



InterPARES 2 Project

International Research on Permanent Authentic Records in Electronic Systems

International Research on Permanent Authentic Records in Electronic Systems (InterPARES) 2: Experiential, Interactive and Dynamic Records

APPENDIX 15

Business-driven Recordkeeping Model

Diagrams and Definitions

by

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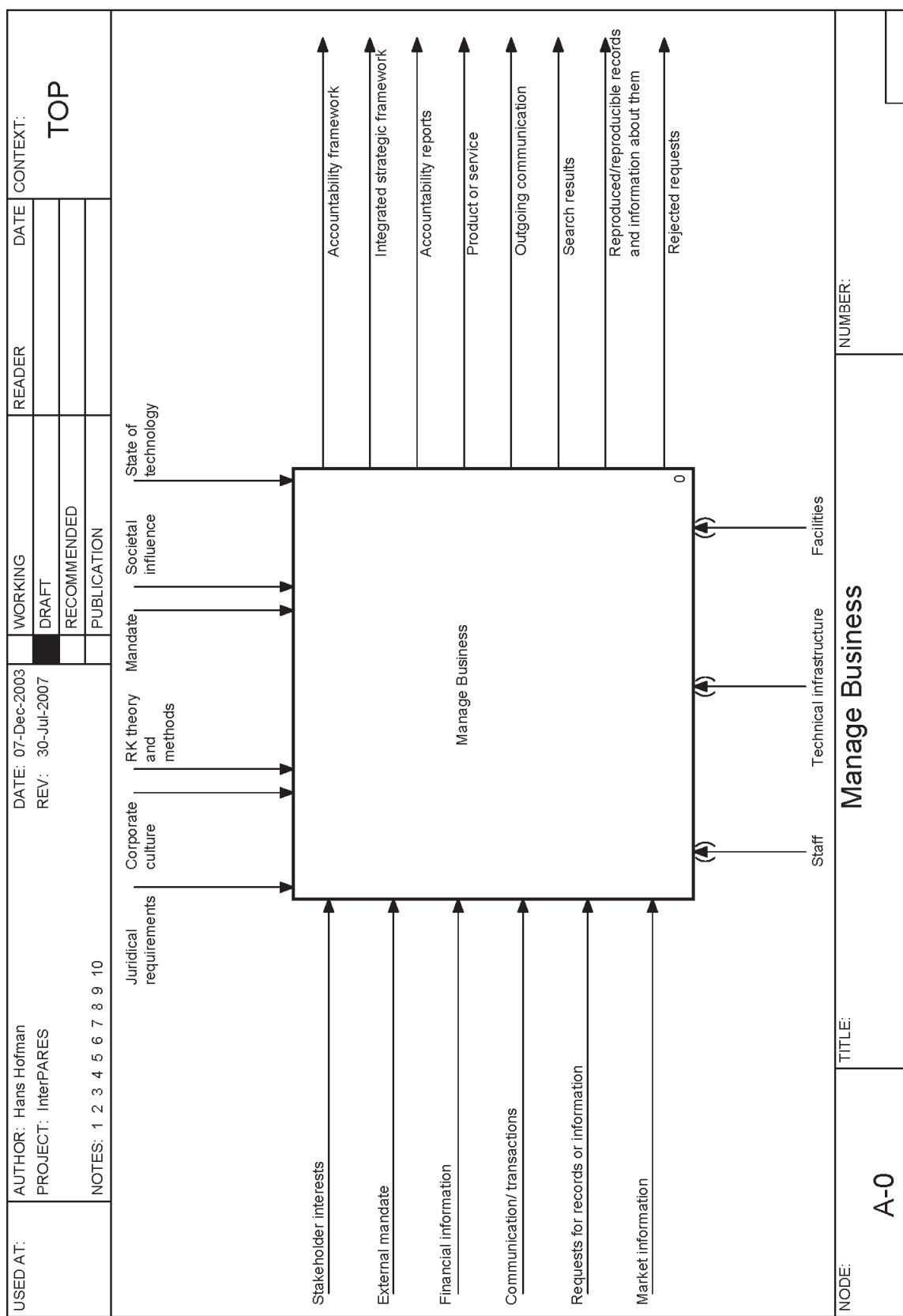
