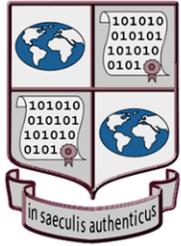# AN ELECTRONIC RECORDS MANAGEMENT SYSTEM AT ICCROM

TEAM Italy, Case study 01

InterPARES Summit/Symposium, Istanbul, 10-11 May 2012

María Mata Caravaca, Archivist (mmc@iccrom.org)
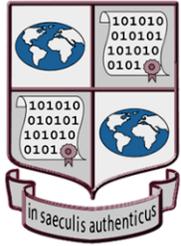
ICCROM

International Centre for the Study of the Preservation and Restoration of Cultural Property

San Michele Complex, Rome, Italy

ICCROM (www.iccrom.org)

- **Founded by** UNESCO **in** 1956

- **Intergovernmental organization:**
132 **Member States**

- **Staff:** 35 **people**

Impact Assessment as Tool for Heritage Management Course

Kareima, Sudan

Conservation of Wall Paintings

Behdaidat, Lebanon

Conservation of Japanese Paper

Tokyo, Japan

SOIMA: Safeguarding sound and image collections

India

CHALLENGES

OBJECTIVES

- **To manage active records in a reliable electronic system and following archival principles**

- **To plan digital preservation from records creation**

- **To apply InterPARES research outcomes: methodologies, metadata, etc.**
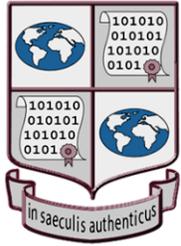
PROJECT METHODOLOGY

- **Working group**

- **Contextual analysis template**

- **Final report template**
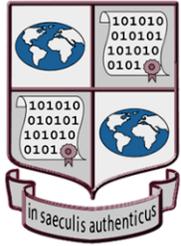
PROJECT PHASES

1. Records classification scheme and retention schedule

2. Records management software

3. Staff training

4. Records management manual
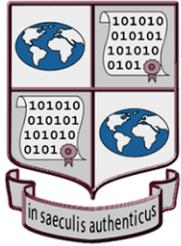
ACHIEVEMENTS (2009)

Phase 1. **Records classification scheme and retention schedule**

Cod.	I level	II level	III level	Files	Sub-files	Content / Notes	Retention/ Disposal	Confid. records
1	**Governance**							
1.1		**General Assembly**						
				No. of Assembly				
					Preparatory work	Correspondence, Forms, ICCROM Award, Inauguration, Exhibition, Open house, Visits, Lists, Services…	**4**	
					Credentials Committee		**4**	
					Candidature Committee		**4**	
					Final documents		**P**	

Cod	I level	II level	III level	Files	Sub-files	Content / Notes	Retent./ Disposal	Confidential records
1.2		**Council**						
1.2.1			**Appointment of DG**				**P**	Confidential
1.2.2			**Council meeting**					
				No. of meeting				
					Preparatory work		**4**	
					Final documents		**P**	
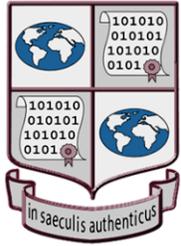
ACHIEVEMENTS (2010)

Phase 2.   Records management software:

2.1 Functional requirements
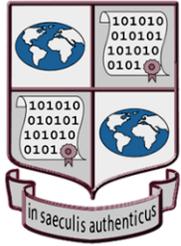
FUNCTIONAL REQUIREMENTS

- **Archival:**
  - **Registration**
  - **Classification and filing**
  - **Retention and disposal**
  - **Security controls**
  - **Search and retrieval**
  - **Elaboration of reports and statistics**
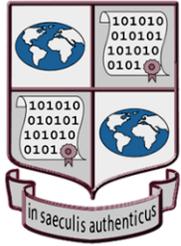
FUNCTIONAL REQUIREMENTS

- **Technological:**

    - **Application platforms**
    - **Management of e-mails**
    - **Records authenticity**
    - **Others** (records transfer and export, remote work, single sign on)
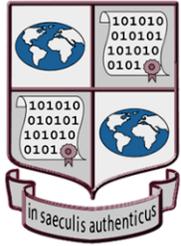
FUNCTIONAL REQUIREMENTS

