



Internationaler Archivkongress 2004
23.-29. August - Wien - Österreich

Archive, Gedächtnis und Wissen



A Unified Model of the Life Cycle of Records: Bringing Together Different Perspectives

Hans Hofman

A Unified Model for Managing Records

Hans Hofman

Nationaal Archief Netherlands

ISO TC46/SC11



A Unified Model

- Situation: perspectives
- What is it? Background
- Objective(s)
- Modelling Process
- The model itself

Business Context

- Emerging e-business and e-government
 - Globalisation
 - 24/7 Service requirements
 - Complex partnership
 - Increased accountability (e.g. Sarbanes-Oxley Act)
- IT opens up new ways of doing things
 - Cross-organisational, cross-sectoral
 - Interconnectivity, interoperability

Records Perspective

- Any organisation that wants to do business has to take care of managing its information and as part of that, its records
- Impact of technology on the RM business and the object (record)
- IT changes the physical nature of records
- How to apply records and archival principles in digital environment?

Archives Perspective

- Business in its own right
- Represents a level beyond the individual archive of an organisation
- Developments in archival theory (e.g. 'records continuum paradigm')

How to deal with digital records?

- Consensus to be pro-active: think before doing
- Design business with the records creation requirements included (not trying to understand the business process in hindsight)
- Link to business crucial for understanding records
- More compelling in a digital environment that Records Management is integrated in business process

Paradigms, Concepts and Models

- Records Management standard (ISO 15489:2001)
- Records Life Cycle concept
- Records Continuum concept (Monash)
- Inter Pares project
 - Models on Records Creation, Preservation, and Appraisal
- OAIS reference model (ISO 14721:2002)

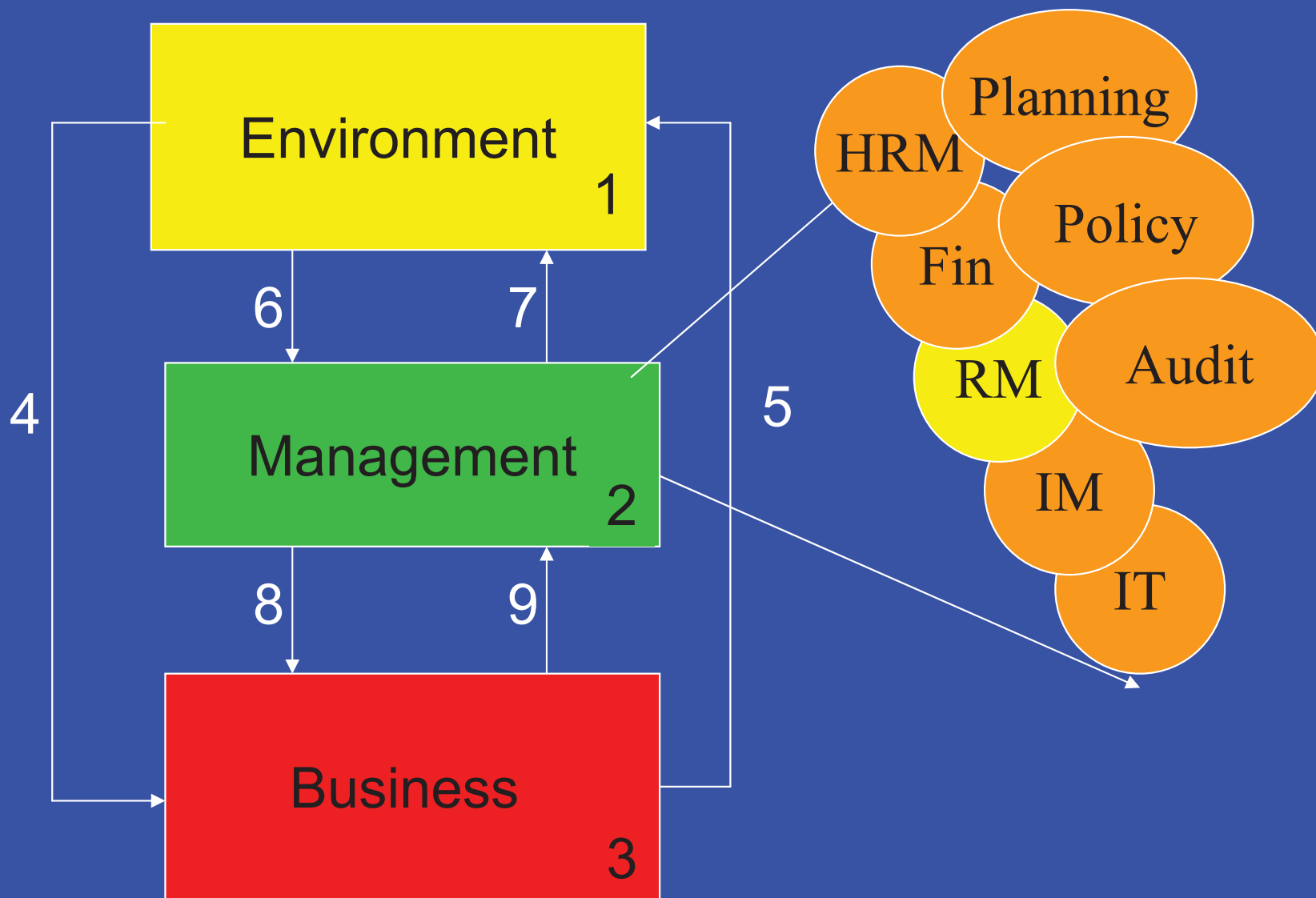
Why a model?

- To delineate the scope of the domain
- To help understanding
- To position yourself.....
- To show and explain relationships between things
- To explain communicate underlying concepts

Criteria for model

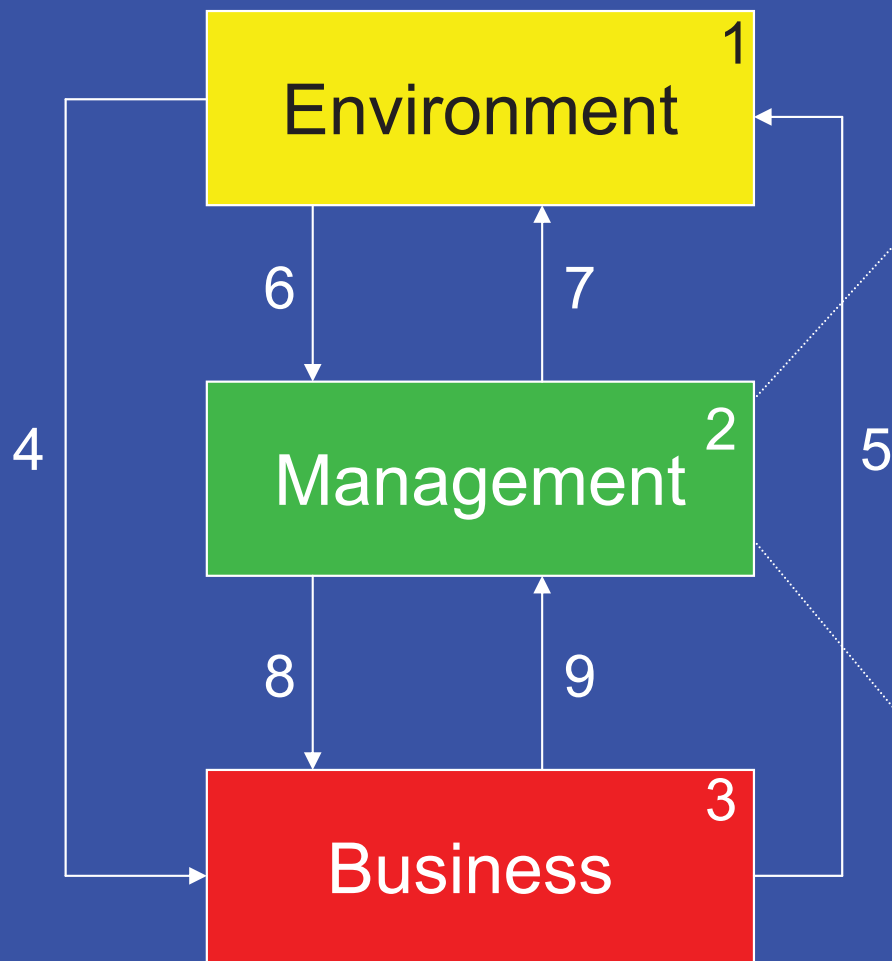
- Comprehensive
- Scalable
- Applicable for all research areas
- Encompass time and space (domains)

