

InterPARES 3 Project

International Research on Permanent Authentic Records in Electronic Systems

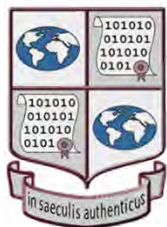
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AN ELECTRONIC RECORDS MANAGEMENT SYSTEM AT ICCROM

Case study 01

InterPARES International Symposium
Oslo, Norway, 17 September 2010

María Mata Caravaca: mmc@iccrom.org



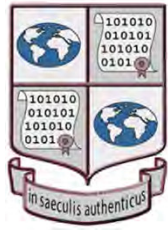
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Objectives

- 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.



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ICCROM

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



San Michele Complex, Rome, Italy



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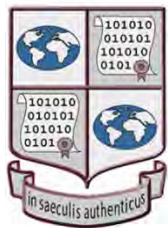
ICCROM

- Founded by **UNESCO** in **1956**
- Intergovernmental organization:
129 Member States
- Functions: **Training, Information, Research, Technical advice, Advocacy**









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ICCROM

ARCHIVES



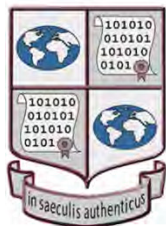
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Previous Situation

- **Registration of mail**
- Classification of records
- Filing
- Retention / Disposal
- Preservation
- Retrieval / Access



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Mail Register Database

C:\WINDOWS\system32\cmd.exe

Mail-In Register **ICCR0M Data System**

<View> Help: F1=General F2=Datadict. F3=Fieldtype F4=Spec.keys

1 Index: Ref. No

Sent by...: TARANTOLA F. Ref. No...: 54656 - G

Function...: NAV

Institute...: RAI

City.....: ROMA Country...: ITA

Type.....: F Date sent.: 11/05/07 Received..: 11/05/07

Seen by...: AIE

Action....: IDB

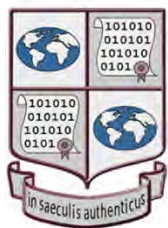
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Subject...: PAPERS REGARDING SOIMA07 COURSE

Detail....:

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Find Index Report/Print Tag Browse



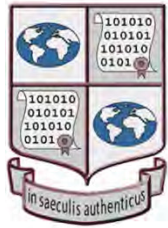
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File System

Network Drives

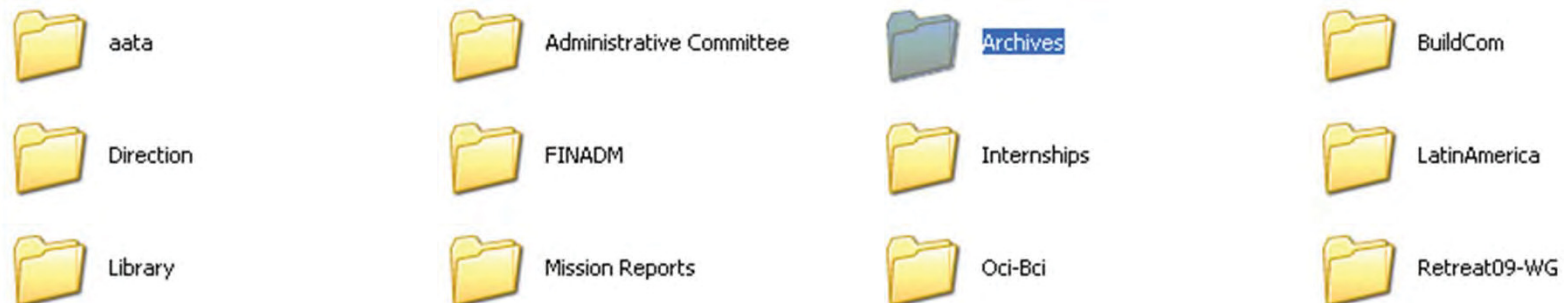


Common on 'Plenderleith\Dat2' (T:)

File Edit View Favorites Tools Help



Address T:\





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Previous Situation

- Registration of mail
- Classification of records
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- **Retention / Disposal**
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Project Methodology

- Working group
- Contextual analysis template
- Final report template



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Action Plan

1. Classification scheme
2. Retention schedule
3. ERMS Software
4. Staff training
5. Manual



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Achievements (2009)

1. Classification scheme
2. Retention & disposal 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	



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Achievements (2010)

3. Software for ERMS:

- **Functional requirements**
- Market survey: selection of SW



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Functional Requirements

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



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Functional Requirements

- **Technological:**

- Application platforms
- Management of e-mails
- Formats
- Records authenticity
- Others (records transfer and export, off-line / remote work, single sign on)



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References

- InterPARES
- ISO 15489:2001
- **Cheklist - AIPA** (Autorità per l'Informatica nella Pubblica Amministrazione), 2003
- **MoReq2** (2008)



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Market Survey

- Evaluation of ERMS / EDMS
- Three critical parameters:
 - Open source
 - ERMS
 - International standards
- Selection of software: Alfresco



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Next Steps (2010-2012)

3. Software for ERMS:
 - Development / Implementation
4. Staff training
5. Manual



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InterPARES Theory

- **Trusted record-making system**
 - Documentary procedures
 - Metadata schemes
 - Records forms
 - Access privileges
 - Technological requirements



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InterPARES Theory

- **Trusted recordkeeping system**
 - Classification scheme
 - Retention schedule
 - Registration system
 - Metadata
 - Retrieval system
 - Access privileges, etc.



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InterPARES Theory

- Preservation considerations should be integrated in all activities involved in record creation and maintenance



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Issues

- Formats
- Records Authentication