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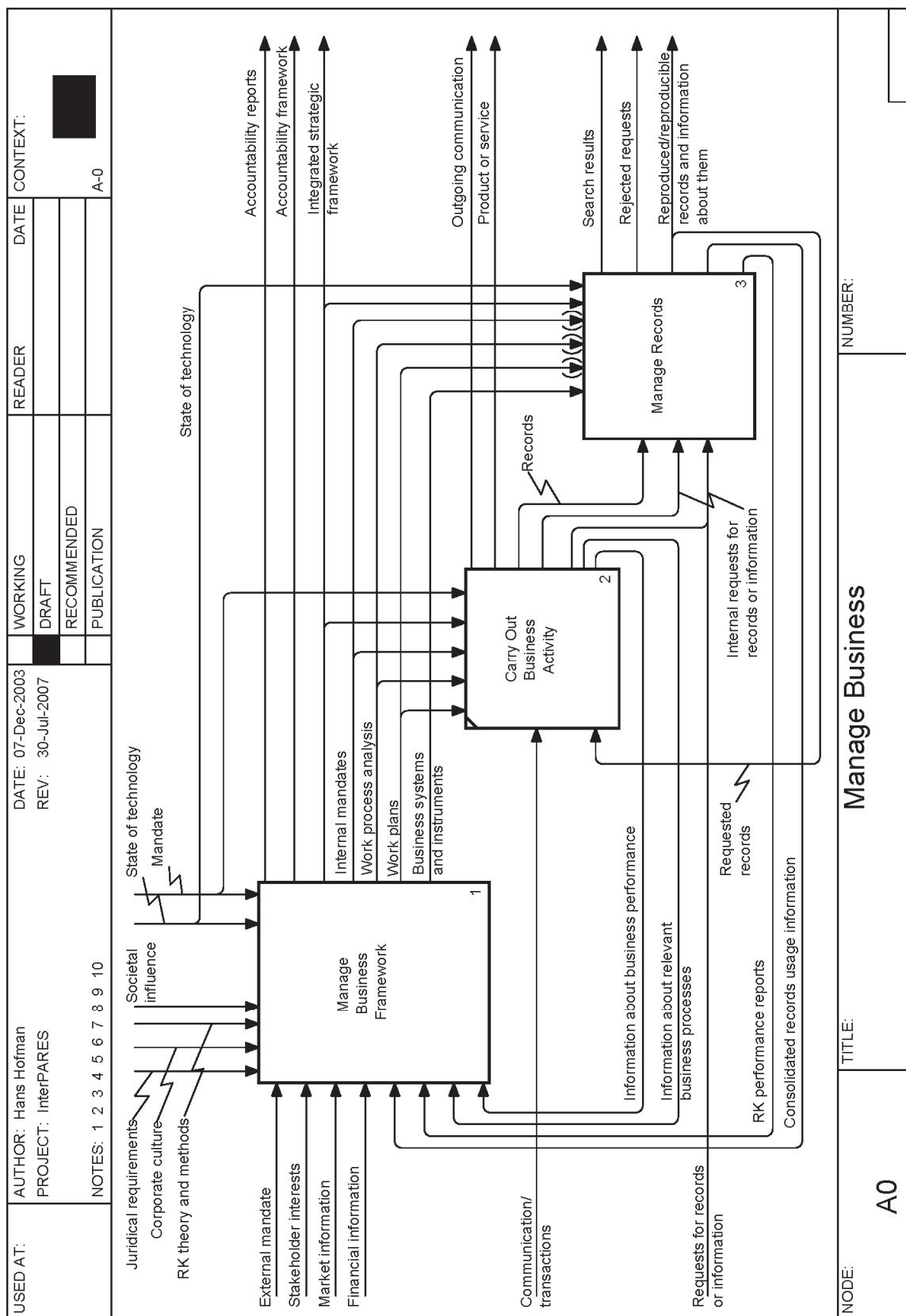
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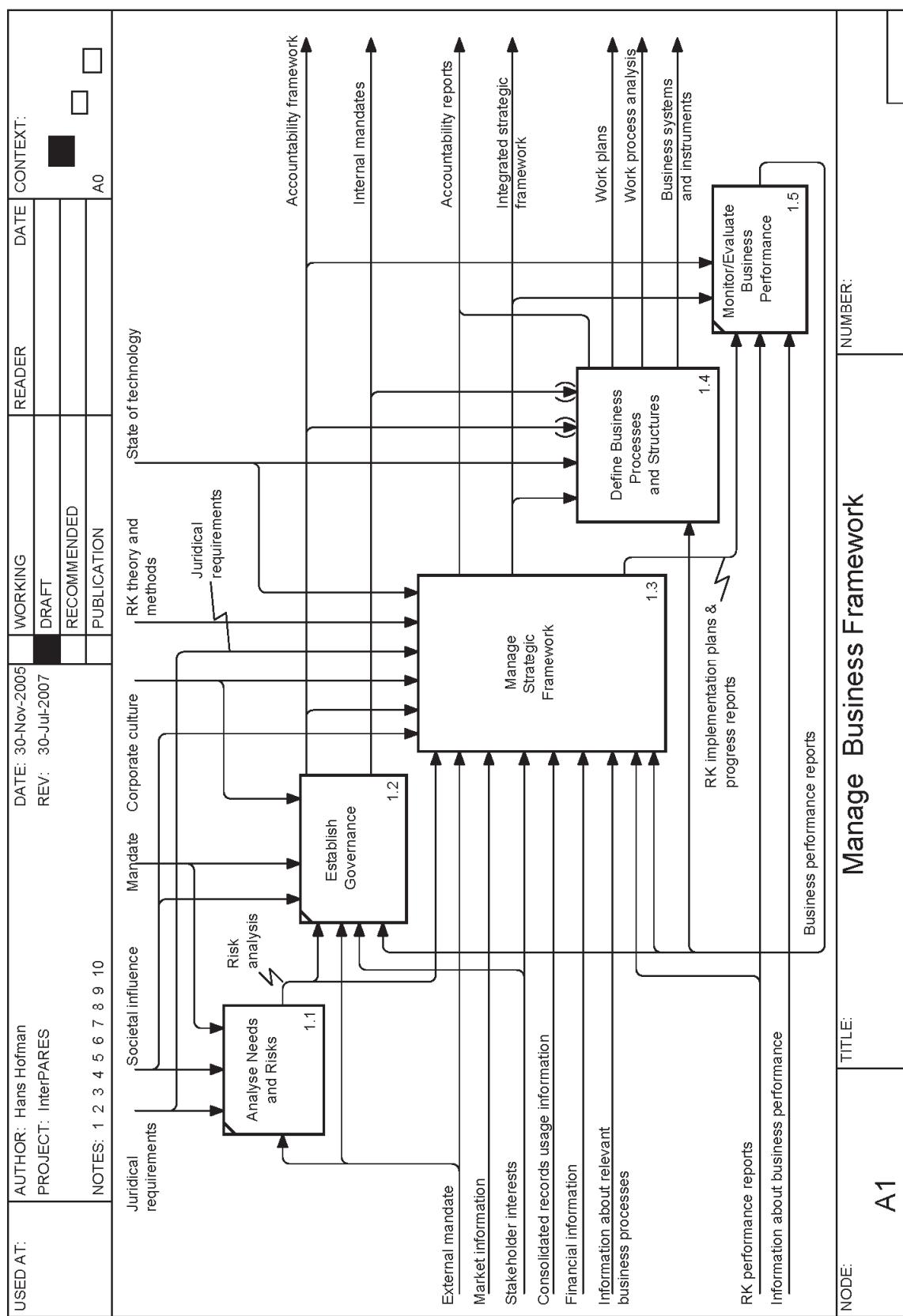
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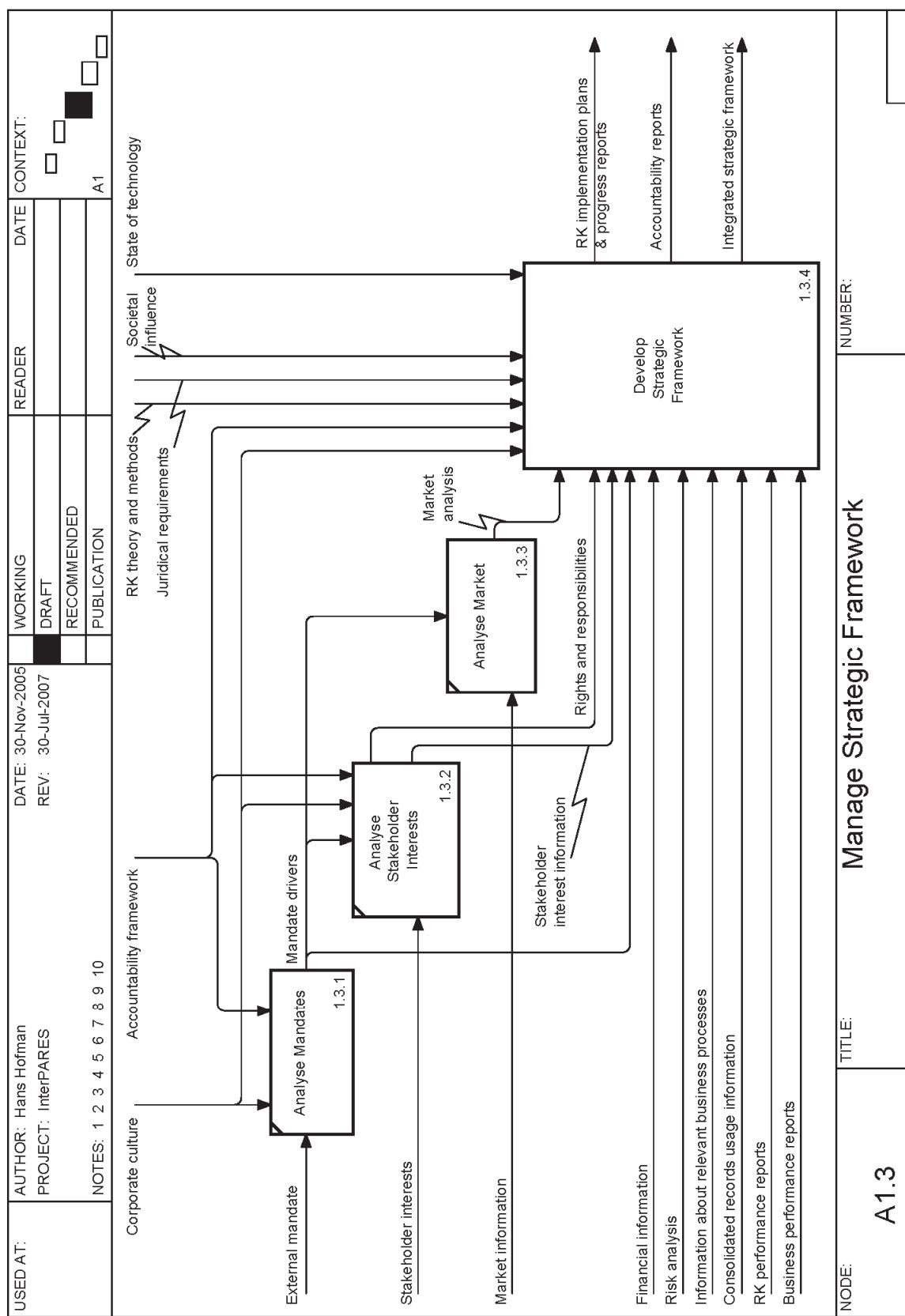
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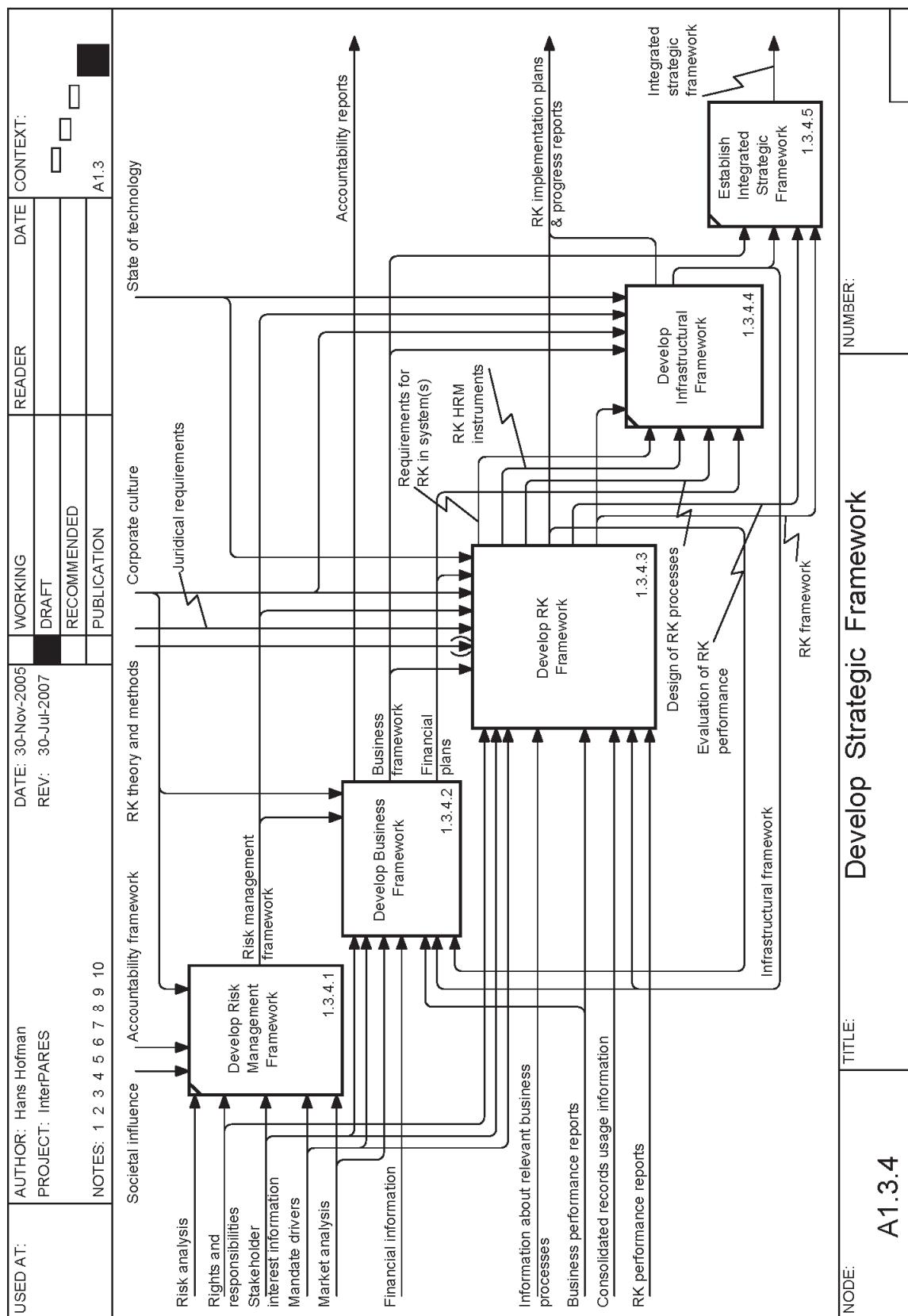
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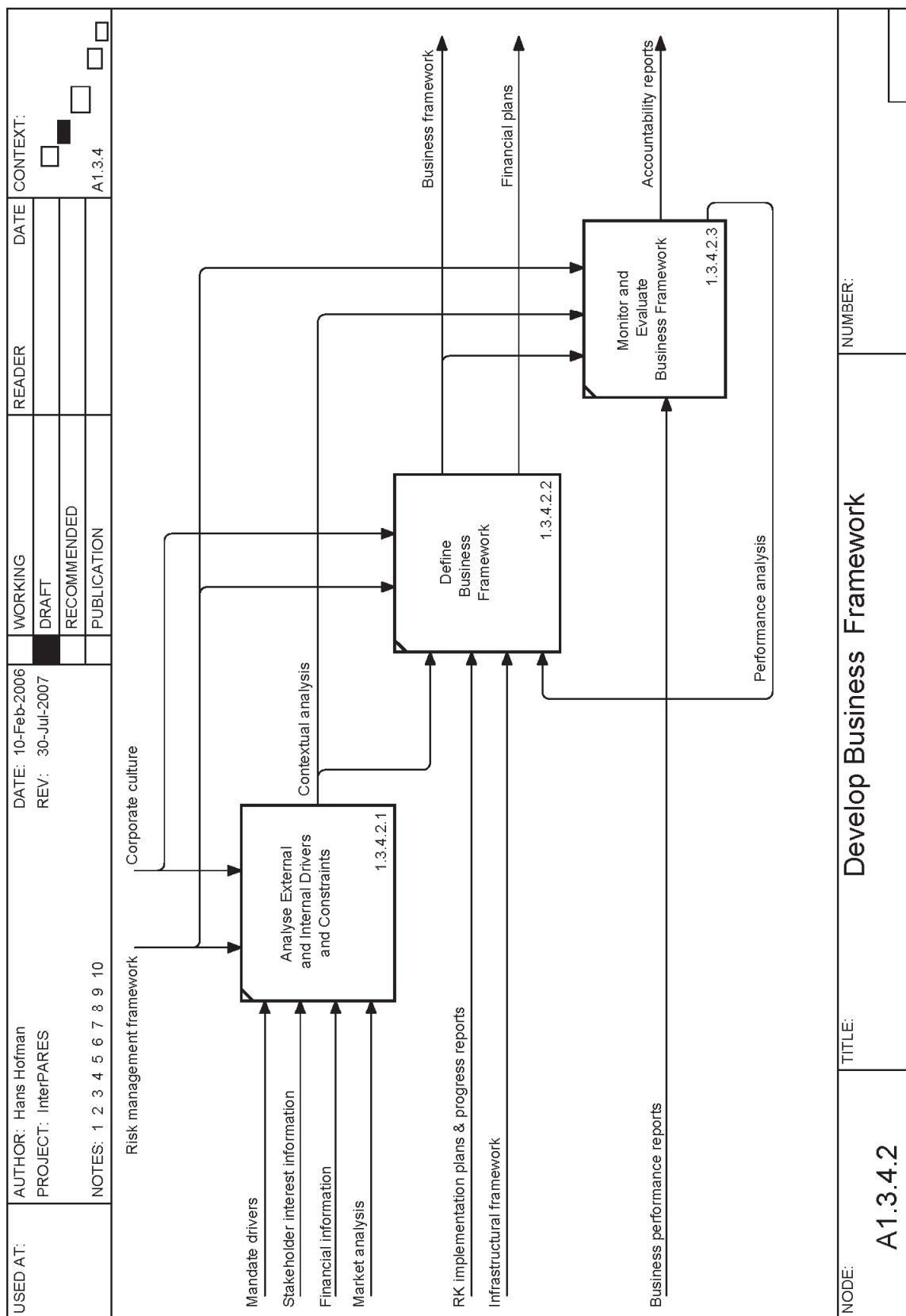


