of description by giving the number of physical or logical units in Arabic numerals and the unit of measurement. Give the specific medium (media) of the unit of description.

Alternatively, give the linear shelf space or cubic storage space of the unit of description. If the statement of extent for a unit of description is given in linear terms and additional information is desirable, add the additional information in parentheses.

Optionally, where the unit of description is a record-keeping system (or part thereof) in active use, show the known extent at a given date and/or the extent in custody.

Supplemental rules for transitional justice surveys:

1. The principal measurement is directed to the quantity of material available to the user. Archives are measured from the front of the container (for example, a file drawer) to the back of the container.
2. Textual (paper) archives are described in metres to the second decimal point. Optionally, the number of boxes or volumes can be indicated in parentheses.
   Example: 1.30 linear metres paper (64 volumes)
3. If the textual records are less than 0.10 metre, add the words "less than" and the approximate or actual number of pages.
   Example: Less than 0.10 linear meters (63 pages)
4. Still photographs described above the item level may be described either in number of items or in meters with the approximate or actual number of items. Use the rule in 3 above for indicating quantities of less than 0.10 linear meters.
5. Motion pictures, sound, and video productions may have more than one physical item in a single unique production. Describe the number of unique productions first and the number of reels following in parentheses.
   Example: 1 motion picture (6 reels)
6. Electronic records will be described by number of electronic files, with the number of kilobytes, megabytes or gigabytes in parentheses.
   Example: 5 electronic files (20 MG)

2. CONTEXT AREA

[Some of the information in this area, i.e., the name of the creator(s) and the administrative/biographical history may, in certain applications, be accommodated in linked authority files.]

2.1 Name of creator(s)

Purpose:
To identify the creator (or creators) of the unit of description.

Annexes

Rule:
Record the name of the organization(s) or the individual(s) responsible for the creation, accumulation and maintenance of the records in the unit of description. The name should give in the standardized form as prescribed by international or national conventions in accordance with the principles of ISAAR(CPF).

Supplemental rules for transitional justice surveys:

1. If the series is created by the entire institution described in the ISDIAH, do not use this element, because the institution will have been described there. For example, NGOs may have only central files.
2. Use this element when the series is created by a subunit of the entity described in the ISDIAH; for example, if this is the ISAD(G) for the chronological file of the deputy director of the institution, this element would say "deputy director."
3. If the archives are those of a person, leave this element blank.

2.2 Administrative / Biographical history

Purpose:
To provide an administrative history of, or biographical details on, the creator (or creators) of the unit of description to place the material in context and make it better understood.

Rules:
Record concisely any significant information on the origin, progress, development and work of the organization (or organizations) or on the life and work of the individual (or individuals) responsible for the creation of the unit of description. If additional information is available in a published source, cite the source.

The Information Areas of ISAAR(CPF) suggest specific informational elements that may be included in this element.

For persons or families record information such as full names and titles, dates of birth and death, place of birth, successive places of domicile, activities, occupation or offices, original and any other names, significant accomplishments, and place of death.

Supplemental rules for transitional justice surveys:
Do not use this element.

2.3 Archival history

Purpose:
To provide information on the history of the unit of description that is significant for its authenticity, integrity and interpretation.

Rules:
Record the successive transfers of ownership, responsibility and/or custody of the unit of description and indicate those actions, such as history of the arrangement, production of contemporary finding aids, re-use of the records for other purposes or software migrations, that have contributed to its present structure and arrangement. Give the dates of these actions, insofar as they can be ascertained. If the archival history is unknown, record that information. Optionally, when the unit of description is acquired directly from the creator, do not record an archival history but rather, record this information as the immediate source of acquisition. (See 2.4)

Supplemental rules for transitional justice surveys:
Do not use this element.

2.4 Immediate source of acquisition or transfer

Purpose:
To identify the immediate source of acquisition or transfer.

Annexes

Rule:
Record the source from which the unit of description was acquired and the date and/or method of acquisition if any or all of this information is not confidential. If the source is unknown, record that information. Optionally, add accession numbers or codes.

Supplemental rules for transitional justice surveys:
Do not use this element.

3. CONTENT AND STRUCTURE AREA

3.1 Scope and content

Purpose:
To enable users to judge the potential relevance of the unit of description.

Rule:
Give a summary of the scope (such as, time periods, geography) and content, (such as documentary forms, subject matter, administrative processes) of the unit of description, appropriate to the level of description.

Supplemental rules for transitional justice surveys:
1. The summary should begin with a statement of the general nature of the records.
2. Any specific examples or mentions of exceptional items should normally be at the end of the note.
   Example: Records relating to the establishment the Police Training Academy. Includes copies of the Academy's constitution, correspondence, initial curriculum plan, job descriptions, and program for the opening ceremony. Of particular interest is the correspondence relating to the program for literacy training for police recruits.

3.2 Appraisal, destruction and scheduling information

Purpose:
To provide information on any appraisal, destruction and scheduling action.