- **Technological:**

    - **Formats:**
        - **Open and free**
        - **Proprietary with documentation**
        - **Platform independent**

Reference:

InterPARES General Study 11: Selecting Digital File Formats for Long-Term Preservation, E.P. McLellan, 2007
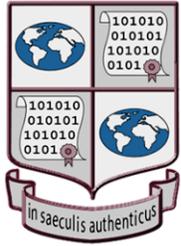
REFERENCES

- **InterPARES 2, 2008**

- **MoReq2 (2008)**

- **ISO 15489:2001**
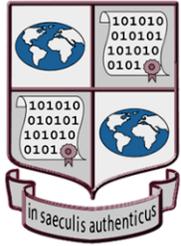
ACHIEVEMENTS (2010)

Phase 2.   Records management software:

2.2 Market survey of software
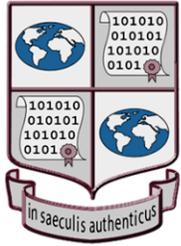
MARKET SURVEY

- **Evaluation of ERMS / EDMS**

- **Three critical parameters:**
  - **Open source**
  - **ERMS**
  - **International standards**

- **Selection of software: Alfresco**
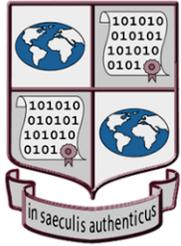
CURRENT PHASE (2010-2012)

Phase 2.   Records management software:

2.3 Software customization
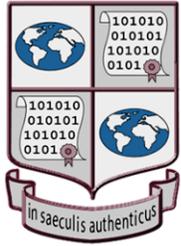
CURRENT PHASE (2010-2012)

2.3 Software customization

- Analysis
- System development
- Release and testing
- Final test
- Staff training

MEDATADA FOR RECORDS REGISTRATION IN THE PROTOCOL REGISTER

	Incoming mail	Outgoing mail	Internal records
1	ID (given by the db)	ID (given by the db)	ID (given by the db)
2	Registration number	Registration number	Registration number
3	Date of registration	Date of registration	Date of registration
4	Date of receipt		
5	Date of the receipt record	Date of creation	Date of creation
6	Registration number of the receipt record		
7		Writer	Writer
8		Author	Author
9	Name of sender	Name of recipient	Name of recipient (opt.)
10	Address of sender	Address of recipient	
11	Subject	Subject	Subject
12	Number of attachments	Number of attachments	Number of attachments
13	Description of attachments	Description of attachments	Description of attachments
14	Documentary form *(letter, e-mail, report, contract, image, video, etc.)*	Documentary form *(letter, e-mail, report, contract, image, video, etc.)*	Documentary form *(letter, e-mail, report, contract, image, video, etc.)*
15	Number of inventory	Number of inventory	Number of inventory
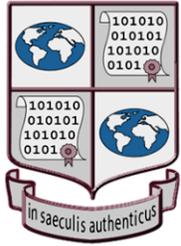
REFERENCES

- **InterPARES 2**, 2008

- **MoReq2**, Appendix 9 (2008)

- **Titulus 97** (Italian inter-university project)

- **Doqui-Acta**, 2008 (Piemonte Region ERMS)
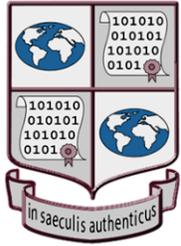
CURRENT PHASE (2010-2012)

2.3 Software Customization

- **Analysis**
- **System development**
- **Release and testing**
- **Final test**
- **Staff training**

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of the Preservation and Restoration
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ICCROM

My Dashboard   My Repository   My E-

Maria Mata Caravaca Dashboard

My Tasks

All Tasks ▼

1 - 1 of 1   All Tasks >

Registration for "MISSION_FORM_ISTANBUL.doc"