The Business context

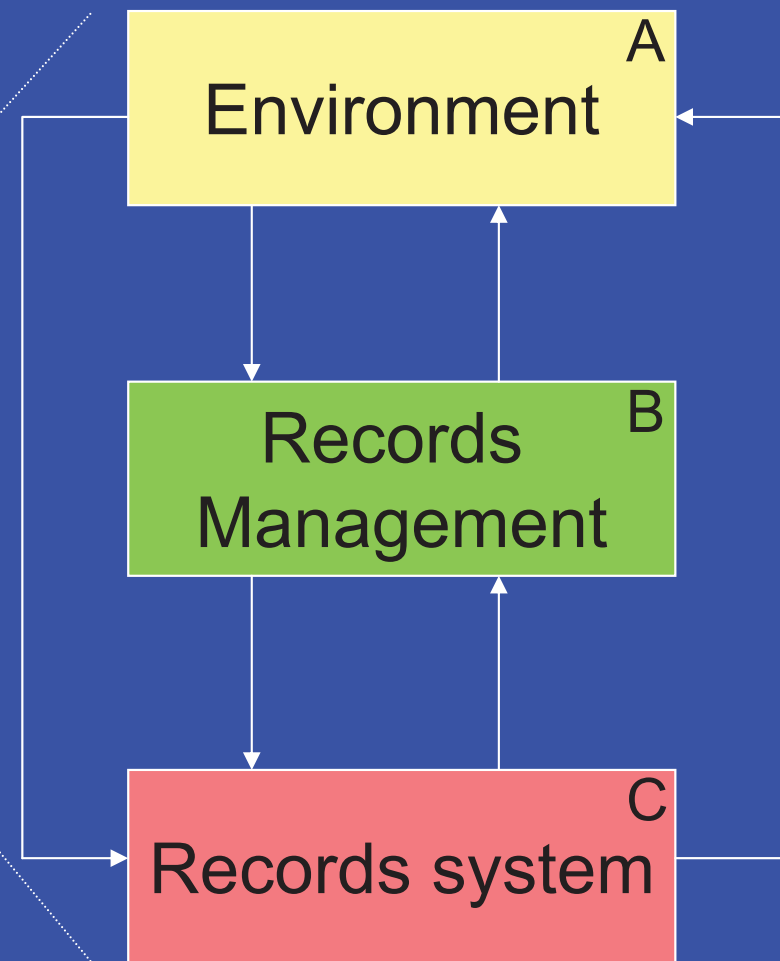


Business model

ORGANISATION



RECORDS MANAGEMENT



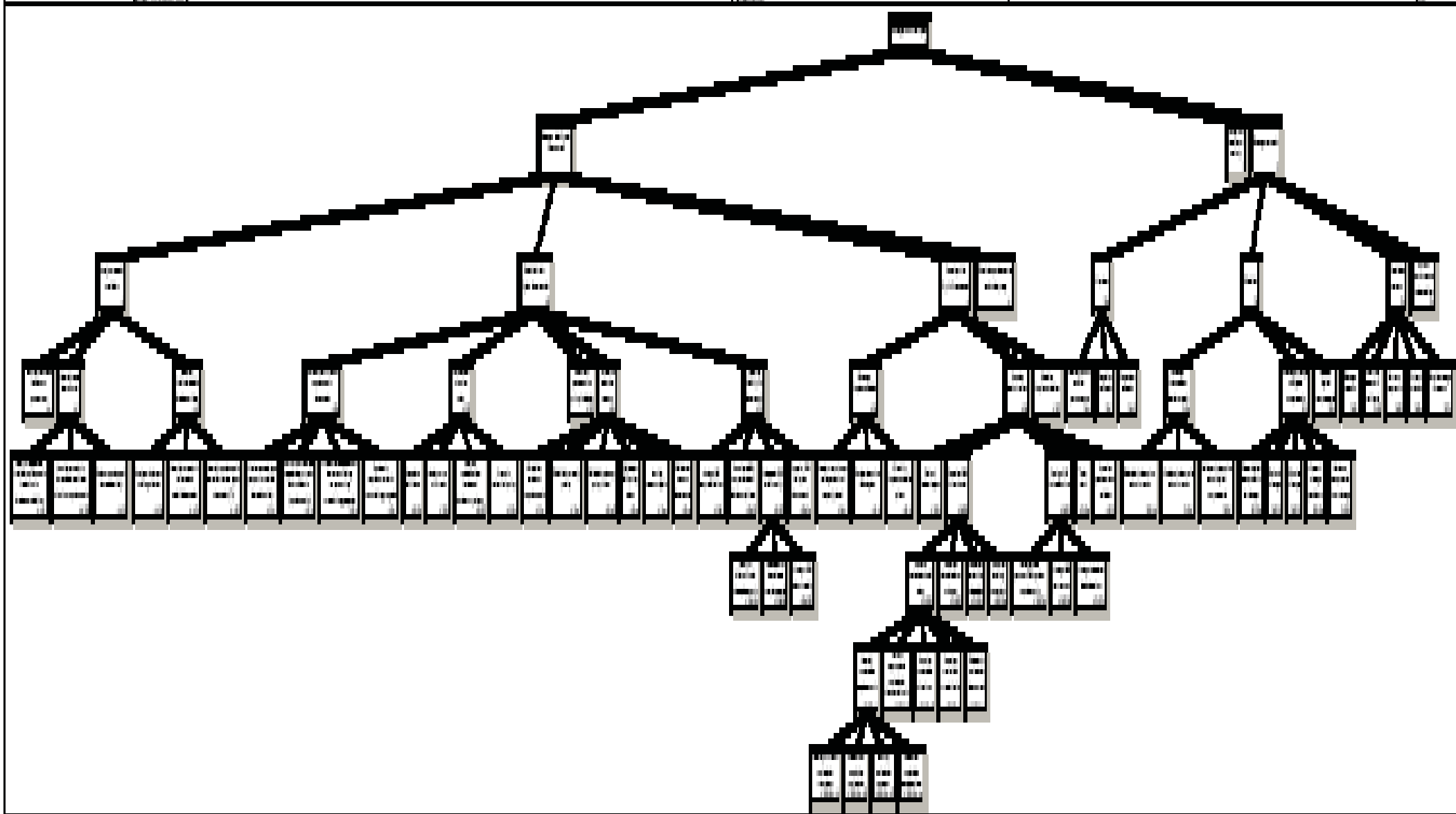
The Viewpoint

- Need to accommodate different viewpoints
 - the organisation
 - the records manager
 - the preserver
 - the appraiser
 -?
- *Different possibilities, but what will make it work?*

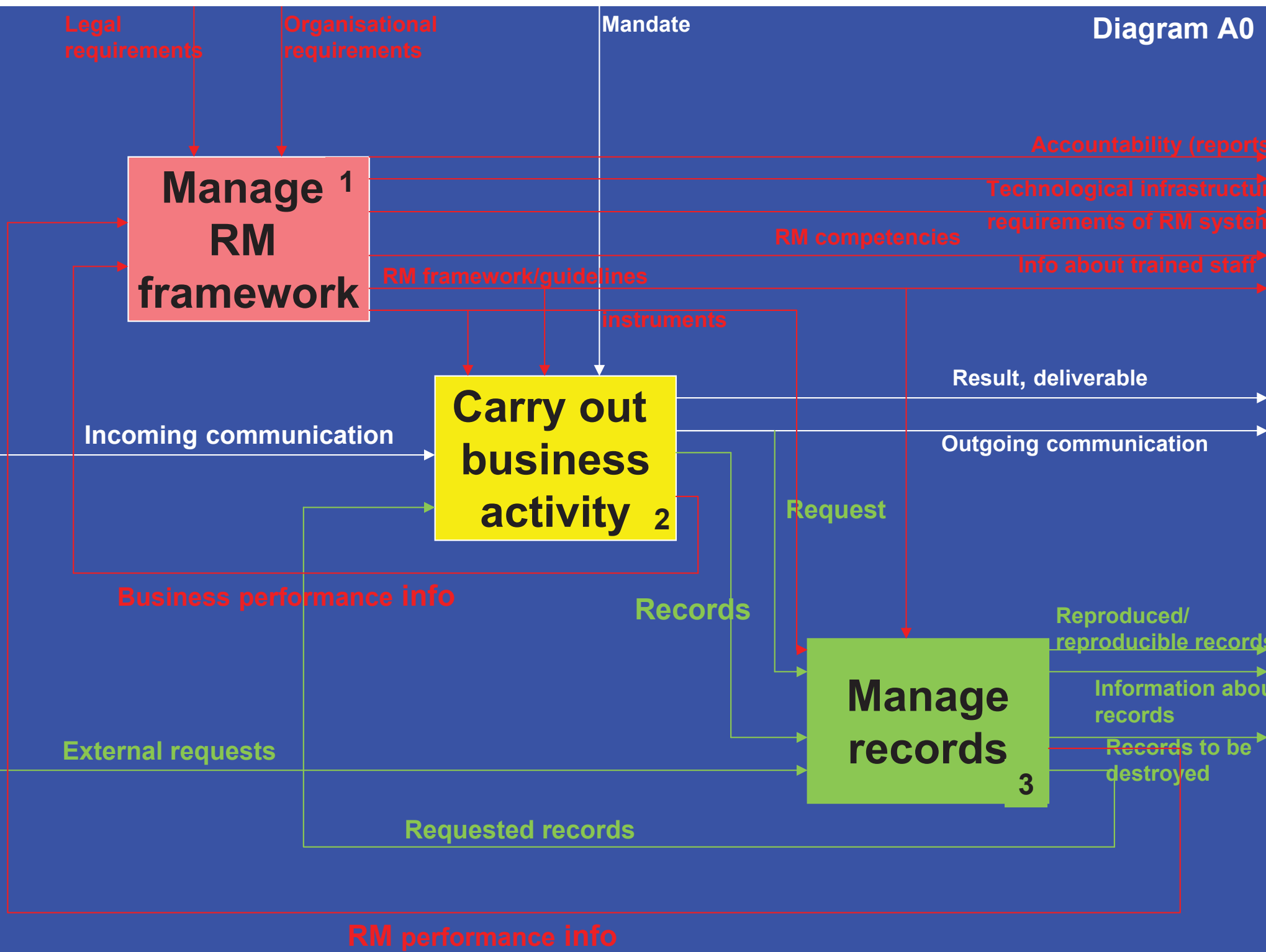
Scope

- Information management in business context
 - e-government, e-business, digital art
 - records creation
 - records management
 - digital preservation
 - use and re-use (access)

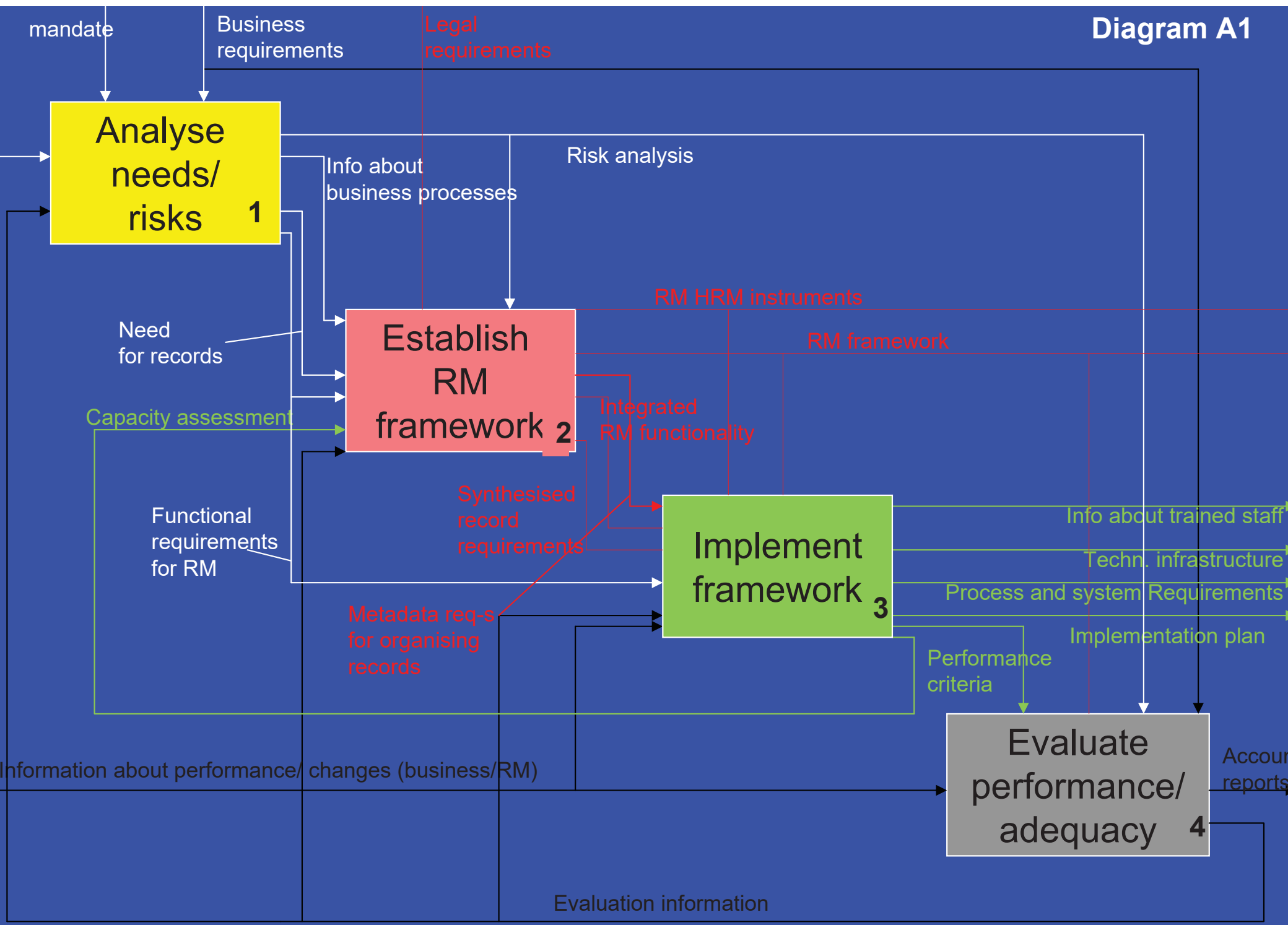
001	001	001	001	001
002	002	002	002	002
003	003	003	003	003
004	004	004	004	004