Rules:
Record appraisal, destruction and scheduling actions taken on or planned for the unit of description, especially if they may affect the interpretation of the material.

Where appropriate, record the authority for the action.

Supplemental rules for transitional justice surveys: If it is obvious that archives have been destroyed, note it here. Example: No email before 2014-07-01

3.3 Accruals

Purpose:
To inform the user of foreseen additions to the unit of description.

Rule:
Indicate if accruals are expected. Where appropriate, give an estimate of their quantity and frequency.

Supplemental rules for transitional justice surveys:
Use either "Open, in use" or "Closed."

3.4 System of arrangement

Purpose:
To provide information on the internal structure, the order and/or the system of classification of the unit of description.

Rule:
Specify the internal structure, order and/or the system of classification of the unit of description. Note how these have been treated by the archivist. For electronic records, record or reference information on system design.

Alternatively, include any of this information in the Scope and Content element (3.3.1) according to national conventions.

Supplemental rules for transitional justice surveys:
1. This element is used for describing series, not file units or items.
2. Common systems of arrangement are:
   - → Chronological
   - → Alphabetical
   - → Numeric
   - → Alpha-numeric
   - → Geographic

4. CONDITIONS OF ACCESS AND USE AREA

4.1 Conditions governing access

Purpose:
To provide information on the legal status or other regulations that restrict or affect access to the unit of description.

Rule:
Specify the law or legal status, contract, regulation or policy that affects access to the unit of description. Indicate the extent of the period of closure and the date at which the material will open when appropriate.

Supplemental rules for transitional justice surveys:
Indicate whether the archives are security classified. If they are, indicate the highest level of classification.

4.2 Conditions governing reproduction

Purpose:
To identify any restrictions on reproduction of the unit of description.

Rule:
Give information about conditions, such as copyright, governing the reproduction of the unit of description after access has been provided. If the existence of such conditions is unknown, record this. If there are no conditions, no statement is necessary.

Supplemental rules for transitional justice surveys:
1. If the survey is of personal materials and the person retains copyright in the archives, indicate that.
2. For audiovisual materials obtained from sources that assert copyright, a copyright statement MUST be included.
3. If an audiovisual item was obtained from a source other than the records creator and the copyright status of the external item is unknown, record that fact.
4. For audiovisual materials described at the item level, where the series includes the works of various copyright holders, include the copyright description at the item level.
5. In each copyright statement, include the name and (if possible) the address of the copyright holder or the individual executing the copyright.

4.3 Language / scripts of material

Purpose:
To identify the language(s), script(s) and symbol systems employed in the unit of description.

Rule:
Record the language(s) and/or script(s) of the materials comprising the unit of description.

Note any distinctive alphabets, scripts, symbol systems or abbreviations employed.

Optionally, also include the appropriate ISO codes for language(s) (ISO 639-1 and ISO 639- 2: International Standards for Language Codes) or script(s), (ISO 15924: International Standard for Names of Scripts).

Supplemental rules for transitional justice surveys:
1. The purpose of this element is to alert the user of the languages that are needed to use the materials.
2. Do not attempt to identify every language used in any way in the materials; identify the principal languages used. If a language is used in an important single item, such as an audio recording, but is not regularly used elsewhere in the materials, indicate that language is only in the item.

4.4 Physical characteristics and technical requirements

Purpose:
To provide information about any important physical characteristics or technical requirements that affect use of the unit of description.

Rule:
Indicate any important physical conditions, such as preservation requirements, that affect the use of the unit of description. Note any software and/or hardware required to access the unit of description.

Supplemental rules for transitional justice surveys:
1. The purpose here is to indicate to the potential user the physical barriers to research use. It is not the place to create a Condition Assessment Report or a preservation worksheet.

2. If the original items cannot be used but a copy in another format (such as microfiche or CD-ROM) is available, state “ [ ] must be used in lieu of originals.”
3. For technical descriptions of audiovisual materials, provide a link here. Alternatively, note general characteristics that affect the use of the materials.
   Example: Open reel audio tape, 7½ in/s 19.05 cm/s.
4. For technical descriptions of electronic records, provide a link here. Alternatively, note the software required to read the archives.
   Example: 5 ¼ inch floppy disks, WordStar software.

4.5 Finding aids

Purpose:
To identify any finding aids to the unit of description.

Rule:
Give information about any finding aids that the repository or records creator may have that provide information relating to the context and contents of the unit of description.

If appropriate, include information on where to obtain a copy.

Supplemental rules for transitional justice surveys:
1. Provide an electronic link to any finding aids here.
2. For any body of archives that serves as a finding aid to another body of archives (for example, a card index leading a user to paper records), give the ISAD(G) element 1.1 identifier for the finding aid.

5. ALLIED MATERIALS AREA

5.1 Existence and location of originals

Purpose:
To indicate the existence, location, availability and/or destruction of originals where the unit of description consists of copies.