Incoming Mail, Not Yet Started

UNASSIGNED

The official website of ICCROM

My Documents

Favorites   I'm Editing

No documents to display

| Mail | Properties | Personalize | Message Source | Discussion Thread |

From: <registration@iccrom.org>

To: Maria Mata Caravaca

Subject: New document for Action

You have received a document that requires your action.
   To edit details of the registration, click the following link: http://ERMS.ICCRC
   To access the document, click here: http://ERMS.ICCROM.ORG/share/prox
eb694f0bd473/MISSION_FORM_ISTANBUL.doc?a=true

Date of Assignment:

7/5/2012

DD/MM/YYYY

Items:

MISSION_FORM_ISTANBUL.doc

Registration Metadata

Upload date:

7/5/2012

DD/MM/YYYY

Date received: *

7/5/2012

DD/MM/YYYY

Date on incoming mail:

1/5/2012

DD/MM/YYYY

Registration number of incoming mail:

Subject: *

MISSION_FORM_ISTANBUL.doc

Sender Name: *

Maria Guercio

Sender Address:

Università di Urbino

Country:

--Country--

Number of Attachments

1 ?

Description of Attachm

☑ Original paper copy

☐ Confidential

Authentication Form (D

No

Notes:

Select 'Destination File' a
reassign the document.

Destination File:

Select

Select...

↰ 📁 27th General Assembly ▾

📁 Candidature Committee	Select >>	
📁 Credentials Committee	Select >>	
📁 Final documents	Select >>	
📁 Preparatory Work	Select >>	

📁 Preparatory Work

OK   Cancel

Registration

Items:

(26777) - **Fwd Re Turkish National Archives**   ➡ View More Actions

---

Registration Metadata

Subject: *

Fwd: Re: Turkish National Archives

Notes:

☐ Confidential

Register

Destination File: *

Select

Category: *

outgoing ▾

➡ register

Registration

Items:

(26777) - Fwd Re Turkish National Archives   ➡ View More Actions

─ Registration Metada

Subject: *

Fwd: Re: Turkish Natic

Notes:

☐ Confidential

Register

Destination File:

Select

Category: *

outgoing ▼

➡ register

Select...

⬆   📁 27th General Assembly ▼

📁 Candidature Committee	Select >>
📁 Credentials Committee	Select >>
📁 Final documents	Select >>
📁 Preparatory Work	Select >>

📁 Preparatory Work

OK   Cancel

Archive

New Series | New File | Upload | Import

↰ Up | File Plan > 📁 Current Archives > 📁 01 Governance > 📁 0
📁 Preparatory Work

Navigation

📁 File Plan
  📁 Current Archives
    📁 01 Governance
      📁 01.01 General Assembly
        📁 27th General Assembly
          📁 Candidature Committee
          📁 Credentials Committee
          📁 Final documents
          📁 Preparatory Work
      📁 01.02 Council
      📁 01.03 Bureau
      📁 01.04 Director-General
    📁 02 Regulatory Activity
    📁 03 Planning
    📁 04 Management

Select ▾
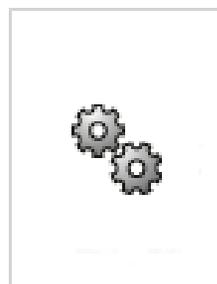
⚠ **Draft Record**

(26777) - Fwd Re Turkish National Archives

Registration Number: 2012-000322

Category Outgoing   Registration Date: Fri 27 A

1999-01_Publications-Procedures.pdf

Registration Number: 2012-000271

Category Incoming   Registration Date: Thu 29 N

Registration Number: *

2012-000322

Registration Date: *

27/4/2012

DD/MM/YYYY

Upload Date:

27/4/2012

DD/MM/YYYY

Name: *

Fwd: Re: Turkish National Archives

Subject: *

Fwd: Re: Turkish National Archives

Author: *

Maria Mata Caravaca

Writer:

Sent date:

20/4/2012

DD/MM/YYYY

Recipient Name: *

Aparna Tandon

Recipient Address:

at@iccrom.org

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Archive

New Series | New Sub File | Upload

Selected Items... ▾

▾ Navigation

📂 File Plan

   📂 Current Archives

     📁 01 Governance

     📁 02 Regulatory Activity

     📁 03 Planning

     📁 04 Management

   📁 Historical Archives

   📁 Semi Active Records

▾ File Plan

❄ Holds

⬆ Up | File Plan > 📂 Current Archives

Select ▾

☐ 📁 **01 Governance**
     Created by: Maria Mata Caravaca   *Modified*

☐ 📁 **02 Regulatory Activity**
     Created by: Maria Mata Caravaca   *Modified*

☐ 📁 **03 Planning**
     Created by: Maria Mata Caravaca   *Modified*

☐ 📁 **04 Management**
     Created by: Maria Mata Caravaca   *Modified*

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▼ **Navigation**

📂 File Plan
  📂 Current Archives
    📂 01 Governance
      📂 01.01 General Assembly
        📂 27th General Assembly
          📁 Candidature Committee
          📁 Credentials Committee
          📁 Final documents
          📂 Preparatory Work
      📁 01.02 Council
      📁 01.03 Bureau
      📁 01.04 Director-General
    📁 02 Regulatory Activity
   📁 03 Planning
    📁 04 Management
  📁 Historical Archives
  📁 Semi Active Records

📁 New Folder | 📁 New Sub File | 📤 Upload | 📄 Im

Selected Items... ▼

⬑ Up | File Plan > 📂 Current Archives > 📂 01 Governance > |
    📂 Preparatory Work

Select ▼

☐ **R** 📄 (12131) - Oggetto un questionario sul fenomeno d
      Unique Record Identifier: 2012-0000012131

☐ 📄 (12136) - Re Oratory of XL martyrs Roman Forum
      Unique Record Identifier: 2012-0000012136

☐ 📄 (23792) - Appuntamento
      Unique Record Identifier: 2012-0000023792

☐ 📄 ⚠ Draft Record

    (23793) - Fwd Ica I New eBook Museum Retailing
    Modified on: 25 April 2012 By: Maria Mata Caravaca

File

Metadata

Created: Tue 03 Jan 2012 11:17:27

Creator: Mmc

Identifier: 2012-0000001101

Name: 27th General Assembly

Description: 2011

Permanent: No

Number of Subfile: 1

Transfer to records centre: Thu 01 Nov 2012

Disposal date: (None)

Transfer to historical archive: (None)

Transfer date

Transfer date to records centre

Transfer date to historical archive

Disposal date

‹	April 2012	›
Su	Mo	Tu	We	Th	Fr	Sa

‹		April 2012			›
Su	Mo	Tu	We	Th	Fr	Sa
1	2	3	4	5	6	7
8	9	10	11	12	13	14
15	16	17	18	19	20	21
22	23	24	25	26	27	28
29	30	1	2	3	4	5
6	7	8	9	10	11	12

‹		April 2012			›
Su	Mo	Tu	We	Th	Fr	Sa
1	2	3	4	5	6	7
8	9	10	11	12	13	14
15	16	17	18	19	20	21
22	23	24	25	26	27	28
29	30	1	2	3	4	5
6	7	8	9	10	11	12

‹		April 2012			›
Su	Mo	Tu	We	Th	Fr	Sa
1	2	3	4	5	6	7
8	9	10	11	12	13	14
15	16	17	18	19	20	21
22	23	24	25	26	27	28
29	30	1	2	3	4	5
6	7	8	9	10	11	12

Add   Cancel

| Mail | Properties | Personalize | Message Source | Discussion Thread |

From: <registration@iccrom.org>

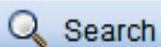**To:** Maria Mata Caravaca; Roberto Nahum

Subject: List of items scheduled for archiving in the current month

The following list of items will be stored in Semi Active Records in the current month:

Name: Candidature Committee - Location /Current Archives/01 Governance/01.01 Ger
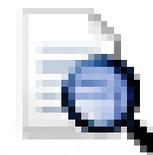
Registration search

