A Unified Model for Managing Records

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ERPANET pre-conference seminar, Glasgow, 30 August 2004
A Unified Model

- Situation: perspectives
- What is it? Background
- Objective(s)
- The model itself
- Records management and archives
- Summary
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
- Requirement 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

Environment

Management

Business

HRM
Planning
Policy
Audit
Fin
RM
IM
IT
Business model

ORGANISATION

1. Environment
2. Management
3. Business

RECORDS MANAGEMENT

A. Environment
B. Records Management
C. Records system

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The Viewpoint

- Need to accommodate different viewpoints
  - the organisation
  - the records manager
  - the preserver
  - the appraiser
  - ....?

- Different possibilities, but what will make it work?
Model
RELATIONSHIP BETWEEN
RECORDS MANAGEMENT AND
ARCHIVES

• Archival management adds a level beyond the individual archive
• The interdependency is however clear
• Especially in a digital environment requires close co-ordination, if not integration
• Difference in responsibilities
Organisational records management

- Legal requirements
- Organisational requirements
- Mandate
- Accountability (reports)
- Technological infrastructure requirements
- RM competencies
- Life cycle framework/guidelines
- Manage life-cycle framework

Carry out task

- Incoming communication
- Business performance info
- External requests
- Records
- Requested records
- RM performance info

Manage records

- Reproduced/reproducible records
- Information about records

Archives management

- Legal requirements
- Organisational requirements
- Mandate
- Accountability (reports)
- Technological infrastructure requirements
- RM competencies
- Info about trained staff
- Life cycle framework/guidelines
- Manage long-term preservation framework

Long-term preservation

- Request
- Outgoing communication
- Reproduced/reproducible records
- Reproduced/reproducible records
- Records
- Information about records

Manage records

- External requests
- Requested records
- RM performance info

Records to be transferred

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Benefits of a unified model (1)

• Business perspective:
  – helps to identify the role of information and records in doing business
  – supports risk management
  – it helps in developing a suitable and customised RM policy
  – supports a continuous cycle of improvement
Benefits of a unified model (2)

• Records management perspective
  – puts things into (business) context
  – allows to raise the level of services
  – provides a much clearer position for RM
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 developing records policy/ programme
  – for integration of RM in business processes
  – for implementation and improvement
  – for validating RM programmes
  – for validation of RM standard
  – for audits and review

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Summary

• Records management has to be embedded in business
• Any model has to be business driven
• A unified model offers good basis and understanding of the interrelationship between business, records and archives, and for developing a coherent and comprehensive RM policy
• Such a model must be coherent and understandable to diverse audiences