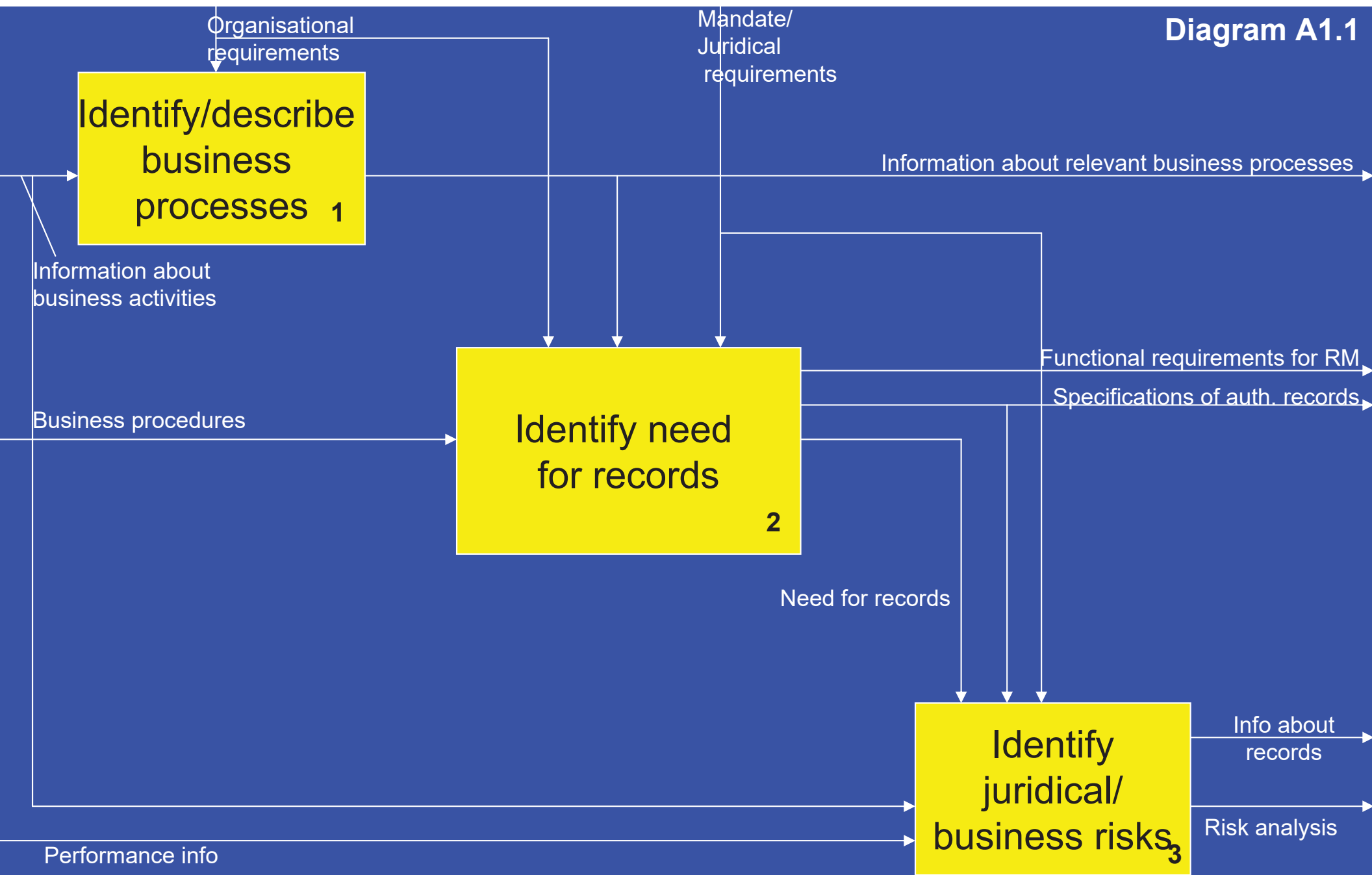


001	001	001	001	001
002	002	002	002	002
003	003	003	003	003
004	004	004	004	004

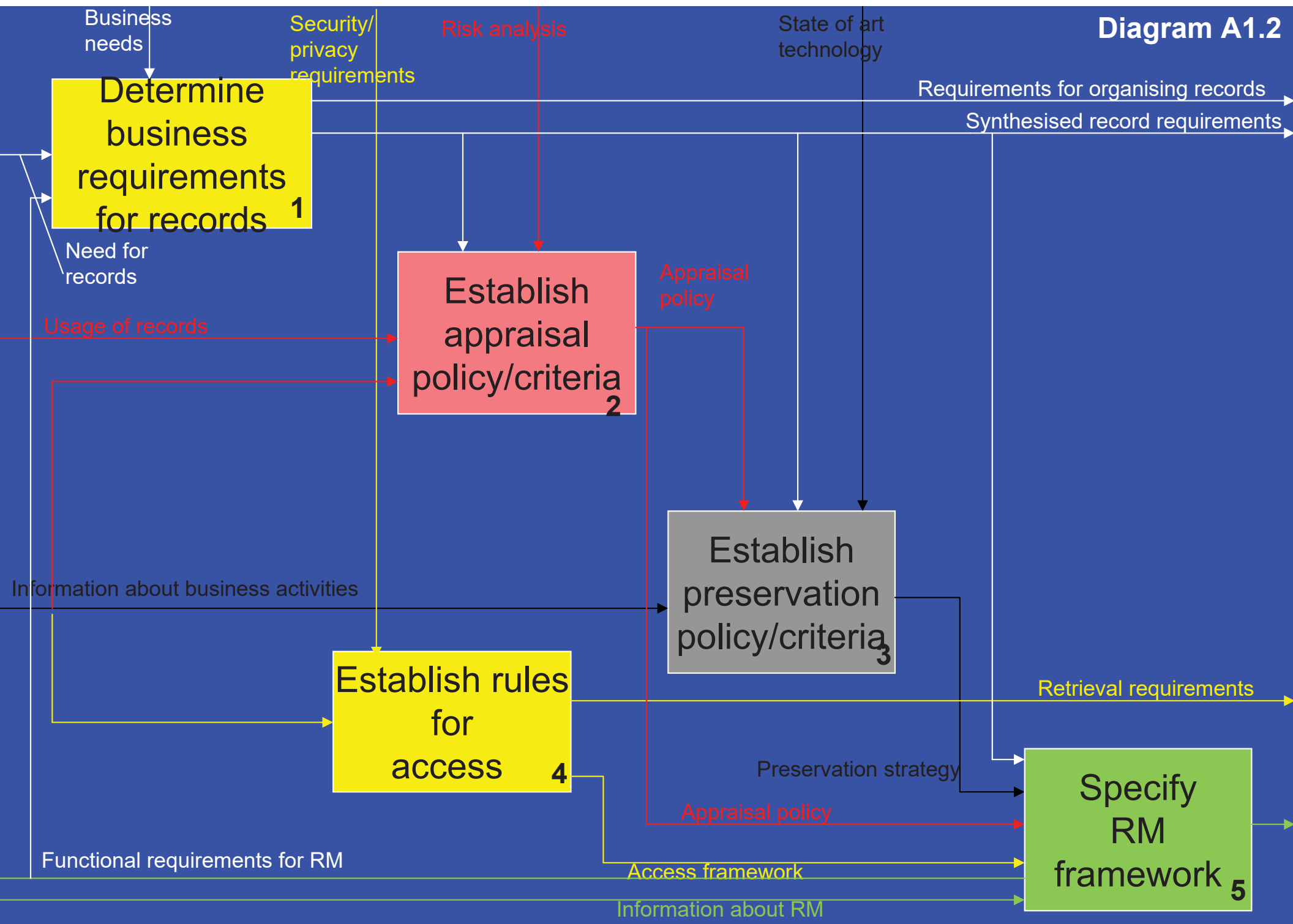


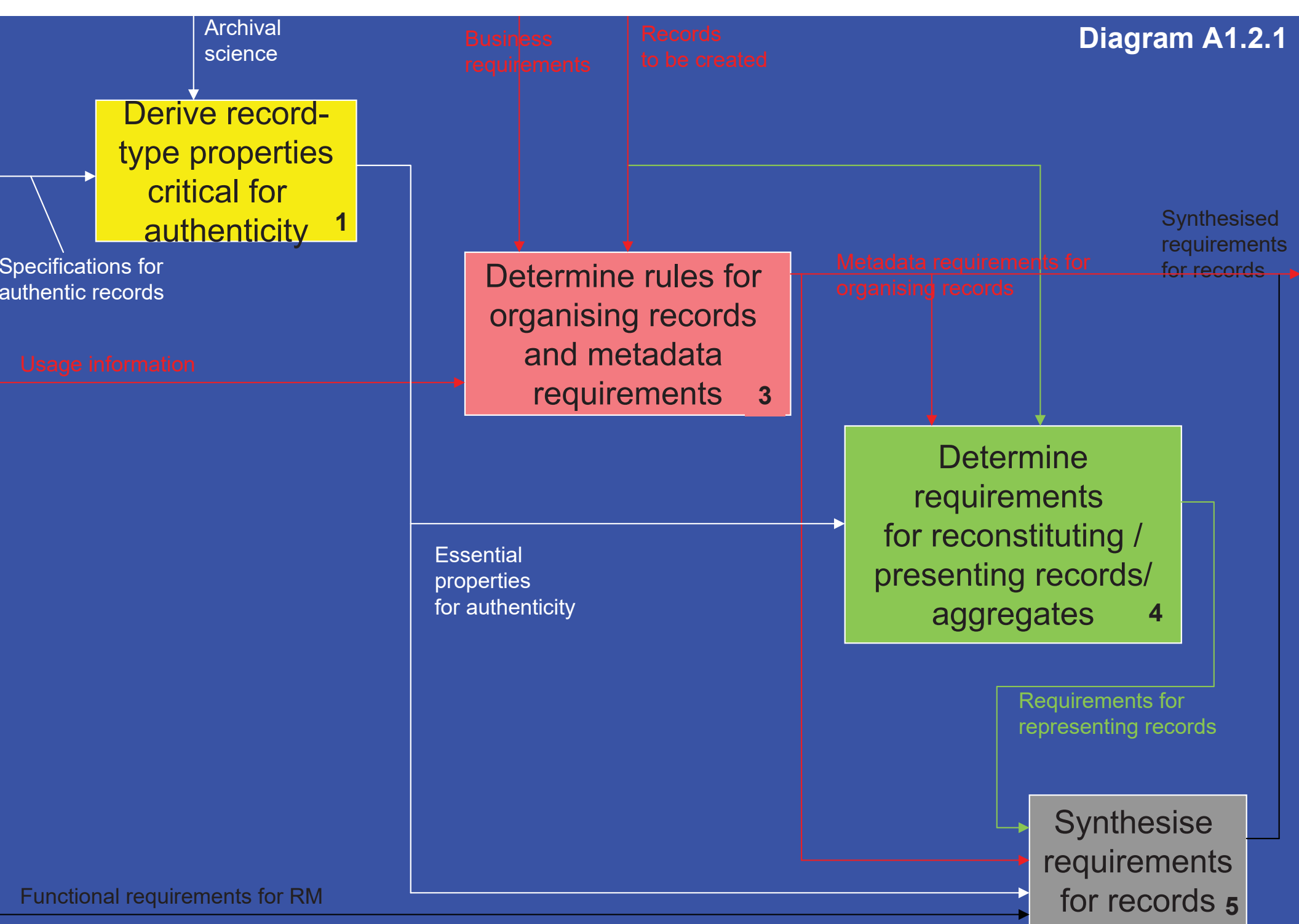