Field	Value
Archive:	All
Cat:	Outgoing
Status:	All
Country:	All
Doc. type:	All
Document name:	
Document subject:	
Reg. no:	
Registr. date (from):	22-04-2012
Registr. date (to):	31-05-2012
Inventory no:	
Classification code:	
Notes:	
Sender Name:	
Recipient Name:	
Keywords:	
Full text:	

🔍 Search   🗑 Reset

Register Search

Cat	Status	Document name	Document subject	Country	Reg. no	Reg. date	Classification code
🔺	📄	(23795) - Fwd Preservation Week	Fwd: Preservation Week		2012-000309	25/04/2012	/Current Archives/01 Governa General Assembly/27th Gene Assembly/Candidature Committee/(23795) - Fwd Pre Week
🔺	⚠	(26777) - Fwd Re Turkish National Archives	Fwd: Re: Turkish National Archives		2012-000322	27/04/2012	/Current Archives/01 Governa General Assembly/27th Gene Assembly/Preparatory Work/ Fwd Re Turkish National Arch

New Series | New File | Upload | Import | Export All | Rep

Up | File Plan > Current Archives > 01 Governance > 01.01 General Assembly > 2
Preparatory Work

Select ▾

☑ **R**   Mission-Report_Roma-InterPARES-Sep2011.pdf

Registration Number: 2012-000311

Category Incoming   Registration Date: Fri 27 Apr 2012 08:39:54

Mission-Report_Roma-InterPARES-Sep2011.pdf

[−] ◁▱▭◯▭ [+] | 72% [▼] | **Fullscreen** | **Maximize**

MISSION REPORT

(Action: Information only)

ICCROM

To: MBO
From: María Mata Caravaca
CC: PA   Date: 25/11/2011

Subject: Attendance to a one-day meeting of the InterPARES 3 Italy Project

Country: Italy
Place: Rome
Dates of activity: 13 September 2011

SUMMARY

On 13 September 2011, María Mata Caravaca attended a one-day meeting of the InterPARES 3 TEAM Italy Project, which was organized in Rome. Ms. Mata Caravaca presented an up-date of ICCROM's records management project.

The meeting dealt with the following topics:

1. InterPARES Summit in Barcelona (October 2011). An InterPARES TEAM Italy member will attend the Summit. This member will present TEAM Italy case studies progress, and the new technical rules for digital preservation elaborated by DigitPA (Ente Nazionale per la Digitalizzazione della Pubblica Amministrazione). These rules reflect InterPARES principles and OAIS standard (Open Archival Information System).

2. Summing-up the study on the preservation of the protocol register.

3. ICA-SAE curriculum resources for management and preservation of electronic records. InterPARES and ICA-SAE (Section for Archival Education) have produced e-learning modules on digital preservation. These modules were sent to InterPARES members for comments and will be presented to the ICA Congress in Australia in 2012.

4. Summing-up TEAM Italy case studies. Ms. Mata Caravaca gave an up-date of ICCROM's records management project. Progress on the software customization and criticalities encountered were explained.

Metadata

Identification and Status

Registration Number: 2012-000311

Registration Date: Fri 27 Apr 2012

Seen By: Mmc

Date received: Fri 27 Apr 2012

Date of original mail: (None)

Registration number of original mail: (None)

Name: Mission-Report_Roma-InterPARES-Sep2011

Subject: Mission-Report_Roma-InterPARES-Sep2011.pdf

References   Manage

From other records

No references exist

To other records

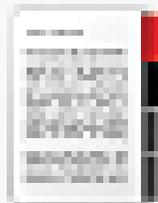Supersedes Mission-Report_Roma-InterPARES-Sep2011-v2.doc

References

Manage

From other records

No references exist

To other records

Supersedes Mission-Report_Roma-InterPARES-Sep2011-v2.doc

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Archive

New Reference

Link to Record: *

📄 /Current Archives/01 Governance/01.01 General Assembly/27th General Assembly/Cand
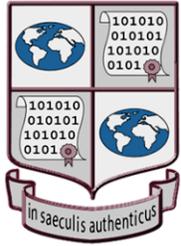InterPARES-Sep2011-v2.doc