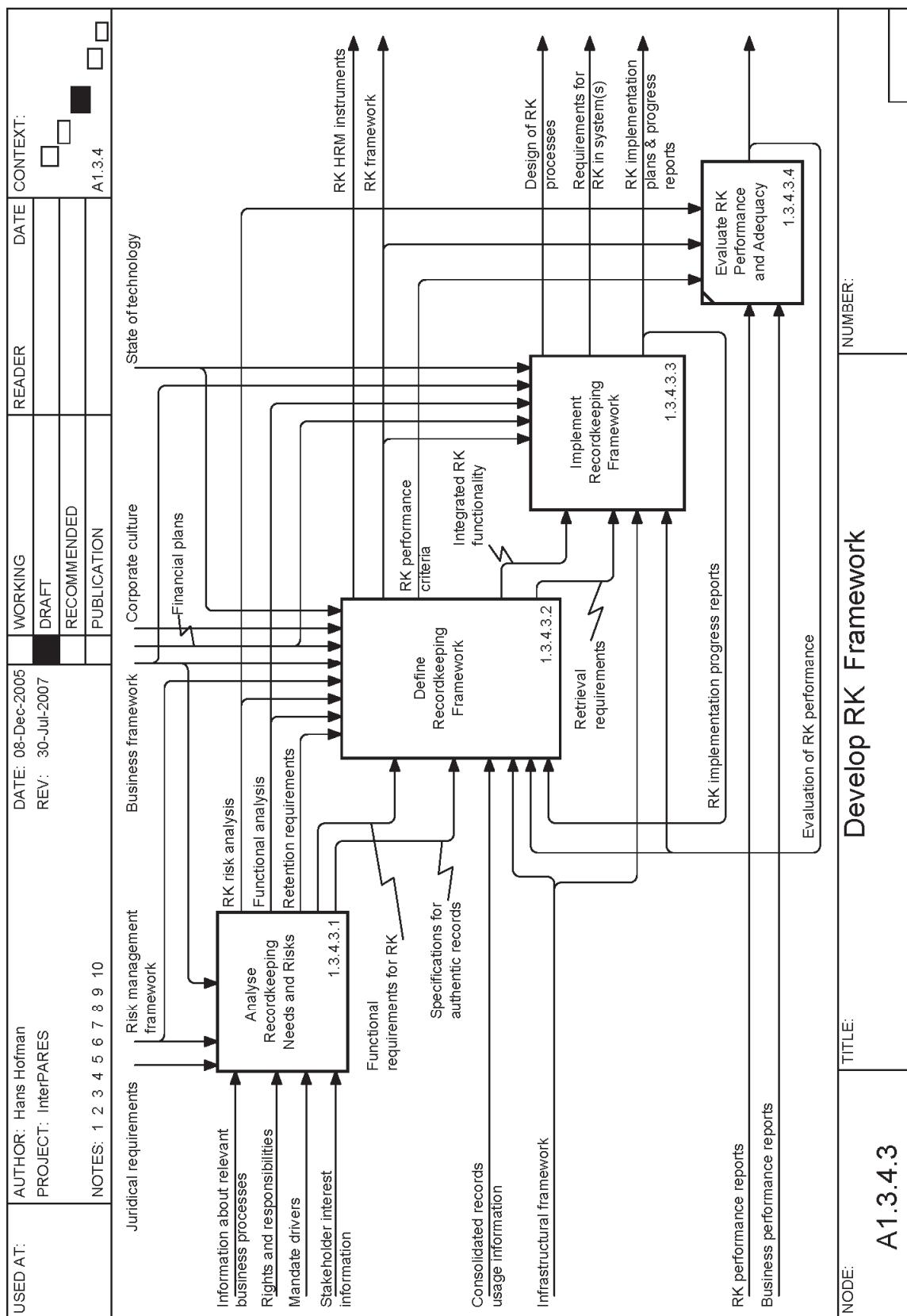


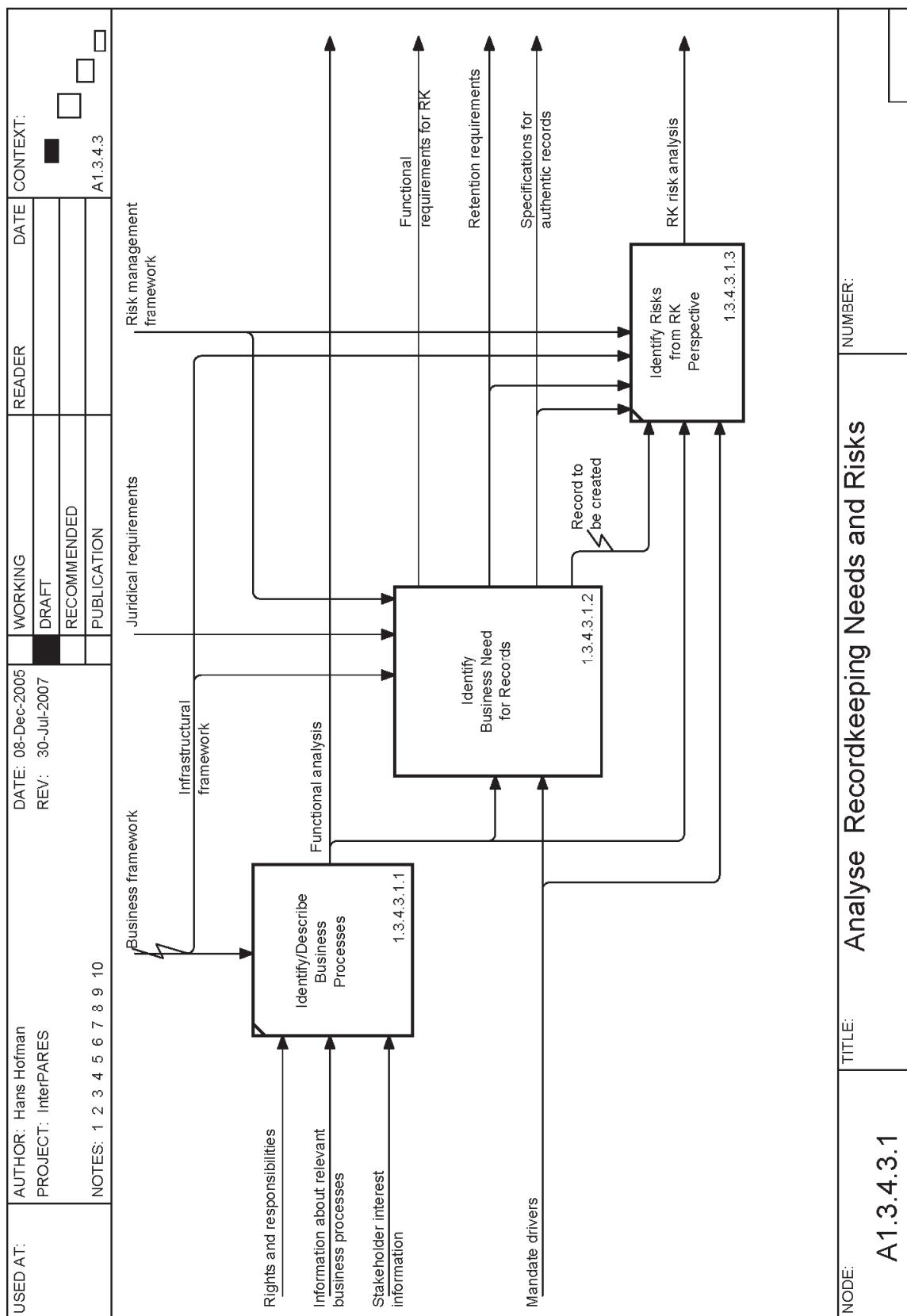


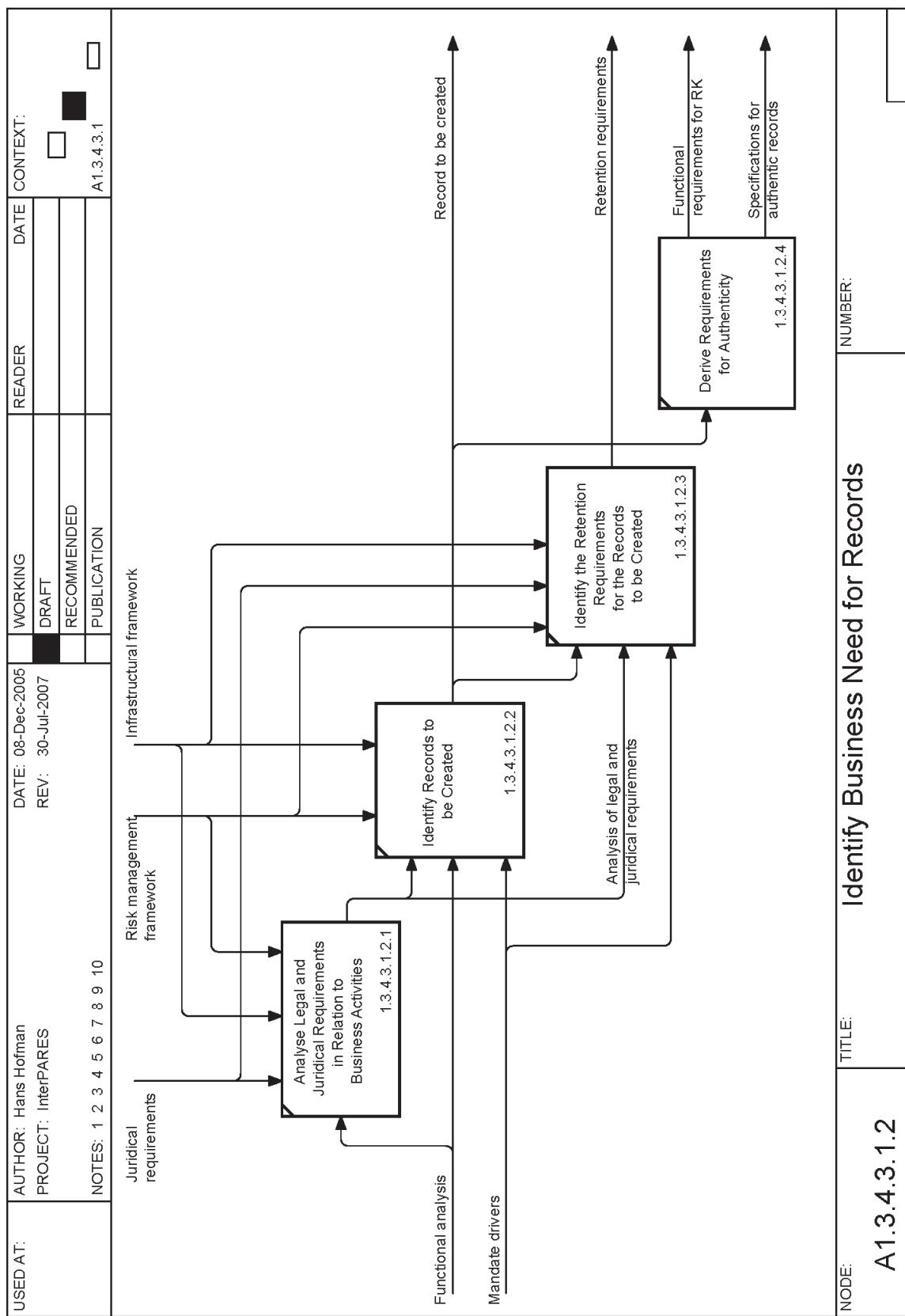


