ELECTRONIC RECORDS MANAGEMENT SYSTEM REQUIREMENTS

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OUTLINE

› ENTERPRISE RECORDS MANAGEMENT (ERM) SYSTEMS

  › ELECTRONIC AND NON-ELECTRONIC RECORDS

  › ERM KEY CHARACTERISTICS

› STANDARDS FOR MANAGING ELECTRONIC RECORDS

› MOREQ AND MOREQ2 SPECIFICATION

MOTIVATION

› Key benefits of the electronic archives are well known

 – To eliminate costs of physical storage

 – To bypass the barriers of distributed offices

 – To form a backbone for electronic business

   › Automation of the whole process, from data acquisition to its classification, processing and archival

› ERM systems

 – To assure that useless records are systematically destroyed while valuable information is protected and maintained

   › Content creation

   › Storing content

   › Content retrieval

   › Short and long-term preservation

   › Disposition

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WHAT IS A RECORD?

› ISO 15489-1:

 − „*recorded information, in any format, that is created, received and maintains as evidence and information by an organization or person, in pursuance of legal obligations or in the transaction of business.*"

   › opened for all types of records

   › an evidence of business action, transaction or any other activity

     - ex. contract, application, bill, etc.

› To be authoritative, records must be:

 − Authentic

 − Reliable

 − Have integrity

 − Useable

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RECORDS VS. DOCUMENTS

› Differences between documents and records

Document	Record
A "piece" of information you can handle or manage	A "piece" of information you can handle or manage
May be important, or not	Represents important evidence of decision or act
Under the management of its "owner" (usually author)	Under corporate management
Can be changed at will	Cannot be changed
Can be deleted at will	Cannot usually be deleted

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RECORDS MANAGEMENT

› No general definition

› ISO 15489-1

  – "*the field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposal of records, including processes for capturing and maintaining evidence of an information about business activities and transactions in the form of records.*"

› ERM should provide:

  – Reliability of records

  – Protected integrity

  – Compliance

  – Reflection of appropriate business activities

  – Systematic creation, preservation and management of records

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RECORDS MANAGEMENT STANDARDS

DOMEA (Germany) . DOMEA concept is the most important guideline for the implementation of electronic records in Germany.

It consists of three main sections: Organization concept, Requirements catalogue and Expansion modules.

170.000 approved DOEMA licenses in Germany, Austria and Switzerland.

ELAK (Austria). ELAK is a program for a simplification and consolidation of the federal internal management of records. In addition to DOMEA, the ELAK concept describes requirements and functions of the ERM systems in more technical detail.

Gever (Switzerland). The Swiss Gever is collection of five standards that introduces management of electronic records and paper based records administration abandonment. The five standards are: Business Administration, Methods and functions with regard on legal defaults, Business model GEVER Federation, Service catalogue of GEVER applications and GEVER metadata.

Protocollo Informatico/CNIPA (Italy). CNIPA (National Centre for Information Technologies in Public Administration) is the government organization responsible to give support to the Italian public administrations in creating information systems. Protocollo Informatico is document published by CNIPA that describes the electronic protocol as a framework of resources used by administrations for managing documents.

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RECORDS MANAGEMENT STANDARDS

ReMANO (Netherlands). ReMANO is a catalogue of software specifications for ERM systems in Duch government bodies. It is published in 2004. by "Nederlands Instituut voor Archiefonderwijs en – onderzoek".

NOARK (Norway). NOARK-4 is functional requirements specification for ERM and case management systems used in all public authorities in Norway.

PRO/TNA (United Kingdom). The PRO/TNA document is developed by Public Records Office (The National Archive). Its main purpose is to provide a tool for benchmarking ability of government departments to support electronic records management.
Replaced with MoReq2 specification.

MOREQ SPECIFICATION

› The absence of the EU-wide standard
- Complicates interoperable delivery of European eGovernment

› DLM Forum
- Constituted by European Commission
- To investigate, promote and implement possibilities for wider cooperation in the field of electronic archives both between the Member States and at EU level
- MoReq
  › Functional requirements
    - overview of ERM system functionalities, classification scheme, control and security, retention and disposal, capturing records, search, retrieval and rendering, administrative functionalities and other functionalities
  › Non-functional requirements
    - only in outline
  › ERM should be introduced to all offices and operational staff involved in creation, receiving and retrieving records
  › Used worldwide

THE MOREQ2 PROJECT

› MoReq problems
  - Guideline, not a standard
    › No conceivable proof of MoReq compliance
    › No advance since 2001
    › Technology has moved on
    › Uncontrolled MoReq translations referenced in particular ERM systems