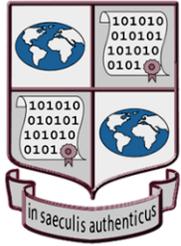[Select]

Relationship: *

| SupersededBy / Supersedes ▾ |

[Create]   [Cancel]

Software Customization: SETBACKS

- **Underestimation of the project complexity and costs by the software company**

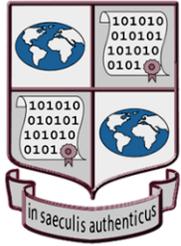- **Incoming registration workflow not analyzed in detail**

Software Customization: SETBACKS

- **Unforeseen functionalities**

Software Customization: SETBACKS

- 2 bugs: CIFS and IMAP

ICCROM ARCHIVE

The ICCROM Archive
Service. The function o
ICCROM institutional
They cover the period f

Archive holdings

The ICCROM Archive
activities and functions
technical support, traini
Assembly, Council and
Records in the Archive
meetings, reports, polic
files, and architectural records. In addition to the paper-based records, the Archive houses
a large quantity of non-textual records, such as photographs (slides, prints, negatives) and
video and audio tapes. A small proportion of the photographic collection, including
architectural drawings and plans, can already be accessed on this web-site, through the
Image Archive.

Save As

Save in: Mmc

Governance
Programmes

File name: ICCROM ARCHIVE.doc

Save as type: Word Document (*.doc)

My Repository Browser

▼ Documents

I'm Editing

My Favorites

▼ Repository

📂 Repository
- 📁 Data Dictionary
- 📁 Guest Home
- 📁 Imap Home
- 📁 Inventory
- 📁 Register
- 📁 Sites
- 📁 System
- 📂 User Homes
  - 📂 Mmc
    - 📂 Governance
      - 📂 General As
        - 📁 27th Ge
  - 📁 Programmes

📄 Create Content... ▼ | 📁 New Folder | ⬆ Upload | Selected Items... ▼

↥ Up | Repository > 📁 User Homes > 📁 Mmc

Select ▼   Showing items 1 - 3 of 3 | << Previous   **1**   Next >>

☐ 📁 ☆ **Governance** ()
Modified on: Wed 4 Jan 2012 16:09:30   Modified by: Maria Mata Caravaca
Description: (None)
🗒 Categories: (None)
🔖 Tags: (None)

☐ 📁 ☆ **Programmes** ()
Modified on: Wed 4 Jan 2012 16:08:23   Modified by: Maria Mata Caravaca
Description: (None)
🗒 Categories: (None)
🔖 Tags: (None)

☐ ⚙ ☆ **ICCROM ARCHIVE.doc** ()
Editing started on: Wed 25 Apr 2012 11:47:26   Editing started by: Maria Mata C
Version: 1.0   Size: 25 KB
Description: (None)
🗒 Categories: (None)
🔖 Tags: (None)

Favorites

Alfresco Dev
- Alfresco IMAP
  - mmc
    - INBOX [24]
    - Trash
- INBOX
- Trash

Maria Mata Caravaca Home
- Mailbox [2]
- Sent Items
- Calendar
- Frequent Contacts
- Tasklist
- Work In Progress [60]
- Cabinet
- Junk Mail [1017]
- Trash [1404]
- Mail
- Drafts
- Maria GMail
  - INBOX
  - [Gmail]
- Alfresco Dev
  - Alfresco IMAP
    - mmc
      - INBOX [24]
      - Trash