Manage RM Framework A1

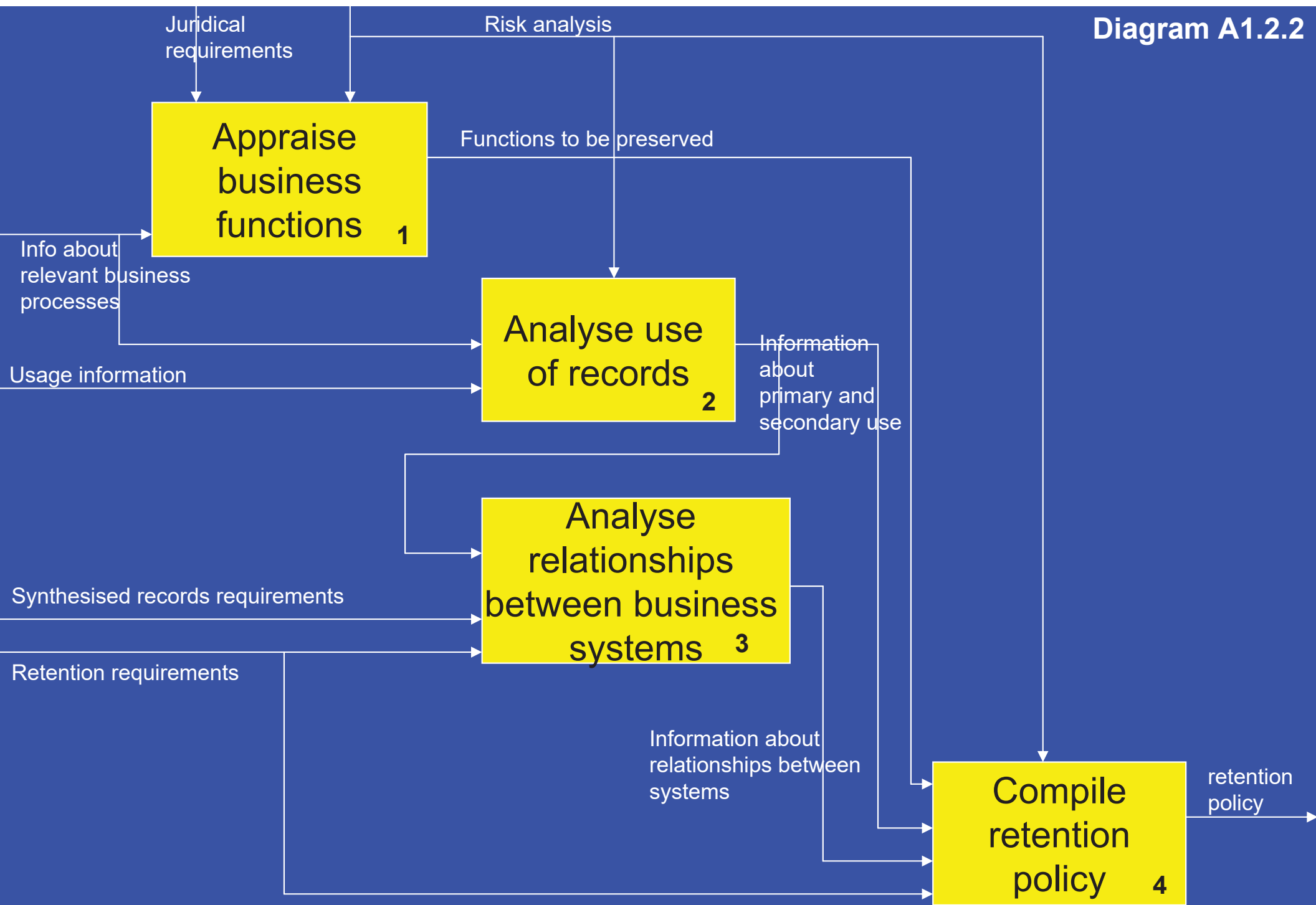


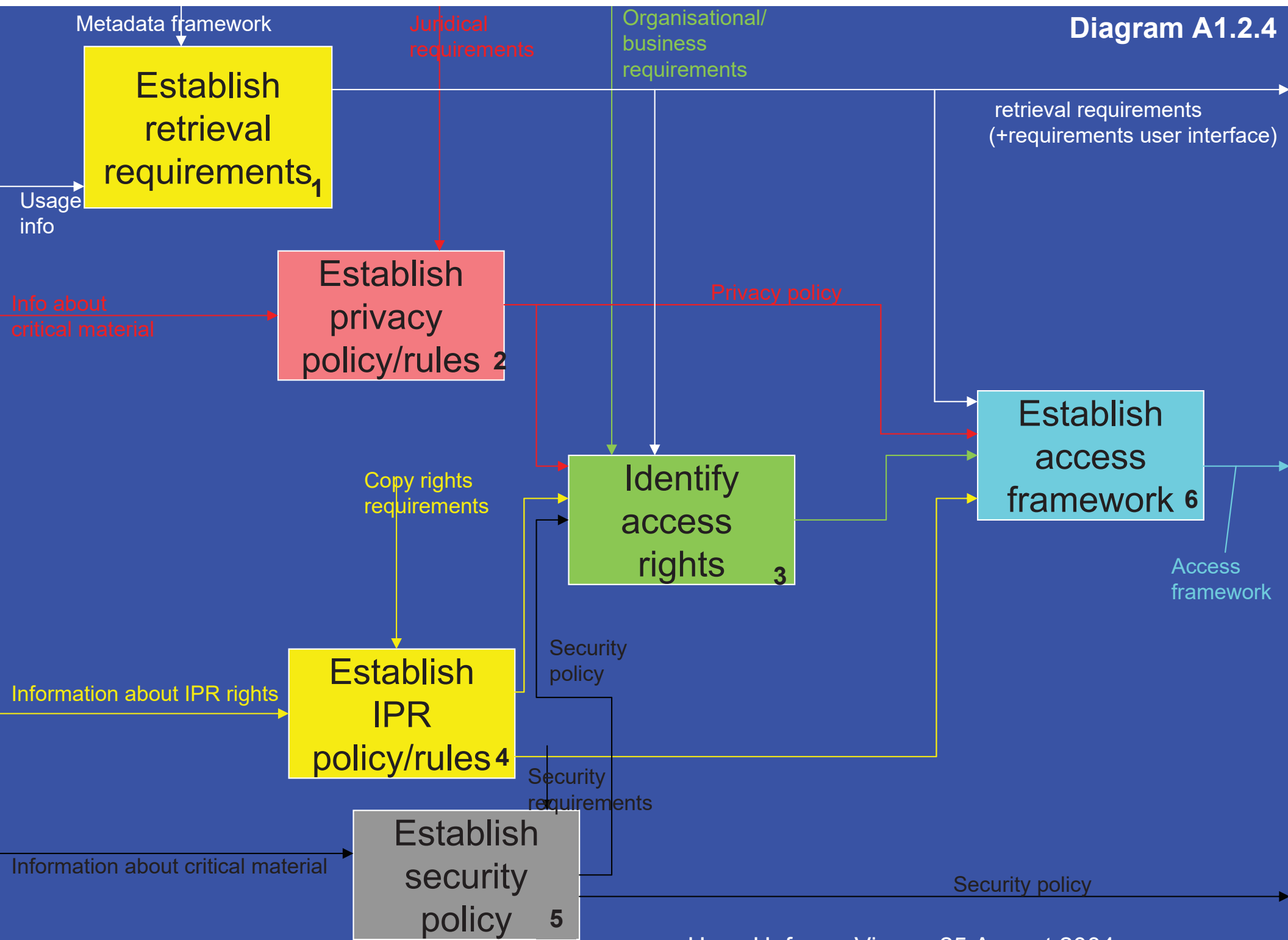


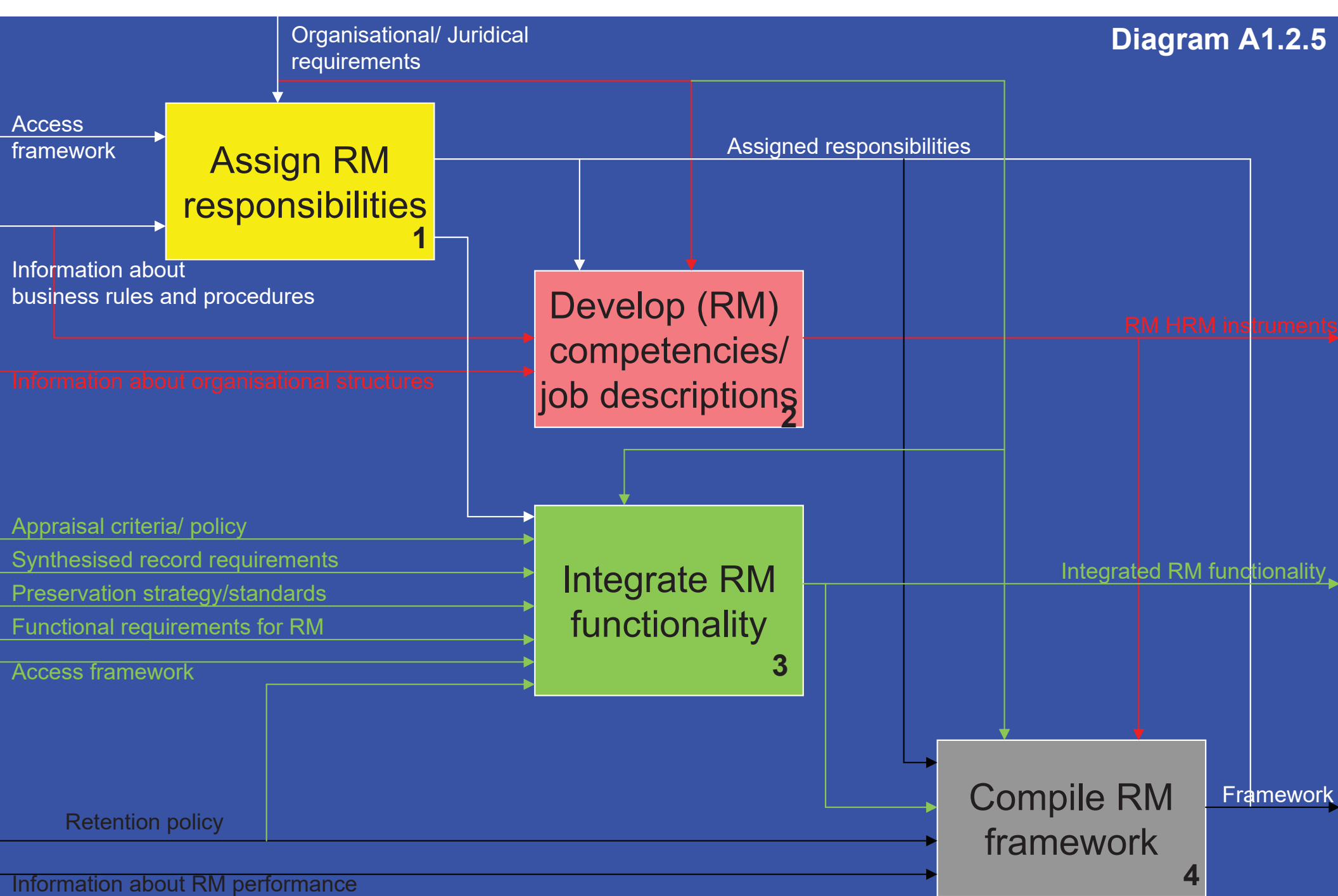
Establish RM Framework A1.2



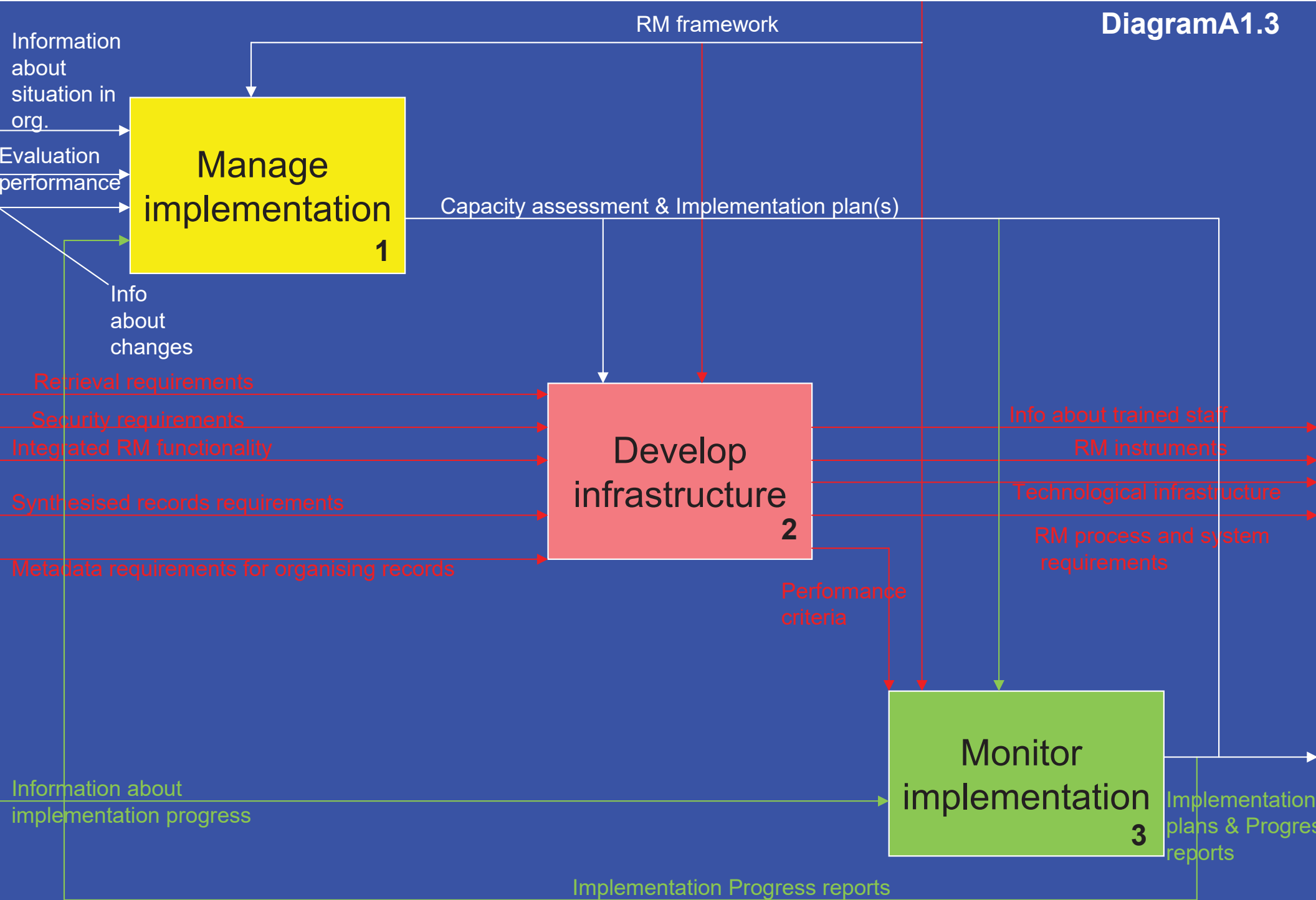






