International Council on Archives Project

Principles and Functional Requirements for Records in Electronic Office Environments

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The Current Situation

- Global market for software products that make and manage records
- Good software is a prerequisite for good recordkeeping
- ISO 15489 – Records Management
- ISO 23081 – Metadata for Records
- Various national/jurisdictional software requirements/specifications
- Need for global harmonisation
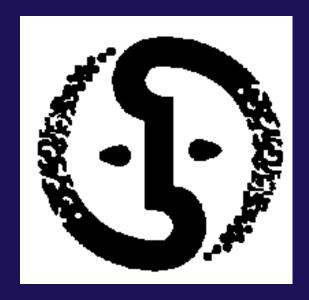
Existing National Specifications

- US DoD 5015.2 Design Criteria Standard
- European Union's MoReq (Model Requirements)
- Germany's DOMEA Concept
- Norway's NOARK
- UK National Archives' Requirements
- National Archives of Australia's ERMS Specs
- Archives New Zealand's Systems Standard
- Victoria's VERS Standard

Project Sponsor 1 - ICA

- Electronic Records Priority Area
- http://www.ica.org/

Project Sponsor 2 - ADRI

- National Archives of Australia
- Archives New Zealand
- Public Record Office Victoria
- State Records New South Wales
- ACT Territory Records
- Archives Office of Tasmania
- Northern Territory Archives Service
- Queensland State Archives
- State Records South Australia
- State Records Office Western Australia

ADRI Vision

All governments in Australia and New Zealand implement a uniform approach to making, keeping and using digital records to ensure accountability and the long-term protection of vital cultural heritage.

– This uniformity leads to efficiency, economy and interoperability across participating communities.

– http://www.adri.gov.au/

Project Team Members (1)

- National Archives of Australia
- Archives New Zealand
- US National Archives and Records Administration
- Bundesarchiv, Germany
- The National Archives (UK)
- National Archives of South Africa

Project Team Members (2)

- National Archives of Malaysia
- National Archives of the Netherlands
- Cayman Islands National Archives
- Queensland State Archives
- National Archives of Sweden

Project Modules

- Overview document – principles, concepts
- High level requirements for ERMS software
- Guidelines and requirements for managing records in business systems
  - Cooperation with EU MoReq 2 Project
  - Options for international software testing regime

Project Timeline

- 1st meeting, Edinburgh, Sept 2006
- 2nd meeting, Canberra, Sept 2007
- Exposure drafts for comment and peer review – early 2008
- 3rd meeting, Koblenz, April 2008
- Finalisation/publication by ICA in time for Kuala Lumpur Congress, July 2008

Project Stakeholders

- ICA/ADRI members and branches
- Software vendors/industry groups
- Governments
- Private sector
- International Standards Organization
- International Records Management Trust

Guiding Principles (records)

1. Electronic business information has to be actively managed and maintained as evidence of business activity

2. Business information has to be linked to its business context by metadata

3. Business information has to be kept and remain accessible to authorised users for as long as required

4. Business information has to be able to be disposed of in a managed, systematic and auditable way

Guiding Principles (systems)

5. Systems for capturing and managing business information have to rely on standardised metadata as an active, dynamic and integral part of the recordkeeping process

6. Systems have to ensure interoperability across platforms and domains and over time

7. Systems should rely as far as possible on open standards and technological neutrality

8. Systems should have the capacity for bulk import and export using open formats

Guiding Principles (systems)

9. Systems must maintain information securely

10. Most metadata should be system generated

11. Systems should support business information management as an organic part of the business process

12. It should be as easy as possible for users to create/capture records of business activity

Implementation Issues

Good software is only one component of successful electronic business information management in organisations:

- Other components include:
Policy frameworks; Business process analysis; Project management; Change management; Risk management; Sustainability; Capability development; Quality management; Configuration management; & Corporate culture

Questions

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