	Name ▲	Subject
✉	arcotech<arcotech@fastwebnet.it>	Archivio Torraca
✉	Cerimoniale IILA<cerimoniale@iila.org	Concerto Mónica Marziota y su
✉	Corrado Ruspandini<it79@yahoo.com	curriculum Corrado Ruspandin
✉	Elisa Ortiz<eo@iccrom.org>	Fwd: Re: Note to File della visit
✉	Lauriane Lecat<lauriane.lecat@efeo.n	Request of authorization from
✉	M. Anna Stewart<mas@iccrom.org>	Fwd: Stage
✉	M. Anna Stewart<mas@iccrom.org>	Fwd: Internship request
✉	M. Anna Stewart<mas@iccrom.org>	Fwd: Stage
✉	Mailbox ICCROM<iccrom@iccrom.org>	Fwd: XIV Settimana della cultu
✉	Maria Mata Caravaca<mmc@iccrom.c	Re: Fwd: Bibliothèque : Recherc
✉	Maria Mata Caravaca<mmc@iccrom.c	Fwd: Nostra conversazione tel
✉	Maria Mata Caravaca<mmc@iccrom.c	curriculum Corrado Ruspandin
✉	Maria Mata Caravaca<mmc@iccrom.c	RE: Istanbul
✉	Maria Mata Caravaca<mmc@iccrom.c	prova
✉	Maria Mata Caravaca<mmc@iccrom.c	Re: ICCROM Logo Policy/Instru
✉	Maria Mata Caravaca<mmc@iccrom.c	Re: URGENT inputs summary L
✉	Maria Mata Caravaca<mmc@iccrom.c	Fwd: INTI: Boletín sobre Conse
✉	Maria Mata Caravaca<mmc@iccrom.org>	Fwd: [Ica-l] New Book - Wonderful
✉	Maria Teresa Jaquinta<mtj@iccrom.o	Fwd: Fw: invito XIV settimana
✉	monica di barbora<mdibarbora@yaho	[S-fotografie] I: Fwd: Mostra f
✉	Nathalie Florent<Florent@ica.org>	[Ica-l] 19th SARBICA Seminar
✉	Pilar House<ph@iccrom.org>	Fwd: Rapporto Yerevan e x jen
✉	SECRETARÍA LICEO CERVANTES<secret	Semana cultural. Nota informa
✉	Segreteria ANAI<segreteria@anai.org	III EDIZIONE SEMINARIO ANAI
✉	Yolanda Jimenez<yolijim@gmail.com:	prima delle scale

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☐   ☆ **prima delle scale** ((24564) - prima delle scale)
　　Modified on: 30 March 2012 By: Maria Mata Caravaca

☐   ☆ **Request of authorization from Arts Asiatiques** ((24652
　　Modified on: 30 March 2012 By: Maria Mata Caravaca

☐   ☆ **curriculum Corrado Ruspandini** ((25089) - curriculum Cor
　　Modified on: 18 April 2012 By: Maria Mata Caravaca

☐   ☆ **Fwd: XIV Settimana della cultura - Iniziative ICCD** ((2
　　Modified on: 19 April 2012 By: Maria Mata Caravaca

☐   ☆ **Fwd: Fw: invito XIV settimana della culltura** ((25172) - F
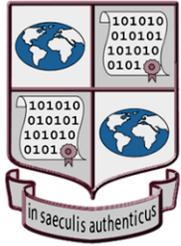　　Modified on: 19 April 2012 By: Maria Mata Caravaca
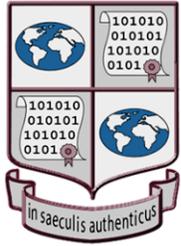
Software Customization: LESSONS LEARNT

- **Functional requirements: workflows**

- **Software company marketing**

- **Surplus of 20-40% of budget**

ACHIEVEMENT (2011)
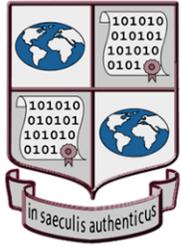
Phase 4. Records management manual:

- **Records management policy**
- **Records management procedures**
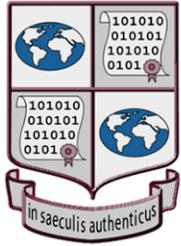- Digital preservation and access policy

NEXT PHASES (2012)

Phase 2. **Records management software:** **Customization / Implementation**

Phase 3. **Staff training**

CONCLUSIONS

- **Project complexity**

- **Support from the Management and staff**

- **Fruitful communication with IT people**