MoReq2
  - Evolutionary update
  - Formally published at the beginning of 2008

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MOREQ2 SPECIFICATION

› A collection of obligatory and optional functional and non-functional requirements for the ERM systems

› Requirements grouped in

  – The core module

    › Classification scheme and file organization, controls and security, retention and disposition, capturing and declaring records, referencing, searching, retrieval and presentation, and ERM system administration

  – Optional modules

    › Management of Physical (Non-electronic) Files and Records, Disposition of Physical Records, Document Management and Collaborative Working, Workflow, Casework, Integration with Content Management Systems, Electronic Signatures, Encryption, Digital Rights Management, Distributed Systems, Offline and Remote Working, Fax Integration and Security Categories.

MOREQ2 SPECIFICATION – THE METADATA MODEL

› Based on Dublin Core
› Suggests minimum requirements
  – The starting point for customization and expansion
› Sub-file
  – An intellectual subdivision of a file
    › Invoices, assessments, correspondences, …
› Component
  – A bit stream that makes up a record or document
    › JPEG image of HTML document
› Hybrid file
  – Omitted form the object model
  – MoReq2 allow classes, files, sub-files and volumes to contain electronic records and physical records together
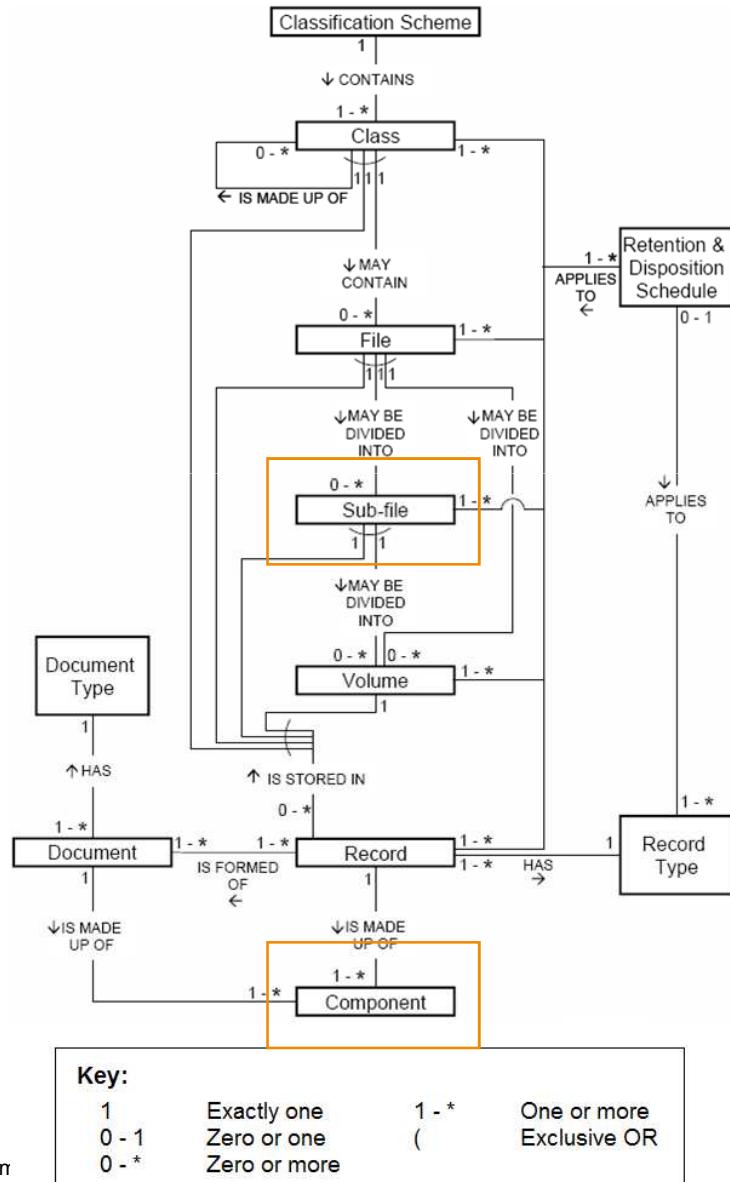
CONCLUSION

› ERM systems assure that useless records are systematically destroyed while valuable information is protected and maintained

› It is important to recognize the adequate ERM standard

› MoReq2 – a step forward in unifying records management software standards and practices across Europe

  – Interoperability between ABC

> MOREQ2 WILL CONTRIBUTE TO THE ACHIEVEMENT OF THE GOALS OF THE EUROPE UNION'S I2010 EGOVERNMENT ACTION PLAN.

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