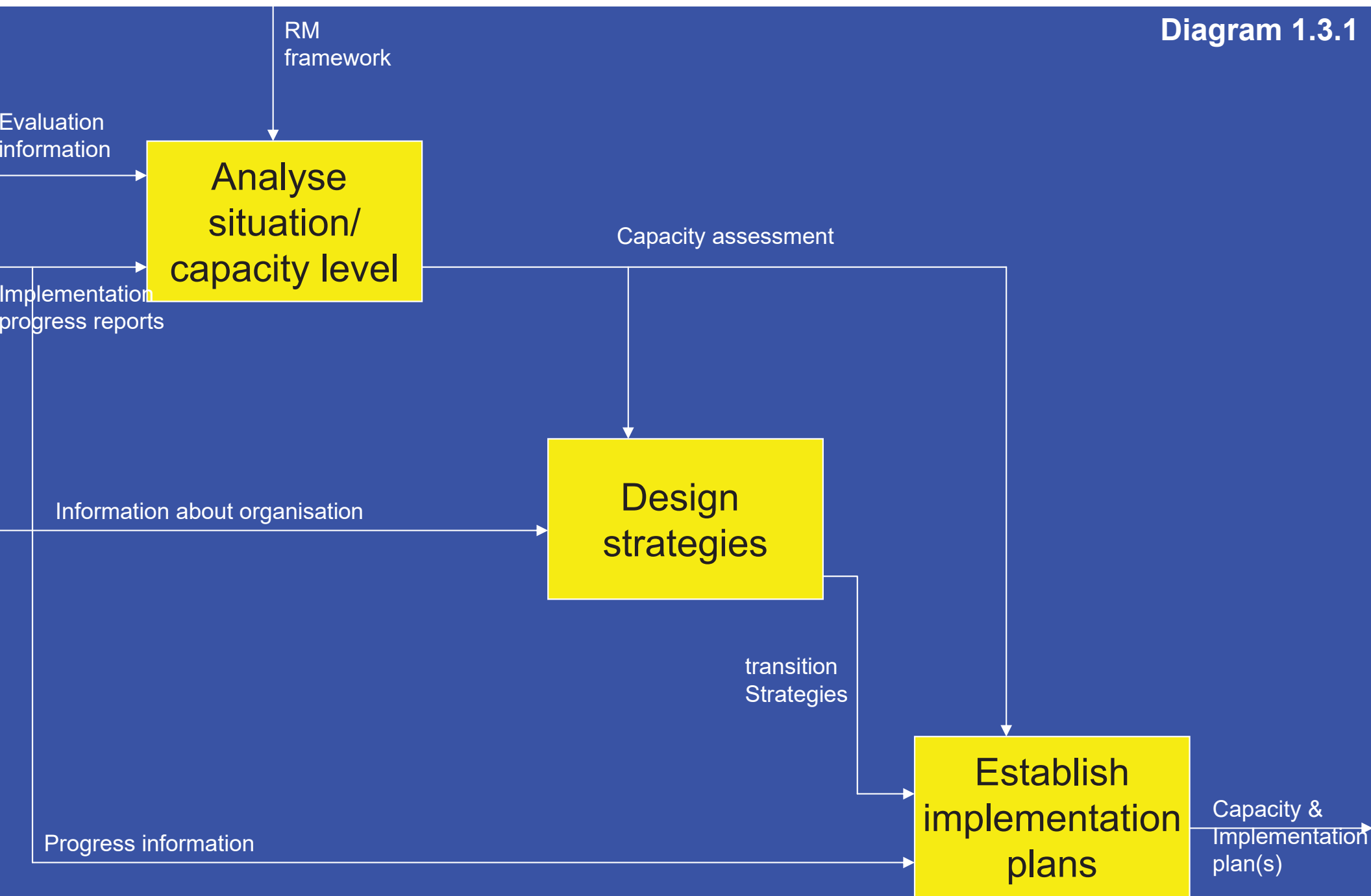


Implement Framework A1.3



Manage Implementation

A1.3.1



Develop Infrastructure

A1.3.2

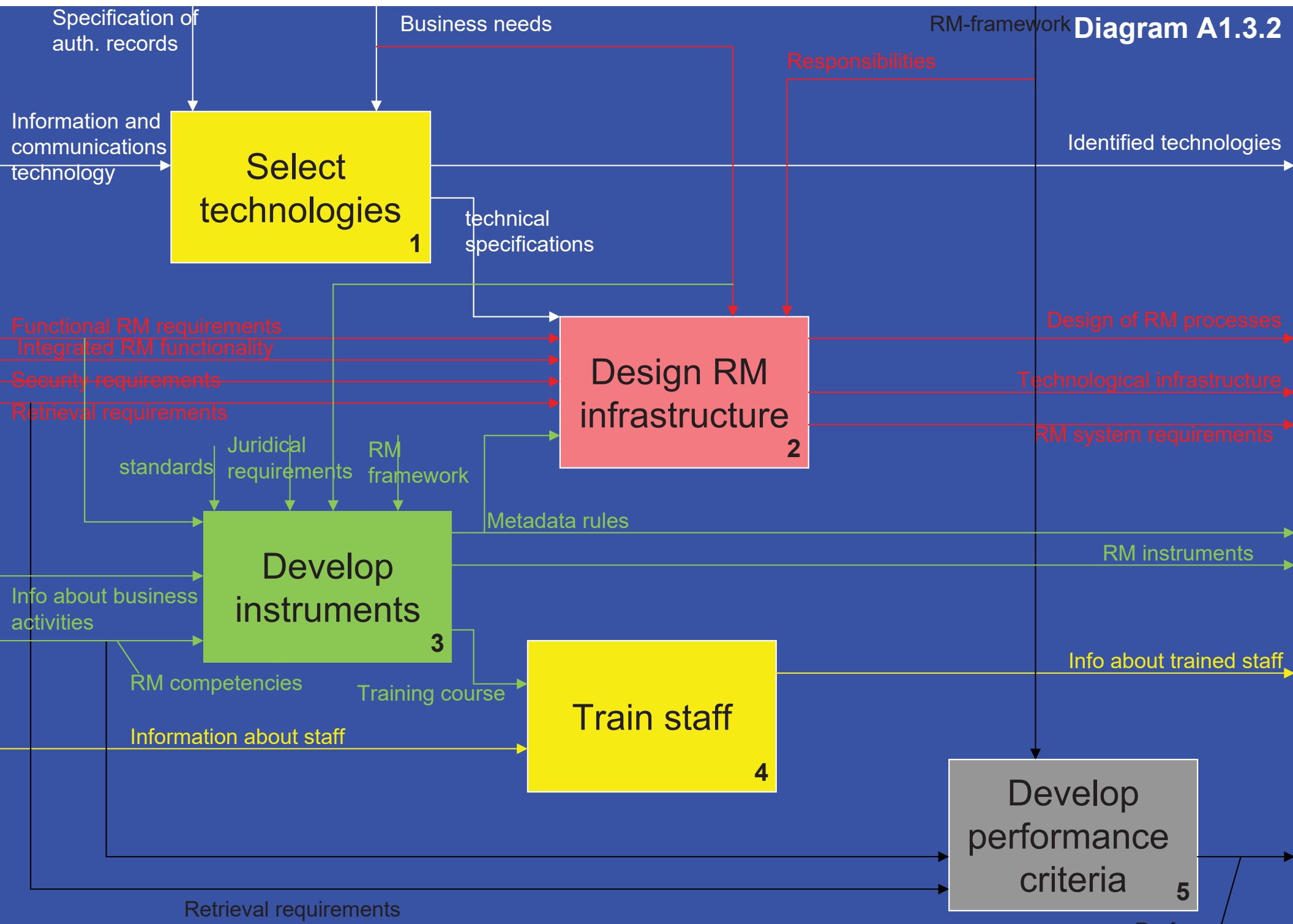
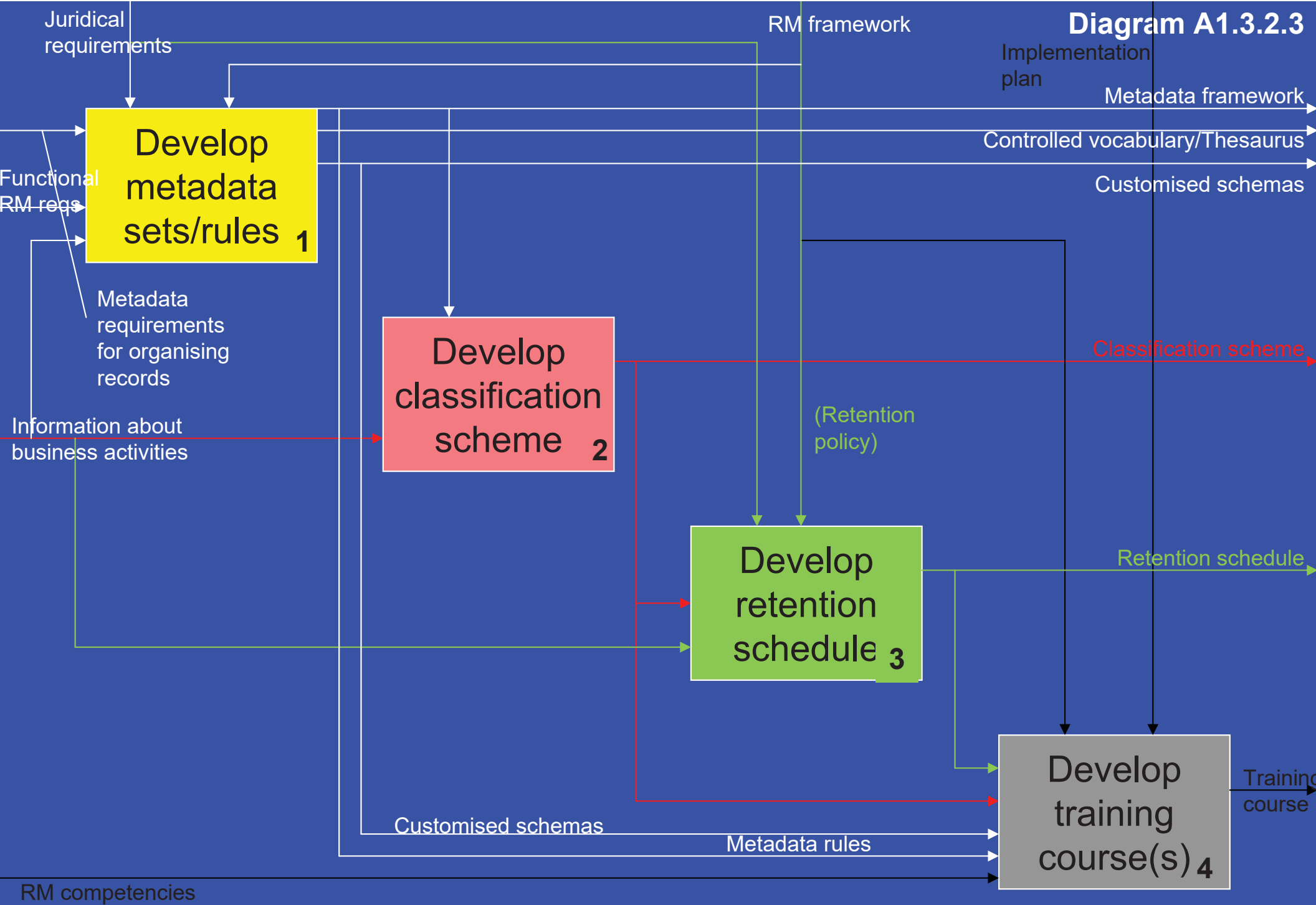