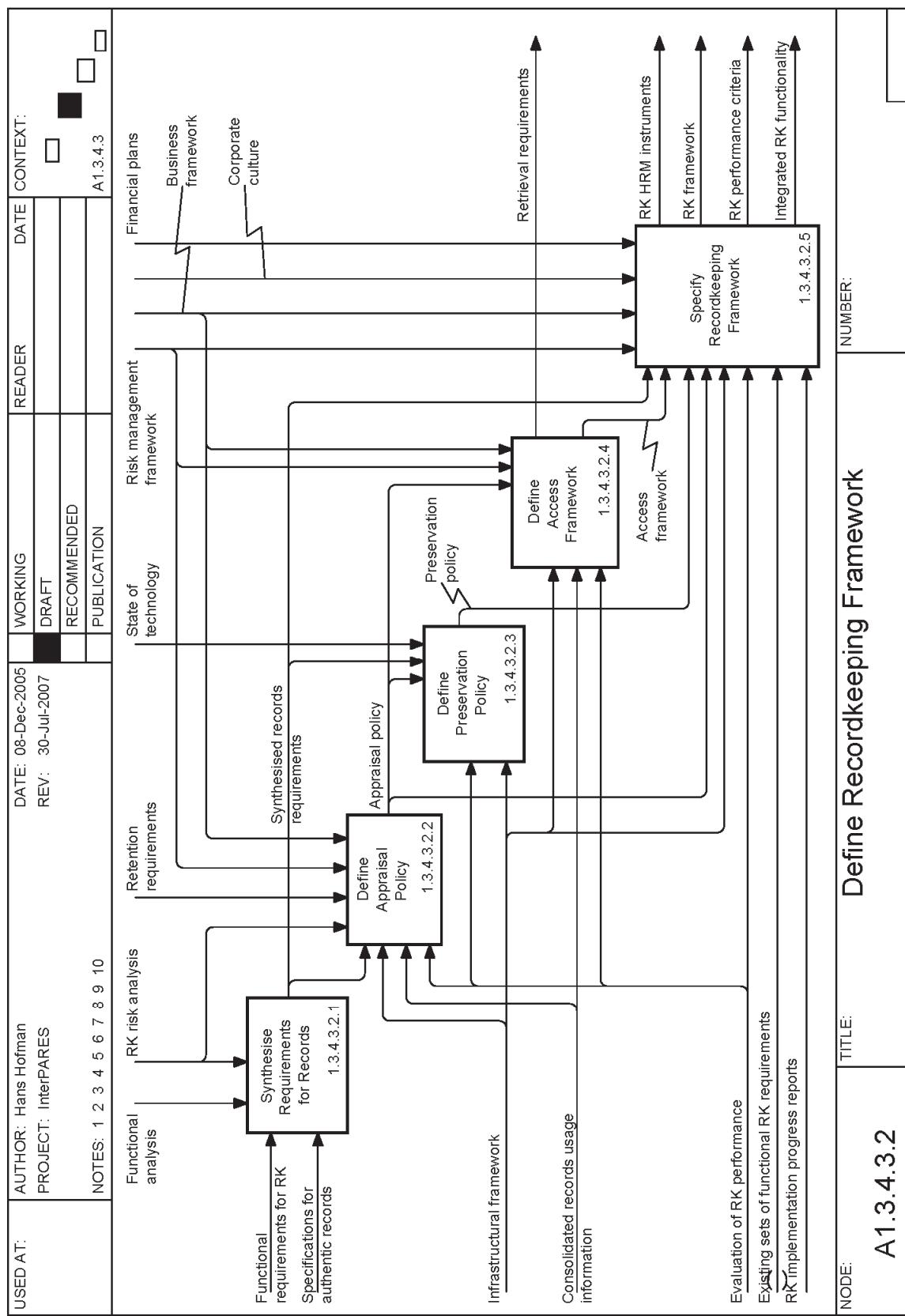


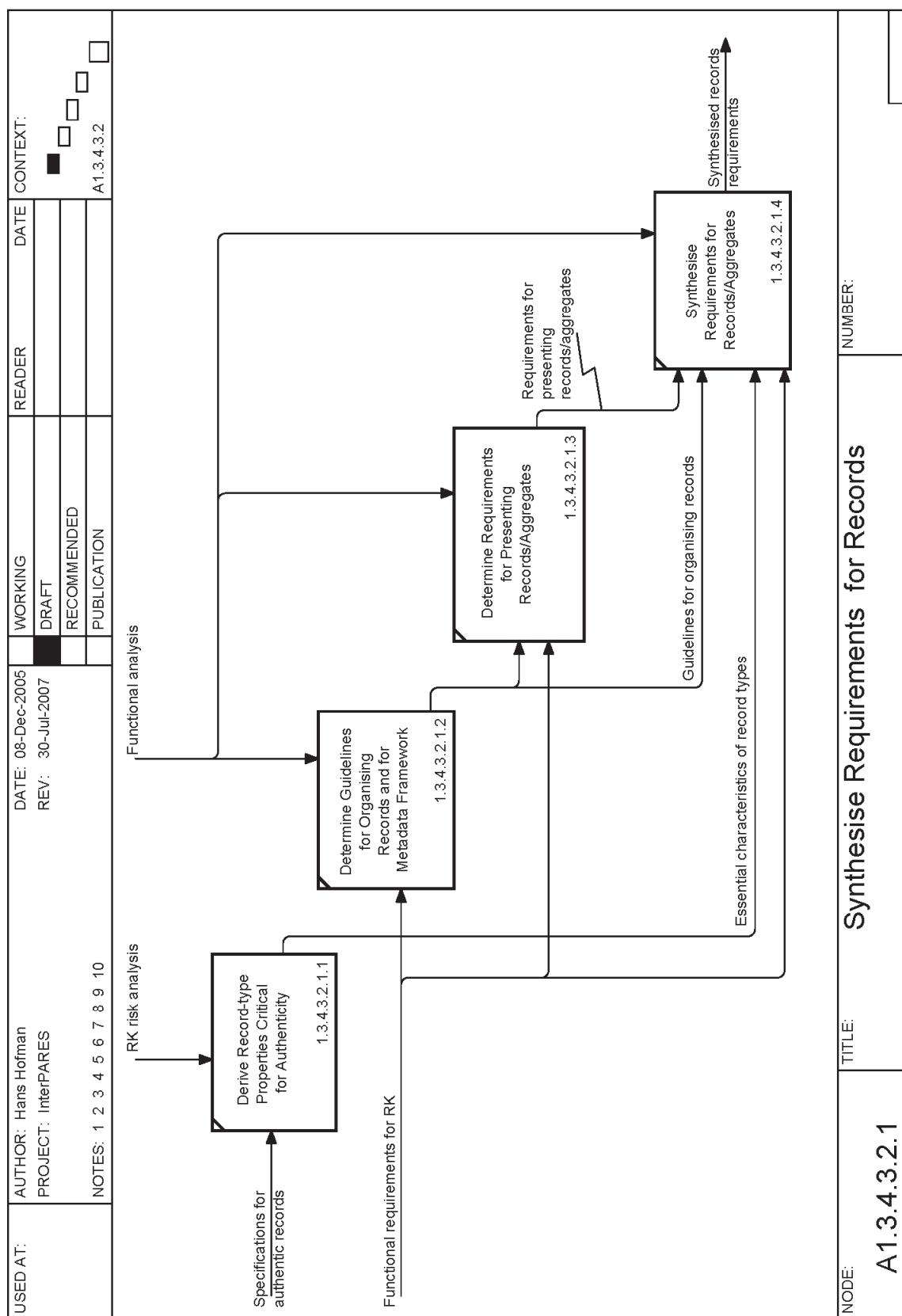


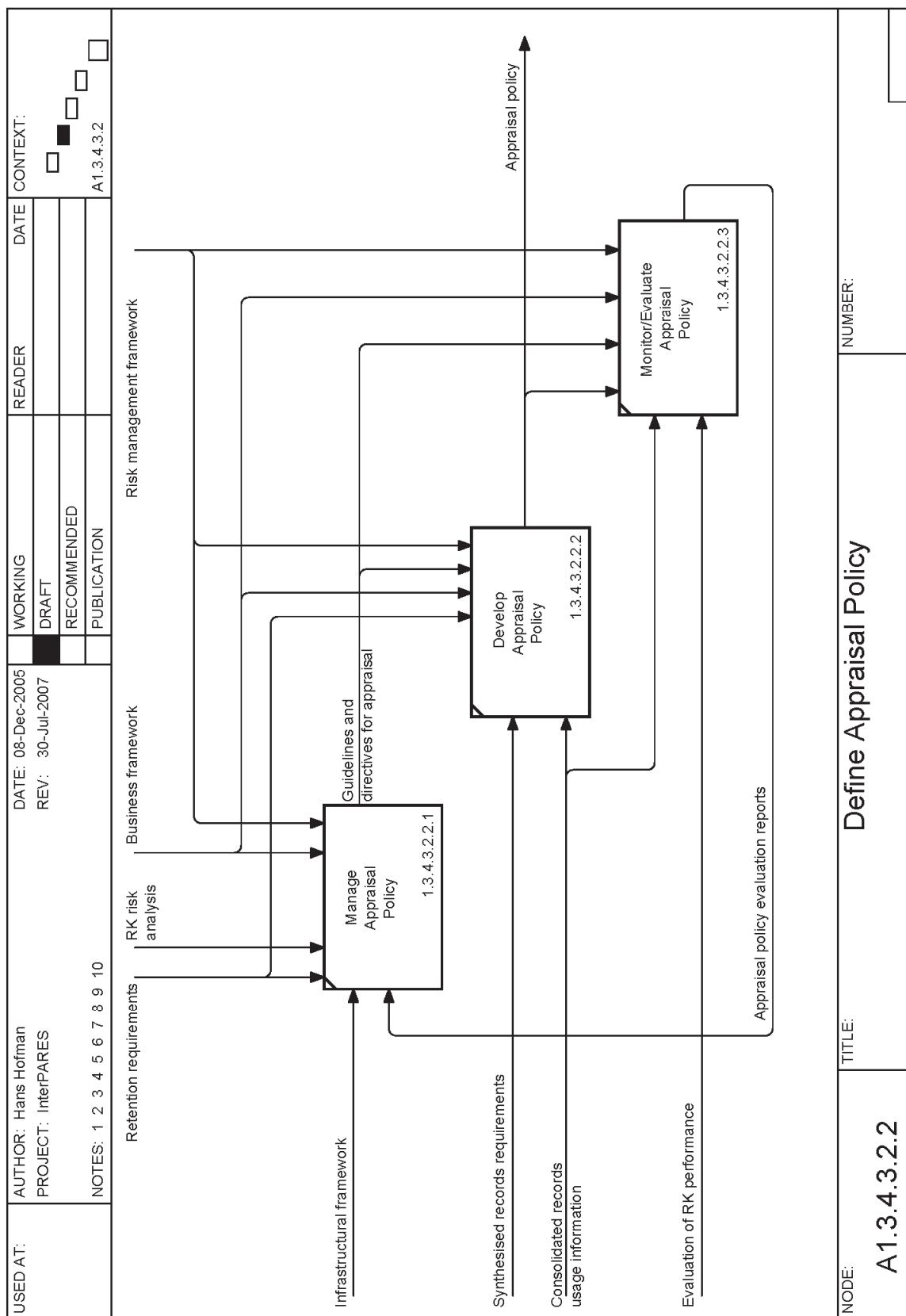


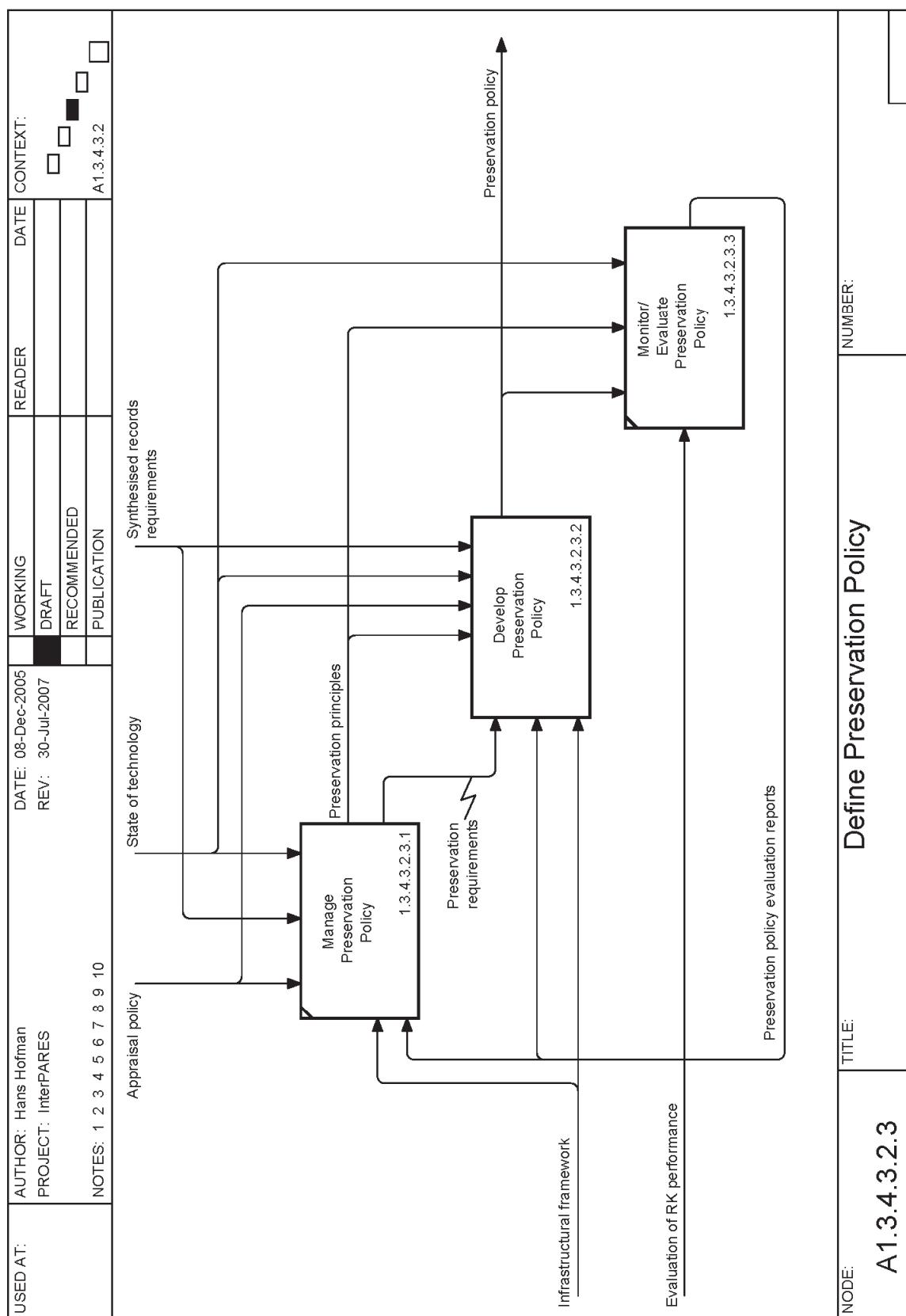