Annexes

Rule:
If the original of the unit of description is available (either in the institution or elsewhere) record its location, together with any significant control numbers. If the originals no longer exist, or their location is unknown, give that information.

Supplemental rules for transitional justice surveys:
1. The purpose of this element is to identify originals of the entire body of records being described, not of particular items within that body. For example, if the institution holds an electrostatic copy of the personal papers of a former official, and the entire series consists of those copies, enter the information on originals.
   Example: Originals in custody of Human Rights Law Center, University of San Pedro.
2. If the original paper records were destroyed after microfiching, filming, electronic data entry, scanning, or other duplication, enter that information here.

5.2 Existence and location of copies

Purpose:
To indicate the existence, location and availability of copies of the unit of description.

Rule:
If the copy of the unit of description is available (either in the institution or elsewhere) record its location, together with any significant control numbers.
Supplemental rules for transitional justice surveys:
1. This element is not used to describe individual items that are duplicated; use it for series.
2. Use this element to indicate that copies exist. For example, if a card file has been converted to a database and the surveyor is describing the card file, use this element to make reference to the database.
3. Indicate both copies in the institution and copies in other repositories.

5.3 Related units of description

Purpose:
To identify related units of description.

Rule:
Record information about units of description in the same repository or elsewhere that are related by provenance or other association(s). Use appropriate introductory wording and explain the nature of the relationship. If the related unit of description is a finding aid, use the finding aids element of description (3.4.5) to make the reference to it.

Supplemental rules for transitional justice surveys:
1. Cite other archives in the institution by 1.1 Reference code number and 1.2 Title. For example, if the description is of the card file and it leads to another body of archives, list the ISAD(G) 1.1 reference code for the other body of archives here.
2. If this element is used to alert users to materials in another institution, include the name and address of the institution; alternatively, include the name of the institution and provide an electronic link to the description of the other repository, if it is also being surveyed. For example, if there is a joint task force by the police and the army, both institutions will have archives relating to it.

5.4 Publication note

Purpose:
To identify any publications that are about or are based on the use, study, or analysis of the unit of description.

Rule:
Record a citation to, and/or information about a publication that is about or based on the use, study, or analysis of the unit of description. Include references to published facsimiles or transcriptions.

Supplemental rules for transitional justice surveys:
Do not use.

6. NOTES AREA

6.1 Note

Purpose:
To provide information that cannot be accommodated in any of the other areas.

Rule:
Record specialized or other important information not accommodated by any of the defined elements of description.

Application rules:

→ List the location of the archives at the time of the survey. For example, “Basement room 2” or “Technology service server.”

→ If significant artifacts are found with the archives, note that here.

→ If related artifacts are held separately, such as in a police evidence control room, note it here.

7. DESCRIPTION CONTROL AREA

7.1 Archivist’s Note

Purpose:
To explain how the description was prepared and by whom.

Rule:
Record notes on sources consulted in preparing the description and who prepared it.

Supplemental rules for transitional justice surveys:

1. List the names of all persons who contributed to the description.
2. If the description is revised, add the name(s) of the persons making the revisions.

7.2 Rules or Conventions

Purpose:
To identify the protocols on which the description is based.

Rule:
Record the international, national and/or local rules or conventions followed in preparing the description.
Supplemental rules for transitional justice surveys:
State "Application of ISAD(G) for Transitional Justice Survey."

7.3 Date(s) of descriptions

Purpose:
To indicate when this description was prepared and/or revised.

Rule:
Record the date(s) the entry was prepared and/or revised.

Supplemental rules for transitional justice surveys:
Indicate if the entry is a revision. Retain the date(s) of all previous versions.
Example: 2003-03-12; rev. 2005-01-25

Annex II b:
Template of ISAD(G) for Transitional Justice Surveys

*Required element

1 IDENTITY STATEMENT AREA
*1.1 Reference code(s)
*1.2 Title
*1.3 Date(s)
*1.4 Level
*1.5 Extent and medium

2 CONTEXT AREA
2.1 Name of creator(s)
2.2 Administrative history [do not use]
2.3 Archival history [do not use]
2.4 Source [do not use]

3 CONTENT AND STRUCTURE AREA
*3.1 Scope and content
3.2 Appraisal, destruction, scheduling
3.3 Accruals (open in use/closed)
3.4 Arrangement

Chronological
Alphabetical
Numeric
Alpha-numeric
Geographic
Other (describe)
Unarranged

4. CONDITIONS OF ACCESS AND USE AREA
4.1 Conditions of access
4.2 Conditions of reproduction
4.3 Language/scripts
4.4 Physical characteristics
4.5 Finding aids

5. ALLIED MATERIALS AREA
5.1 Existence and location of originals
5.2 Existence and location of copies
5.3 Related units of description
5.4 Publication note

6. NOTES AREA
*6.1 Note [required for location of archives]

7. DESCRIPTION CONTROL AREA
*7.1 Archivist's note
*7.2 Rules or conventions
*7.3 Dates of descriptions