Diagram A1.3.2.3



Manage Records A3

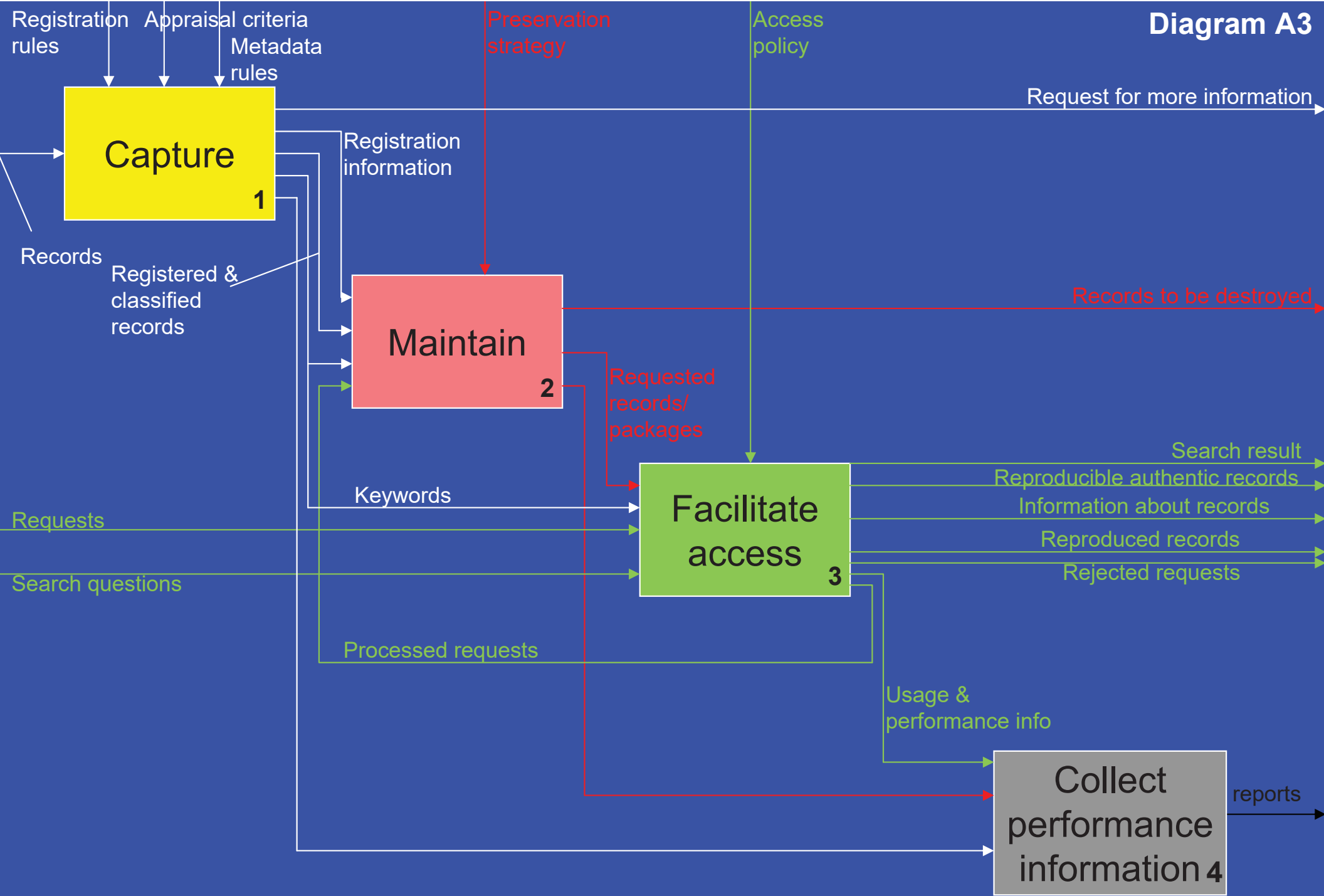
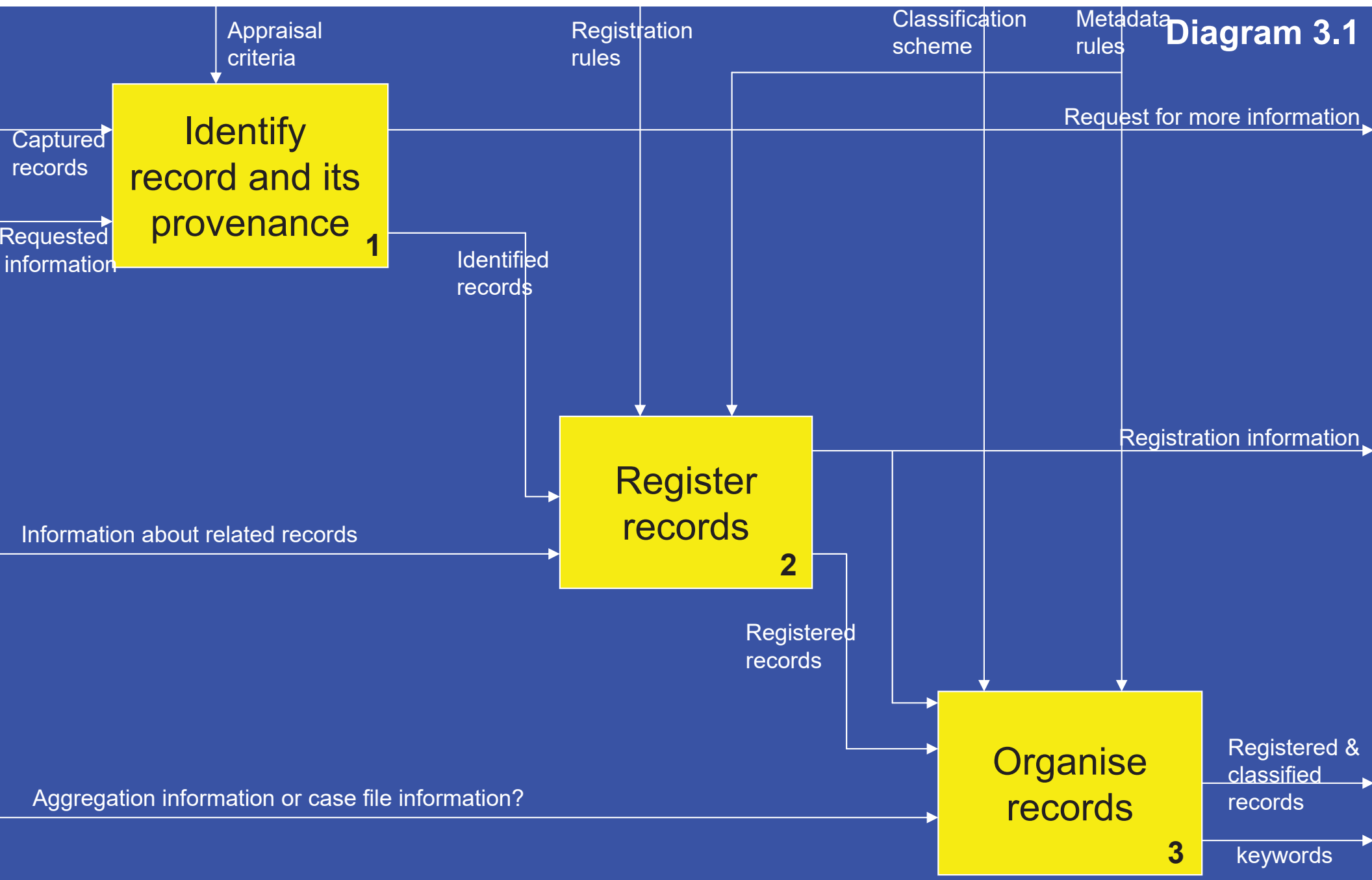