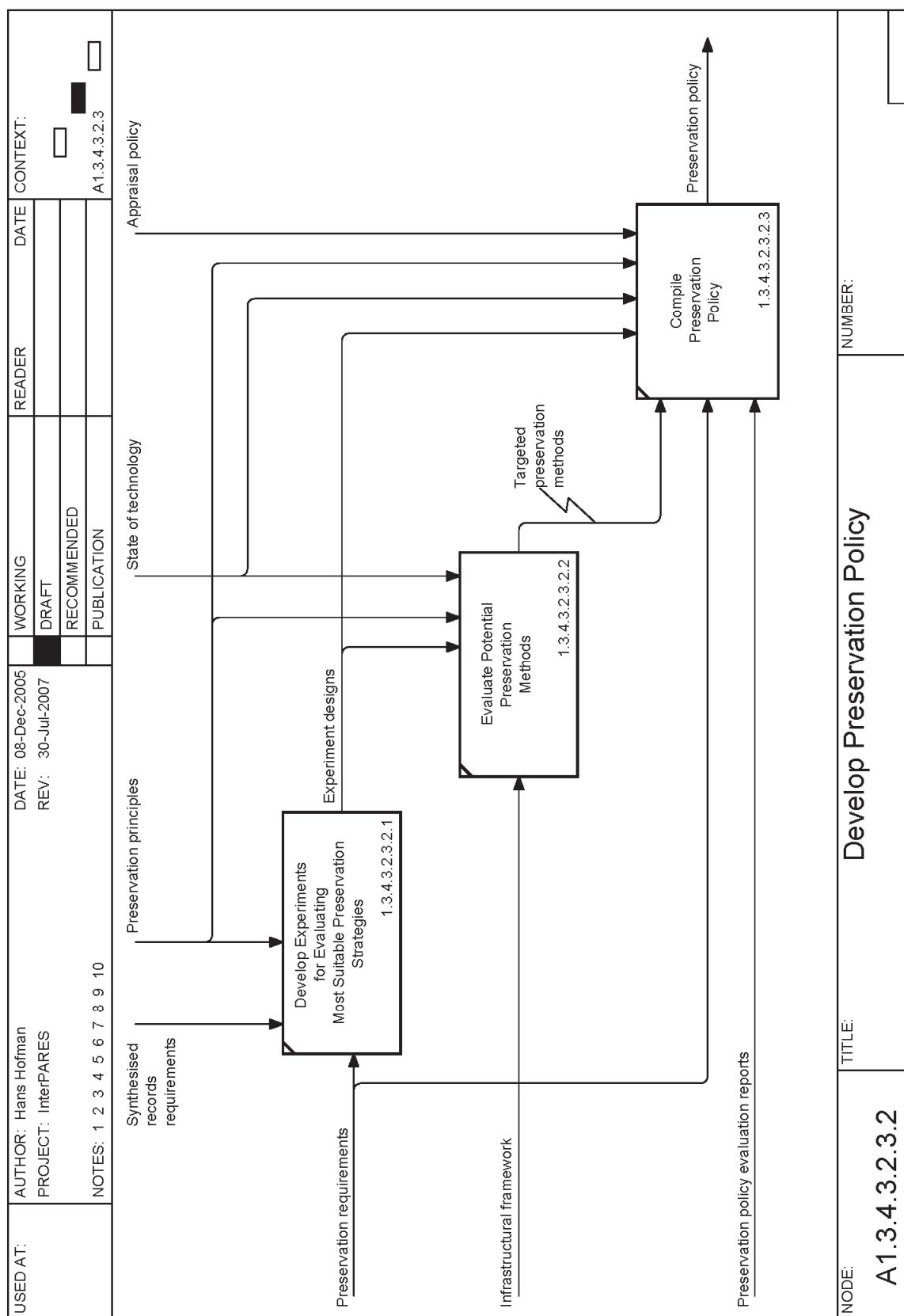


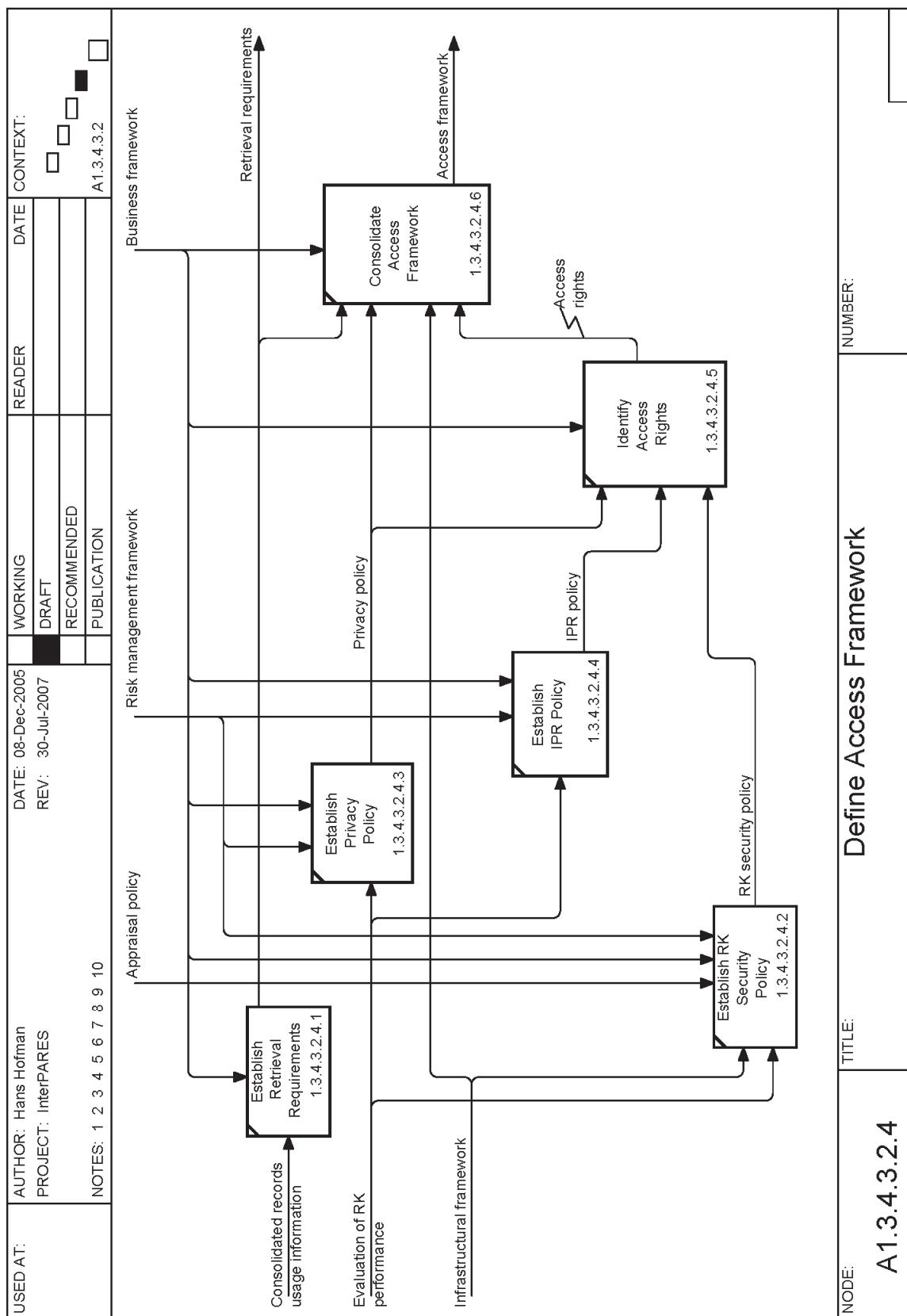


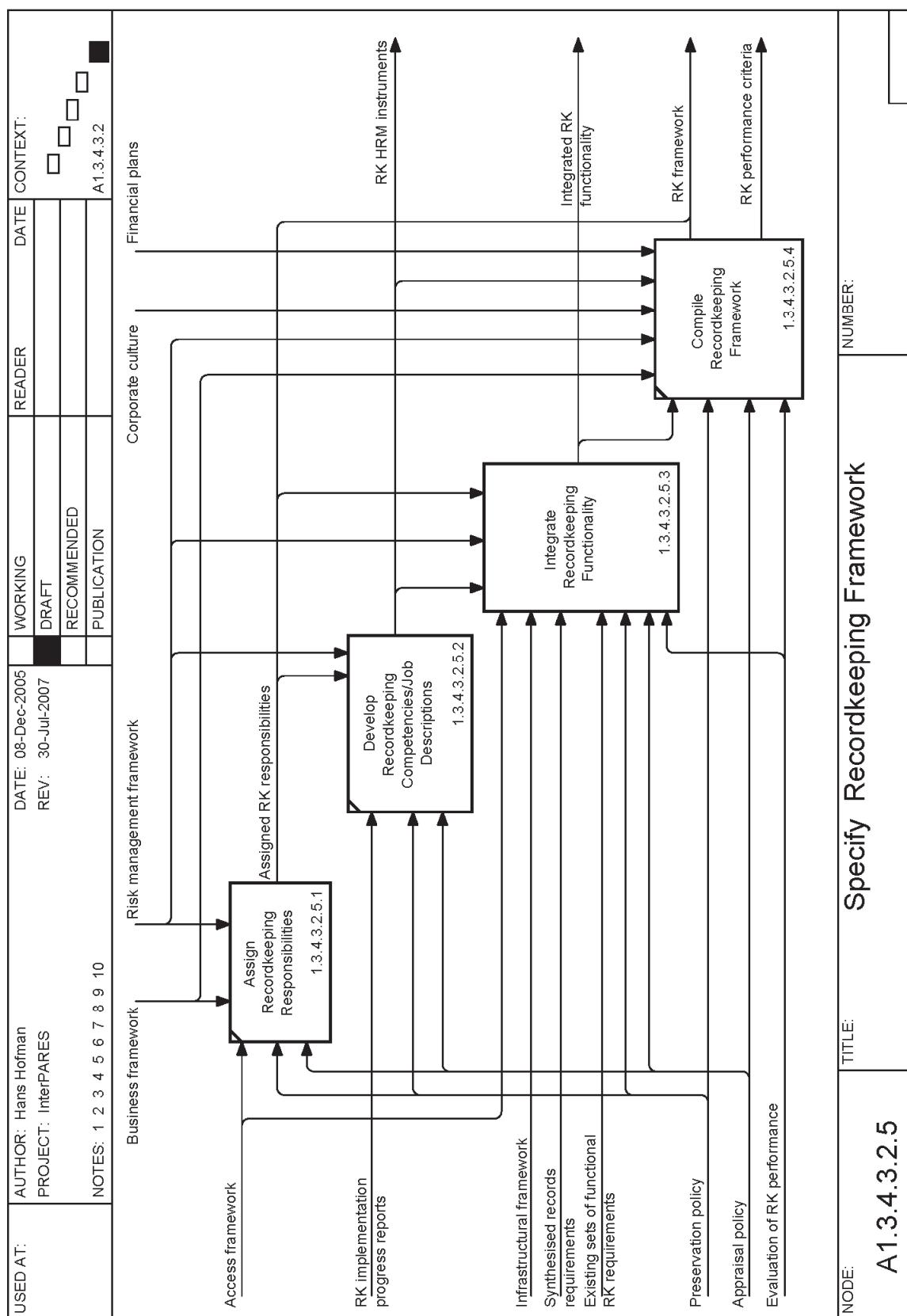


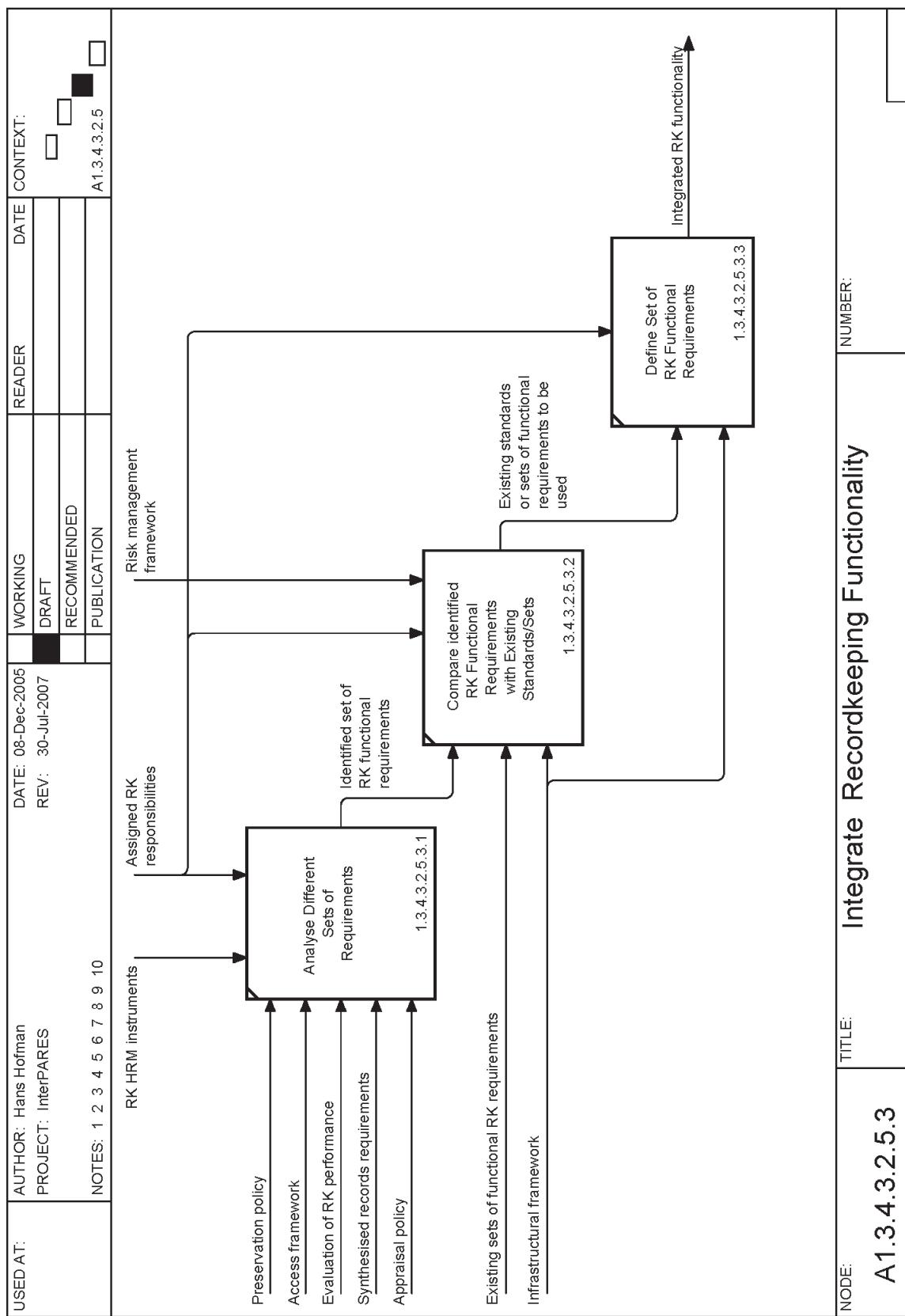


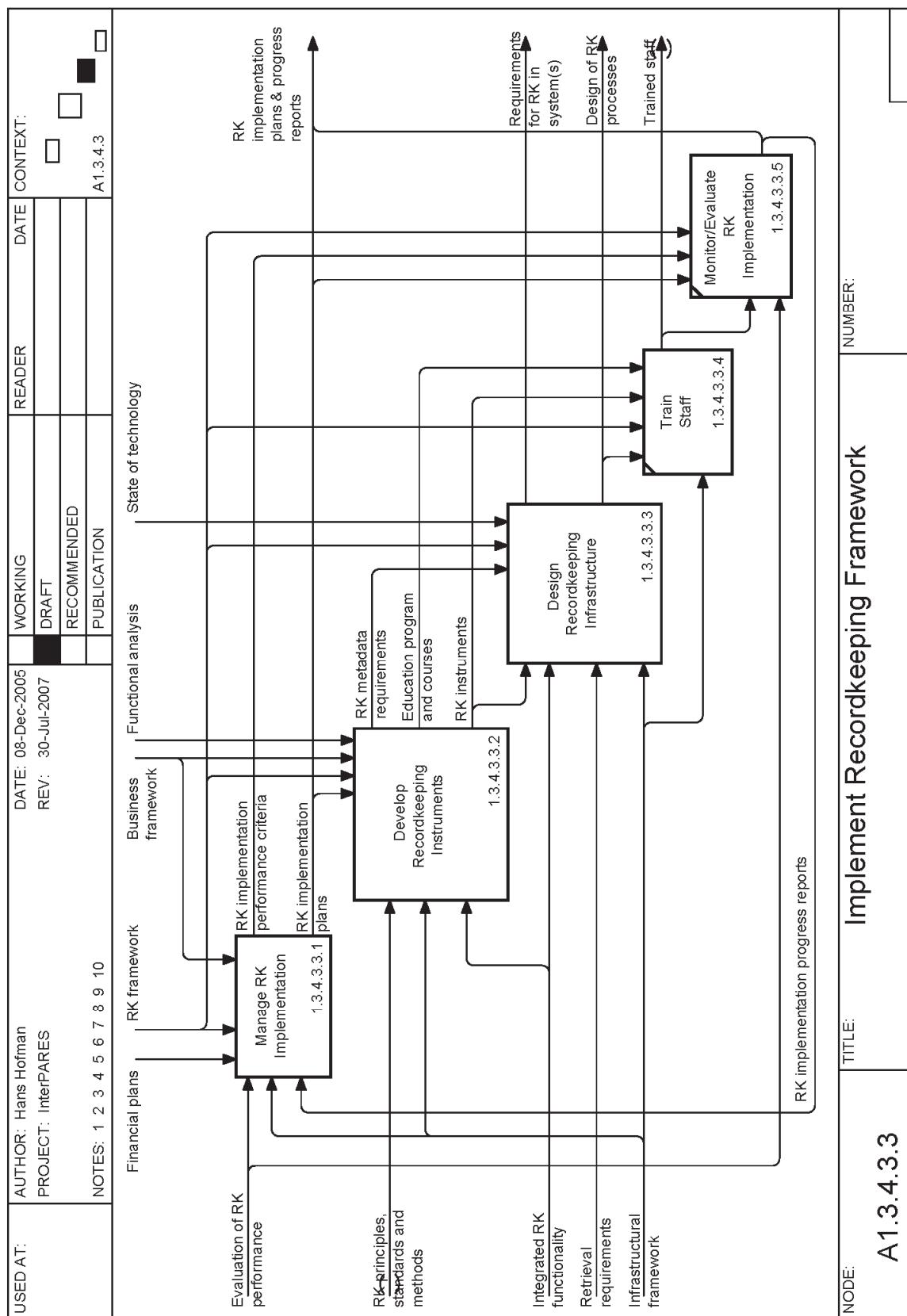


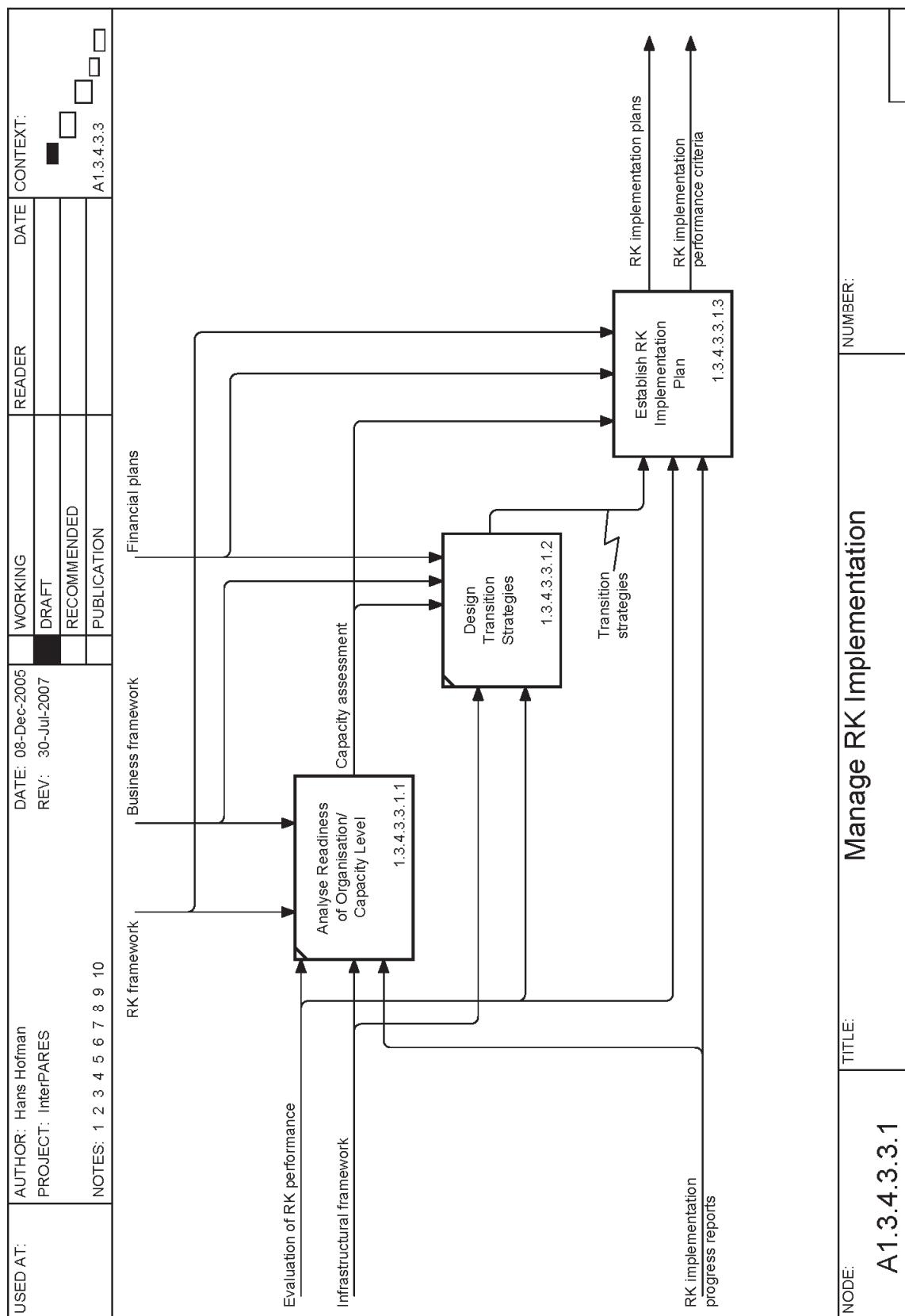


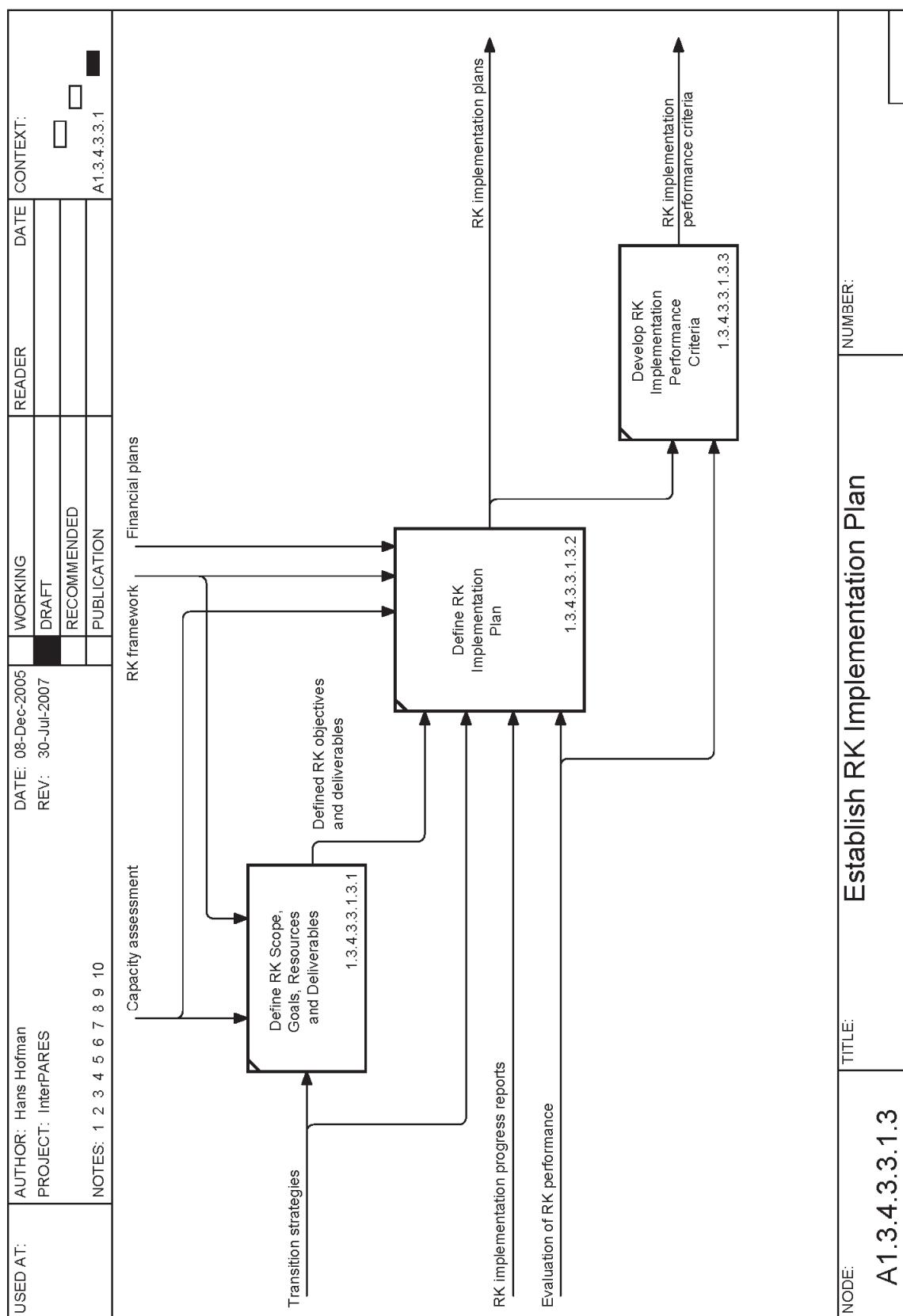