Diagram 3.1



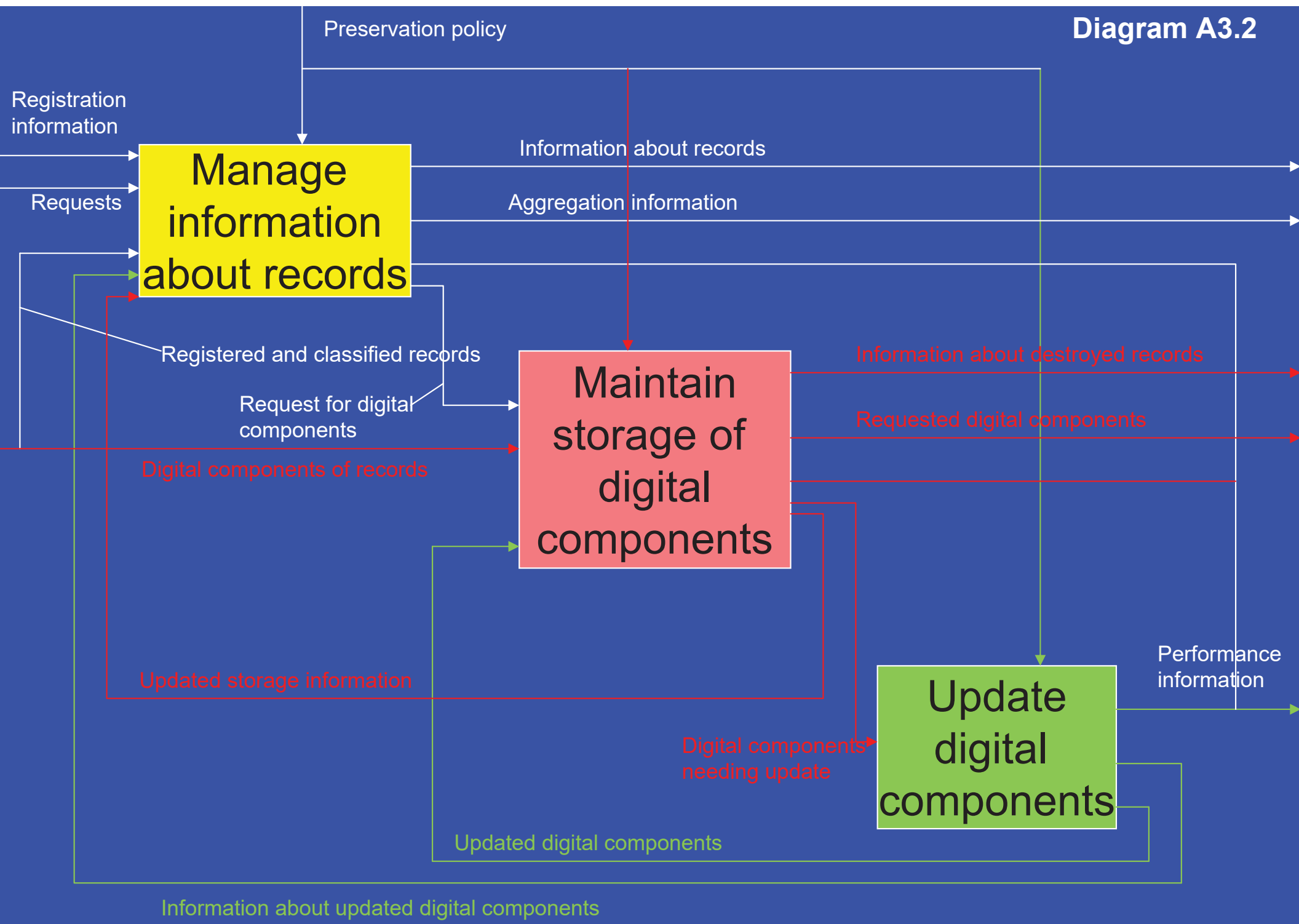
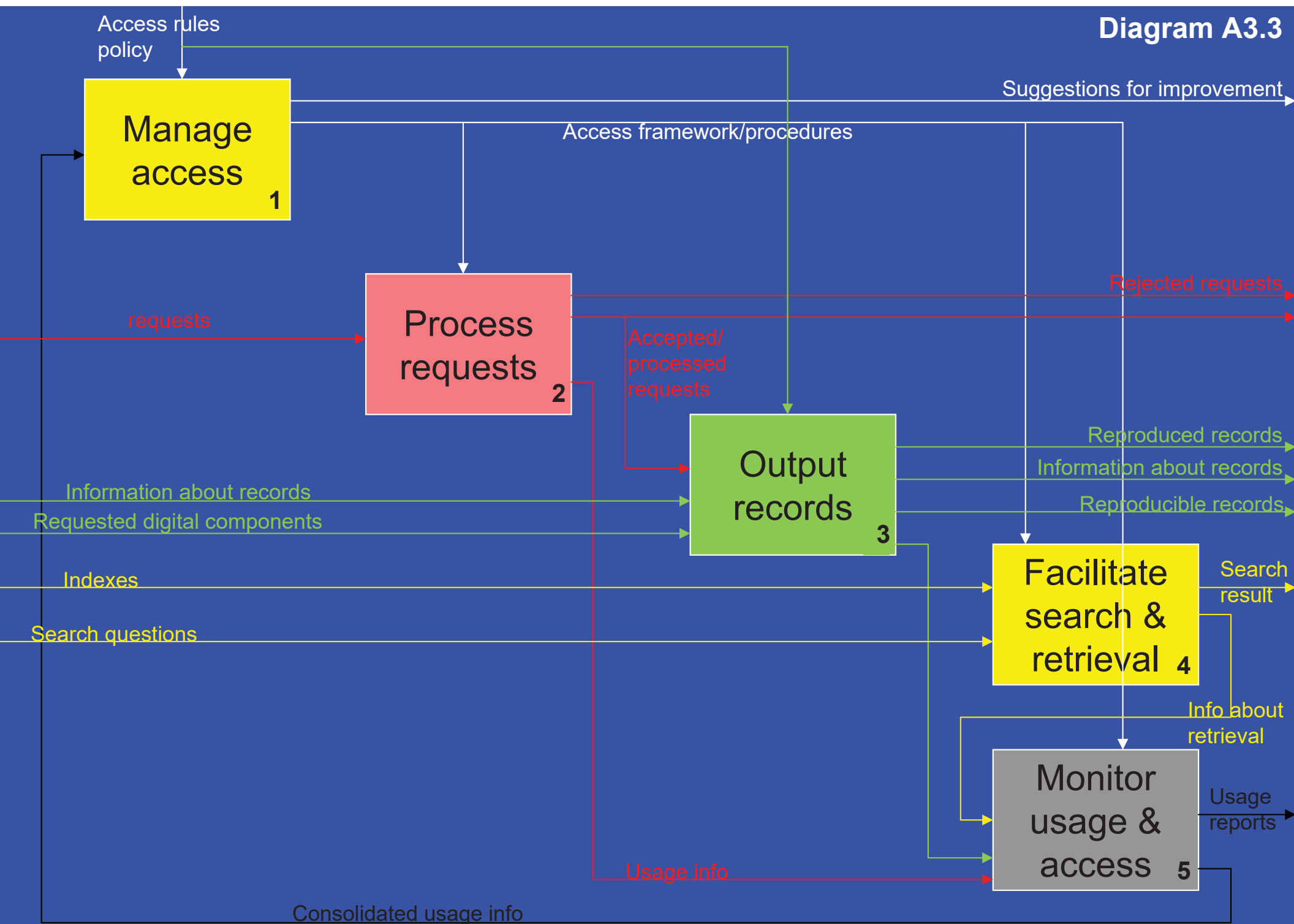


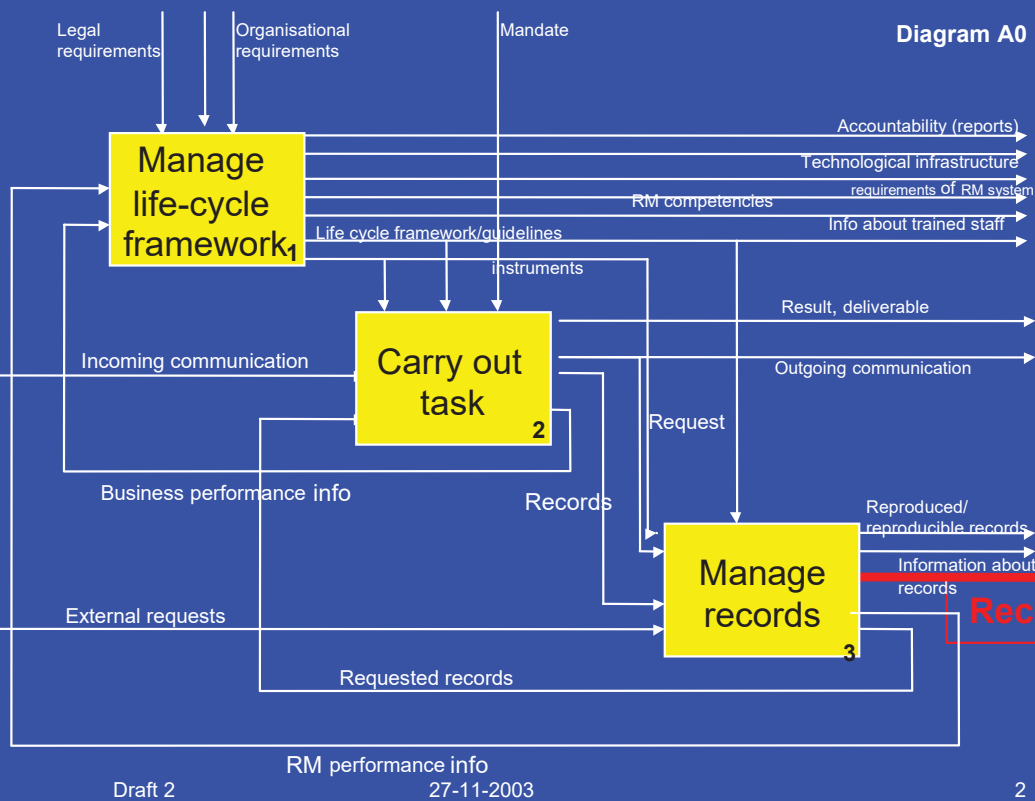
Diagram A3.3



Relationship between records management and archives

- Archival management adds a level beyond the individual archive
- The interdependency is however clear
- Close co-ordination, if not integration is required, especially in a digital environment (ICA guide on electronic records (1997))
- Difference in responsibilities

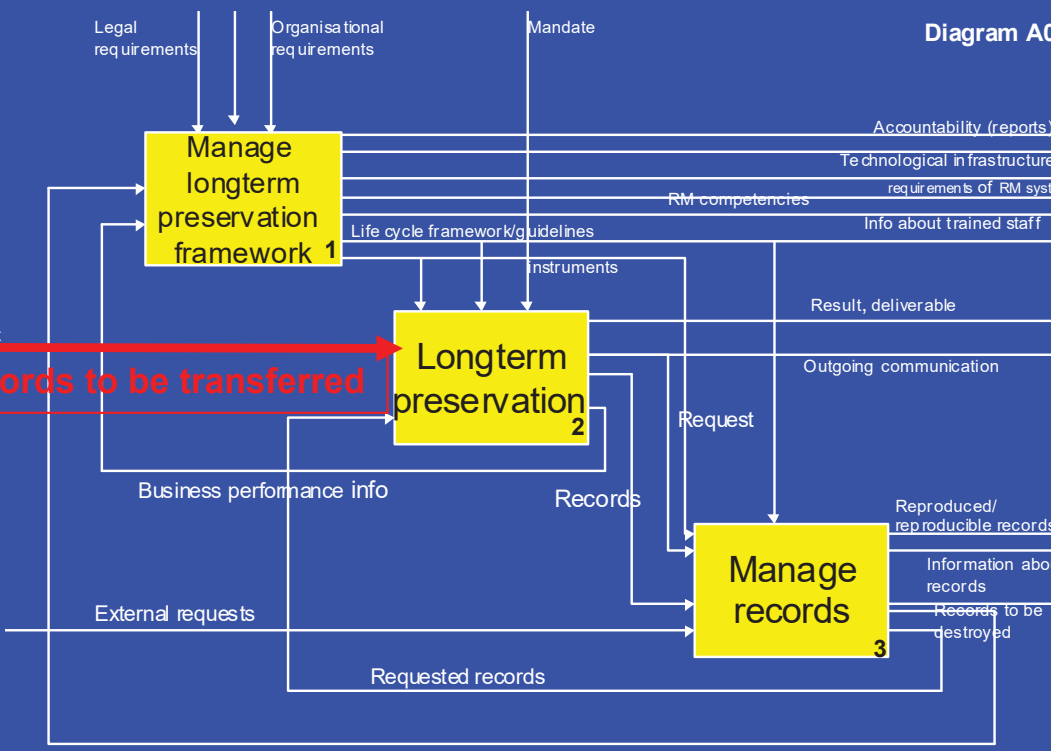
Diagram A0



Draft 2 RM performance info 27-11-2003

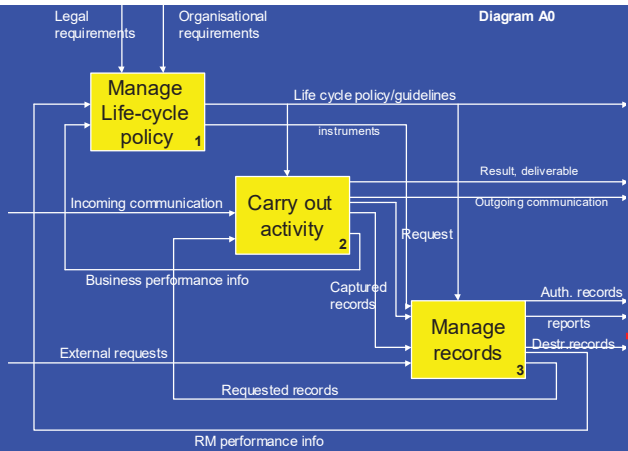
2

Diagram A0

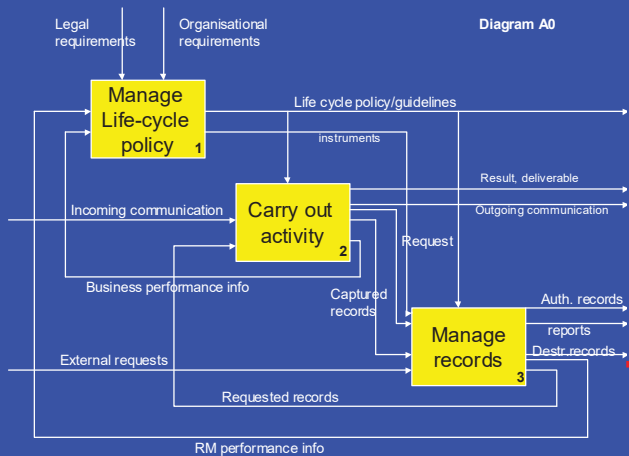
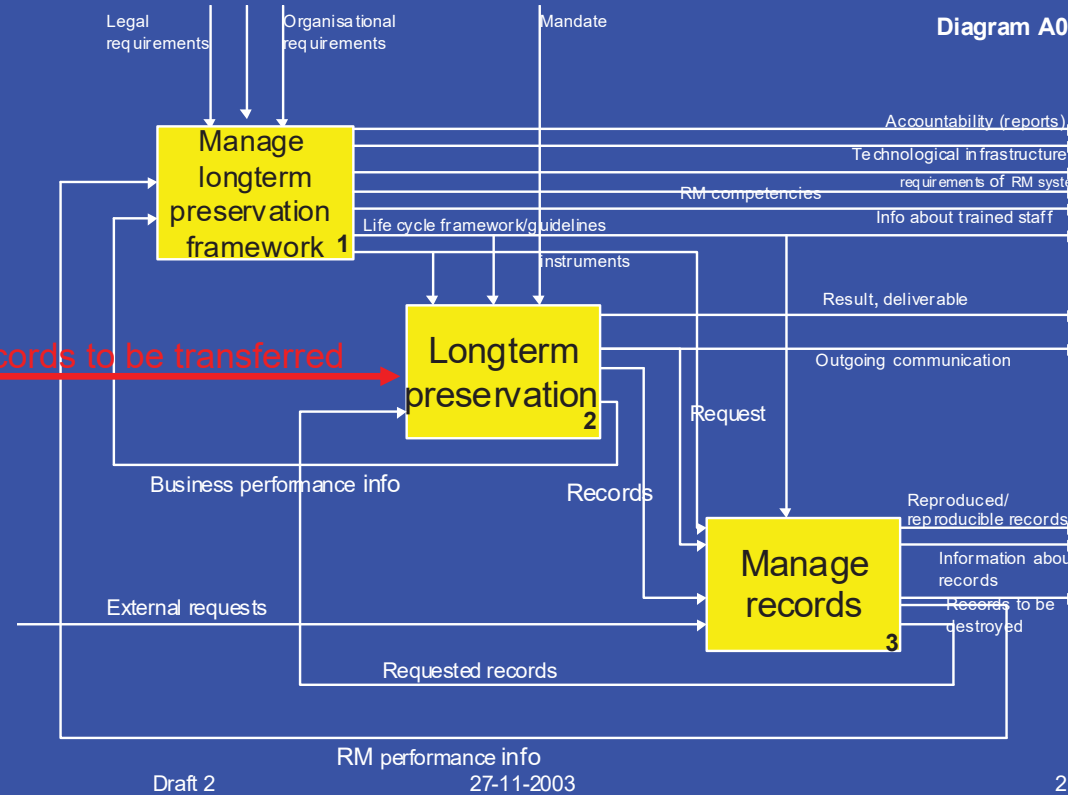
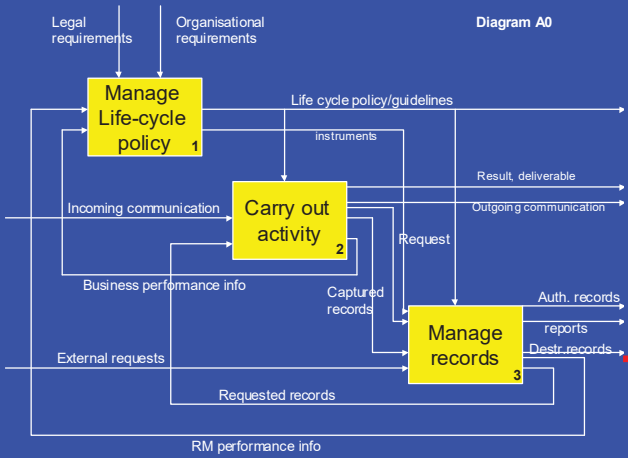


Draft 2 RM performance info 27-11-2003

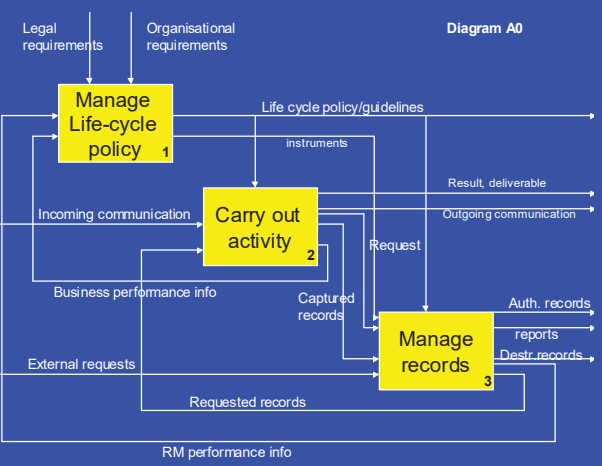
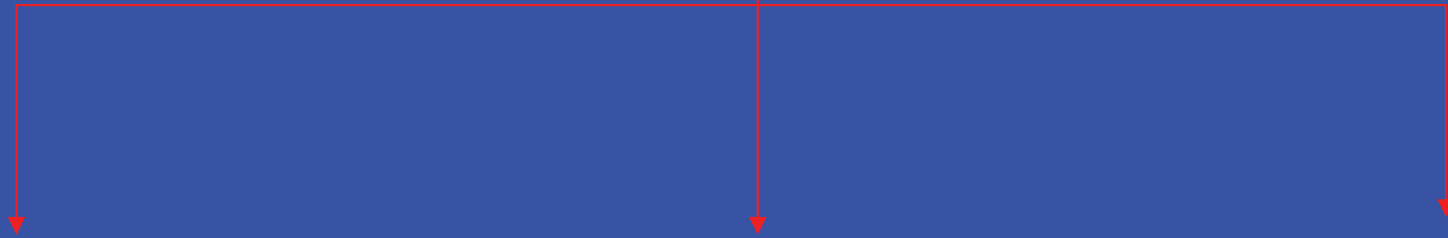
2



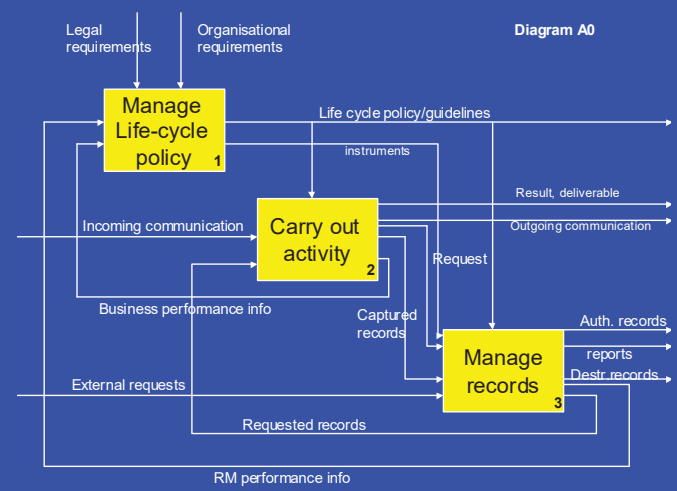
ARCHIVES



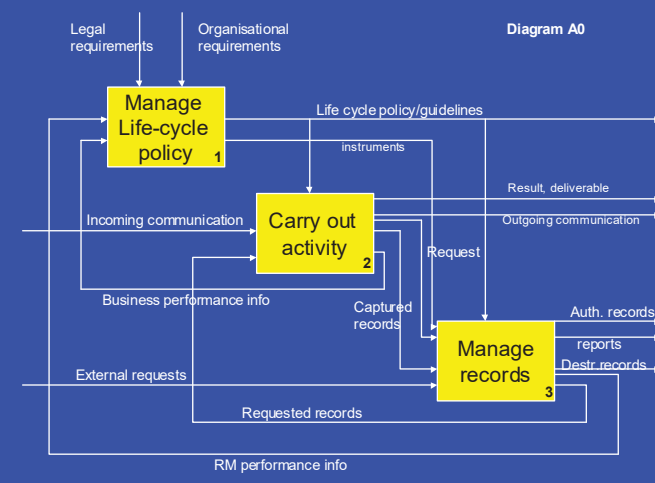
Archival Management



Archive 1



Archive 2



Archive n

Benefits of a unified model (1)

- Business perspective:
 - Helps to identify the role of information and records in doing business
 - Sets the stage for enhancing service levels and overall business performance
 - Supports risk management
 - Helps in developing a suitable and customised RM policy
 - Supports a continuous cycle of quality management and improvement

Benefits of a unified model (2)

- Records management perspective:
 - Ensures that records are situated within a business context
 - provides a much more relevant position for RM
 - Helps records managers in identifying critical tasks and in managing their activities

Benefits of a unified model (3)

- Archives perspective:
 - shows the relationships with records management and business contexts
 - helps to identify where to connect and influence from a long term perspective
 - sets a framework for standardisation, interoperability and co-ordination

How can the model be applied?

- Offers a structured framework
 - for designing efficient and effective business processes
 - for integration of RM in business processes
 - for developing records policy/ programme
 - for implementation and improvement
 - for validating RM programmes
 - for validation of RM standard
 - for audits and review

What has been learned?

- The integration of RM in the business must be the fundamental principle guiding the development of a unified model
- A unified model must be business driven
- The unified model appears to offer a good basis for understanding the interrelationship between business, records and archives
- Such a model must be coherent and understandable to diverse audiences



International
Organization for
Standardization

ISO TC46/SC11

For comments or questions:

hans.hofman@nationaalarchief.nl