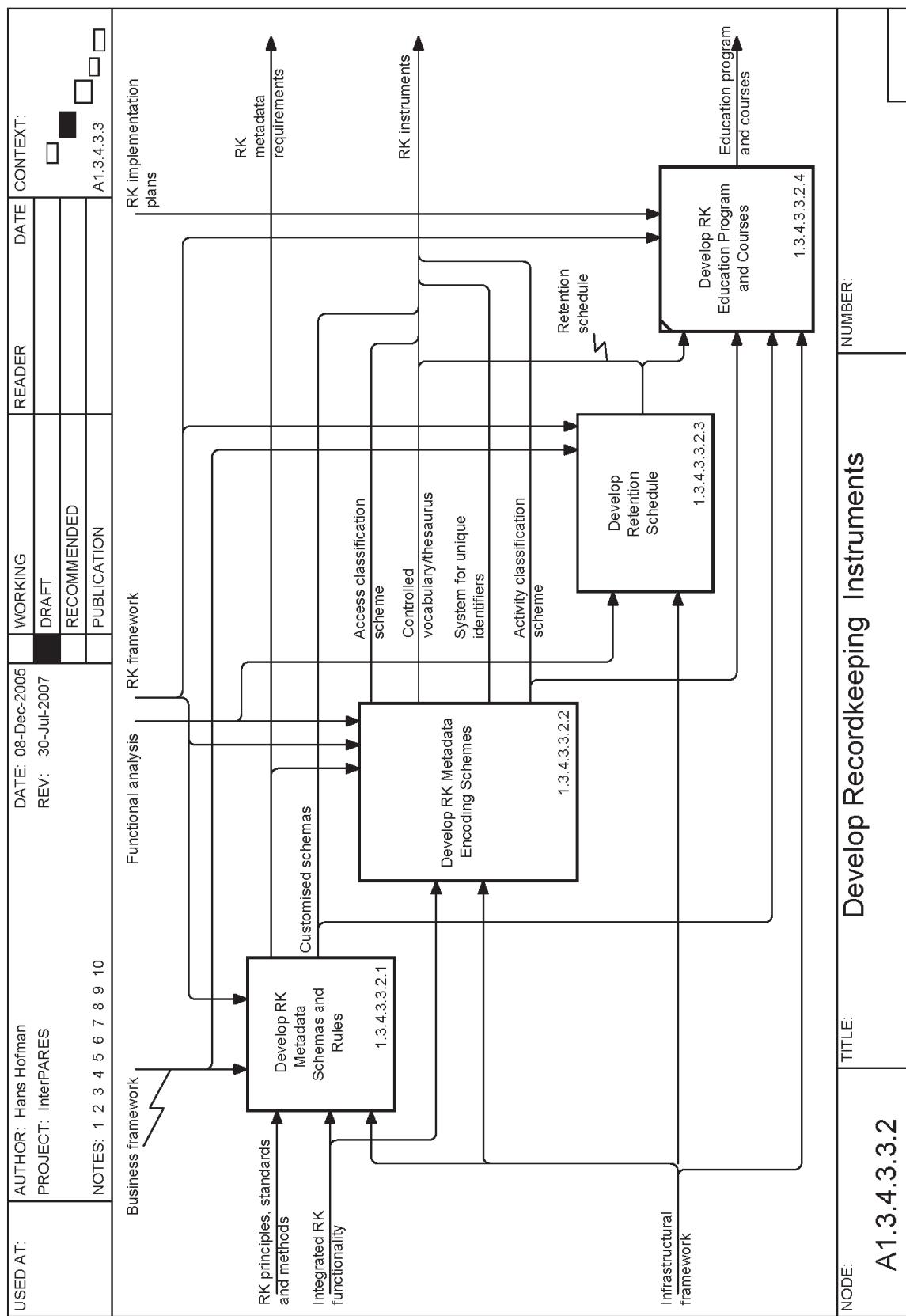


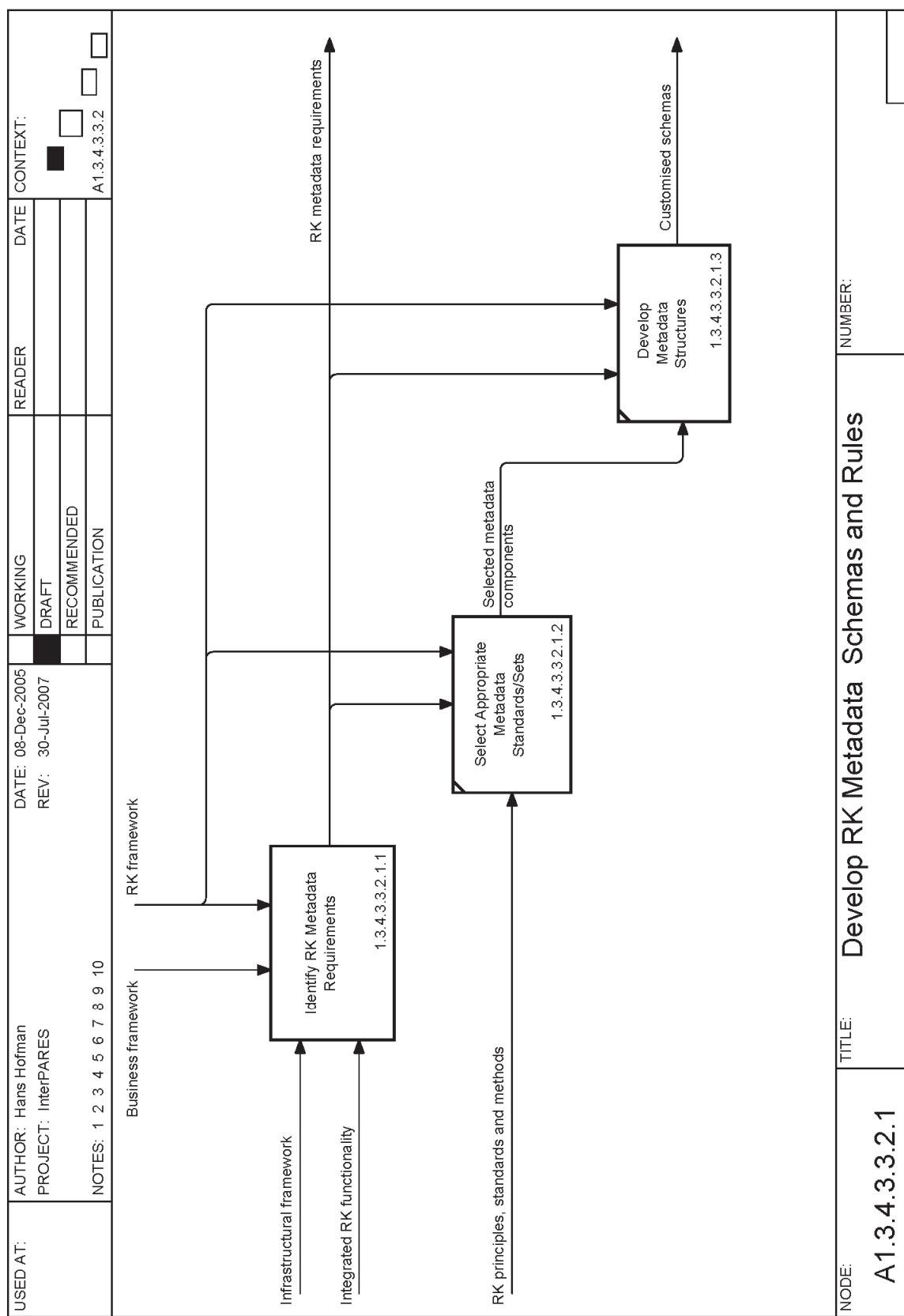


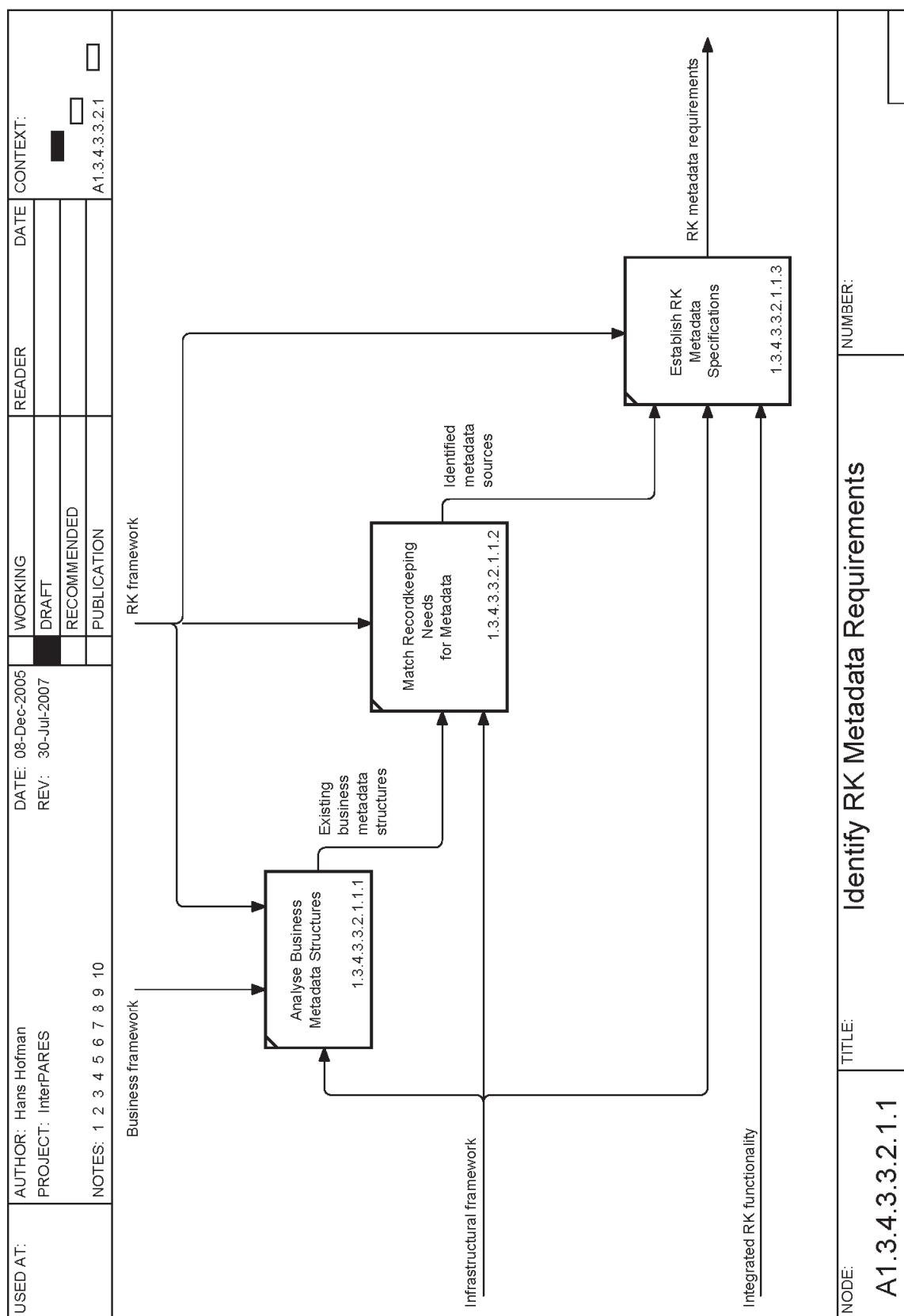


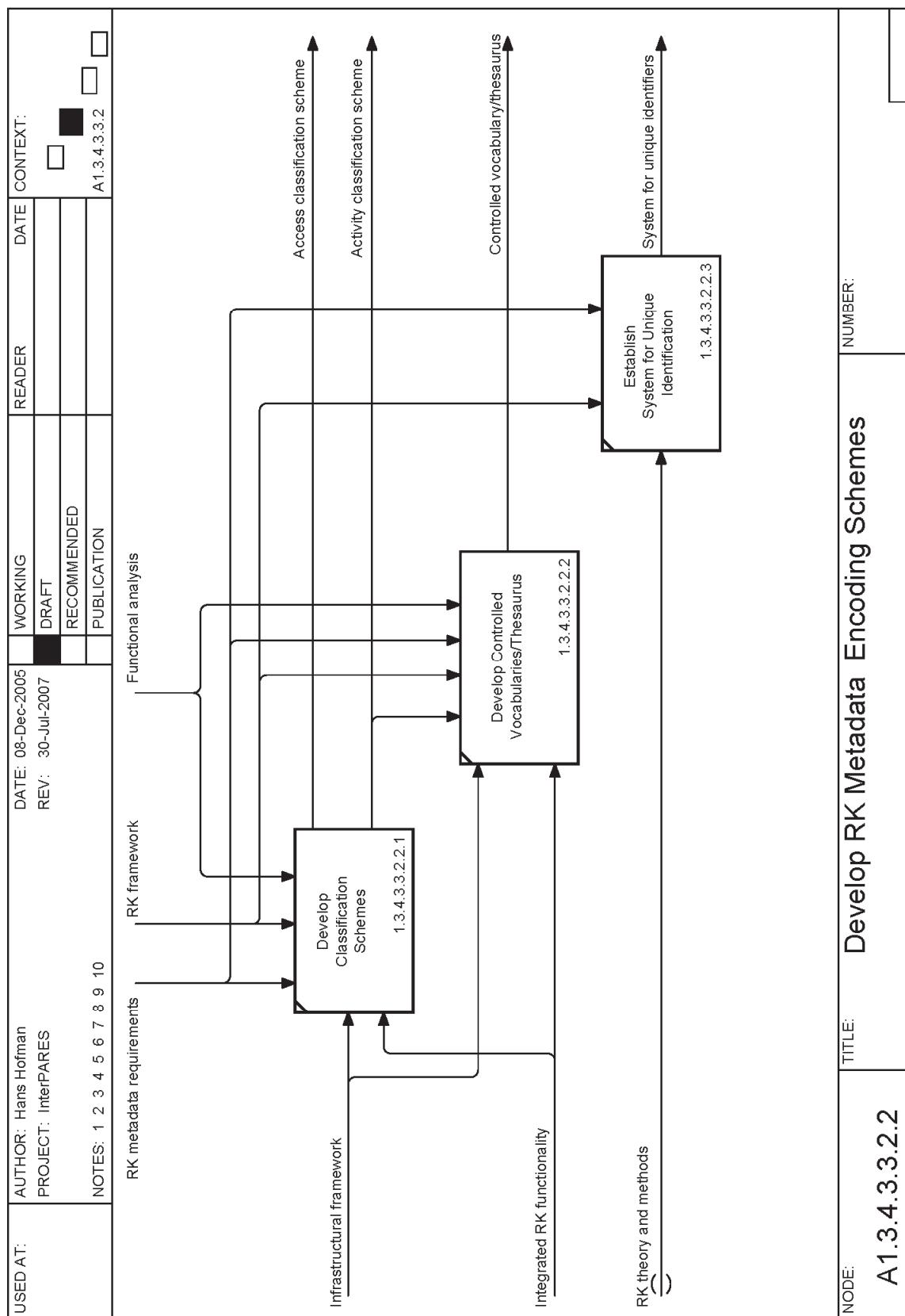


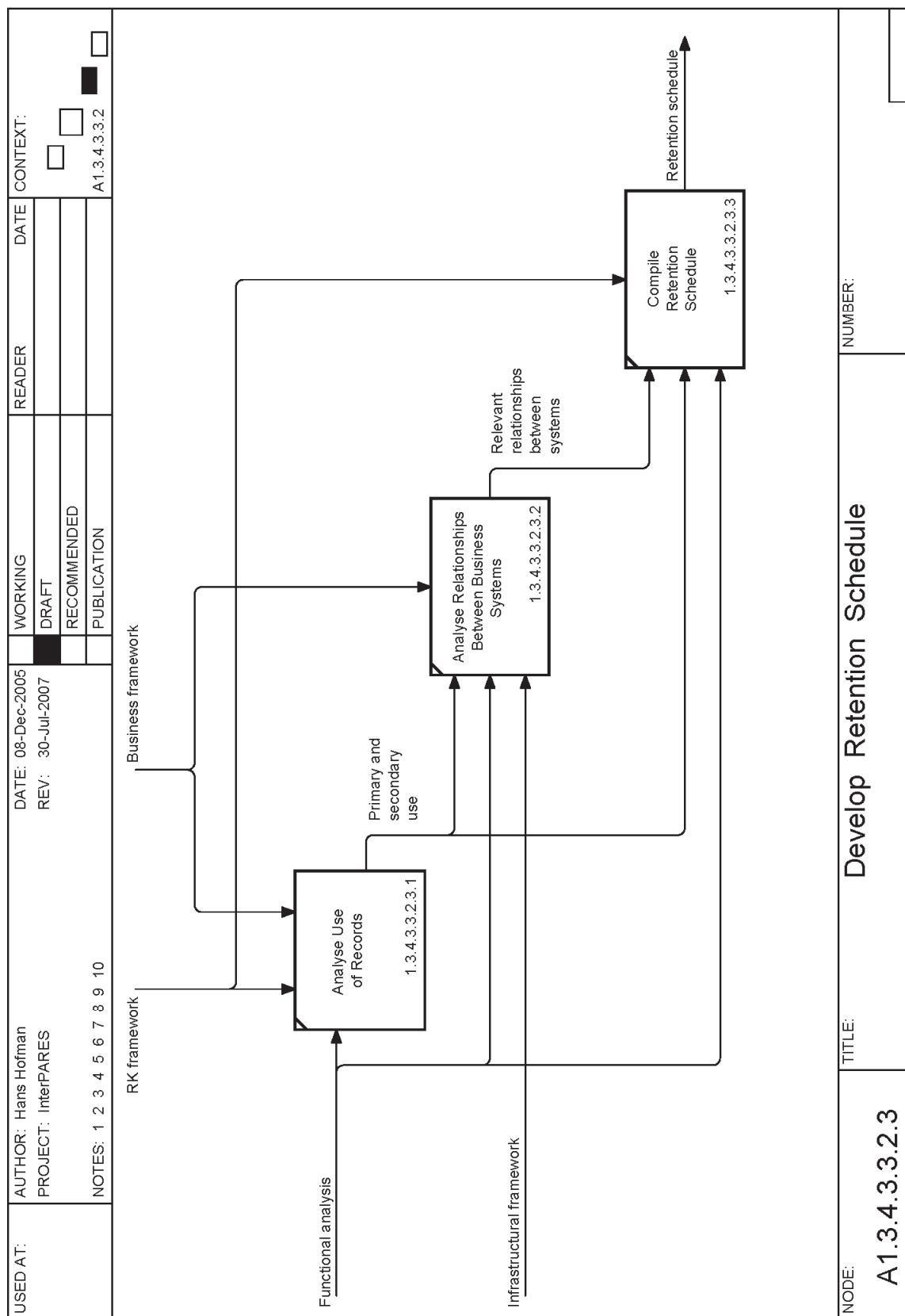


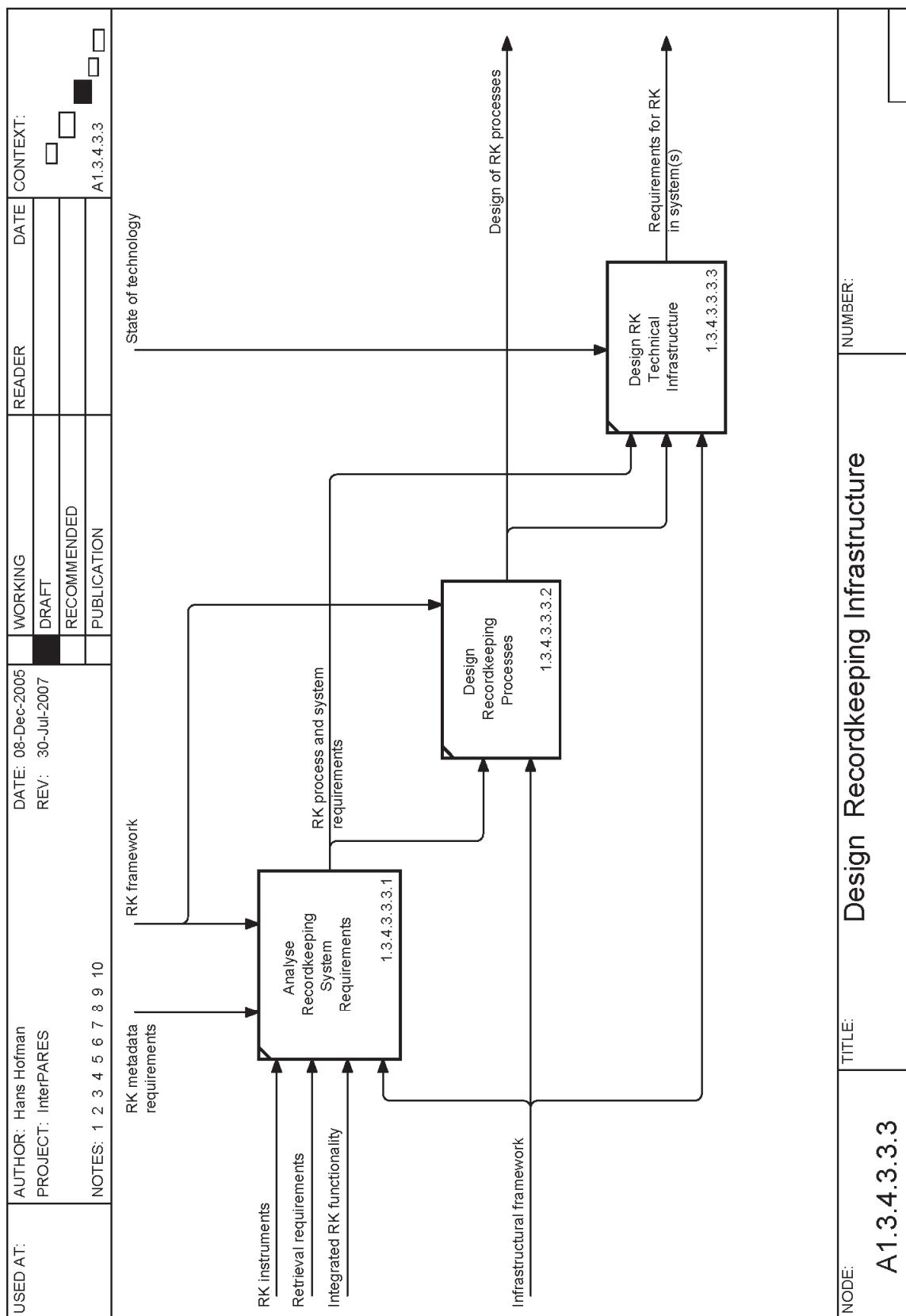


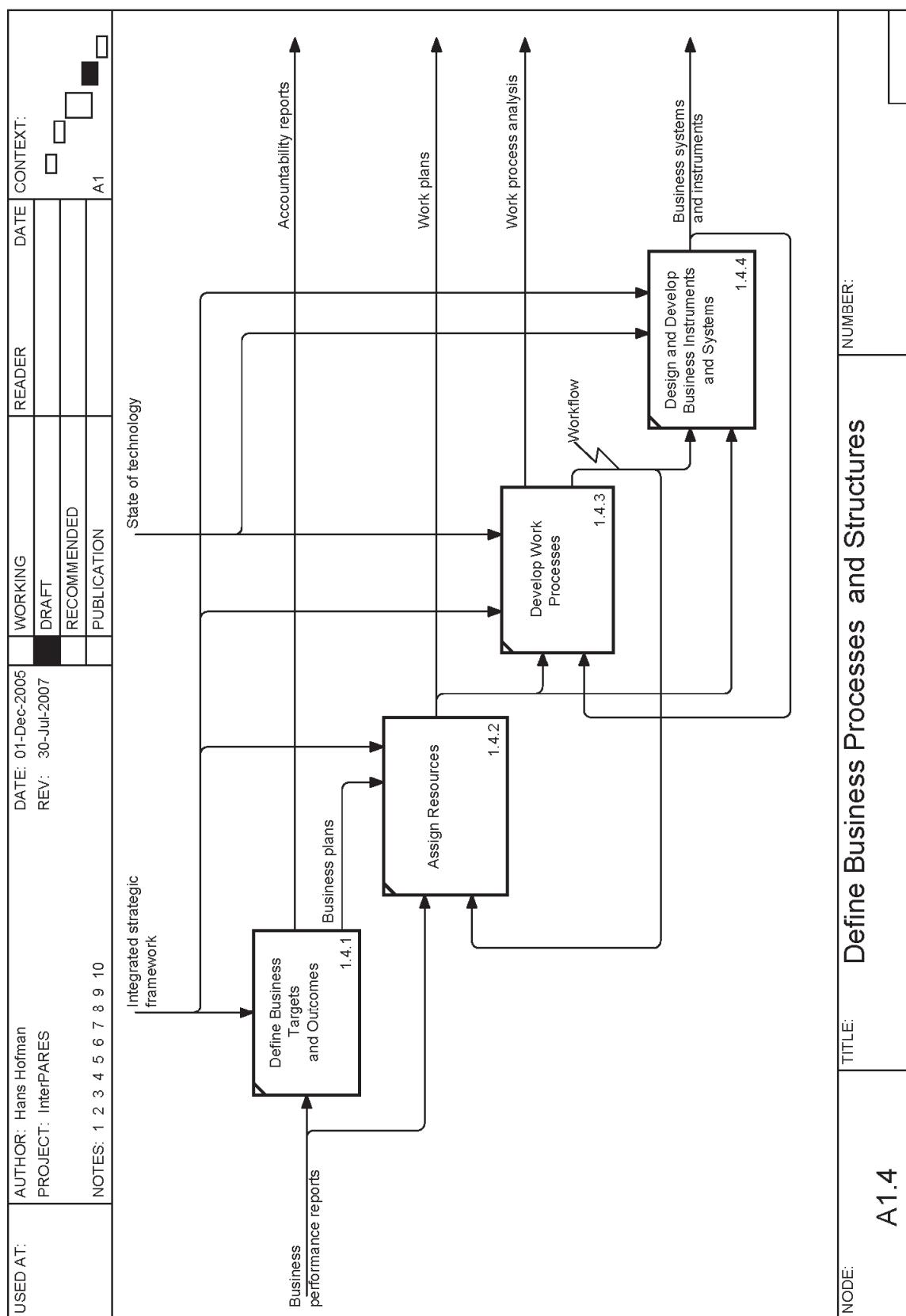


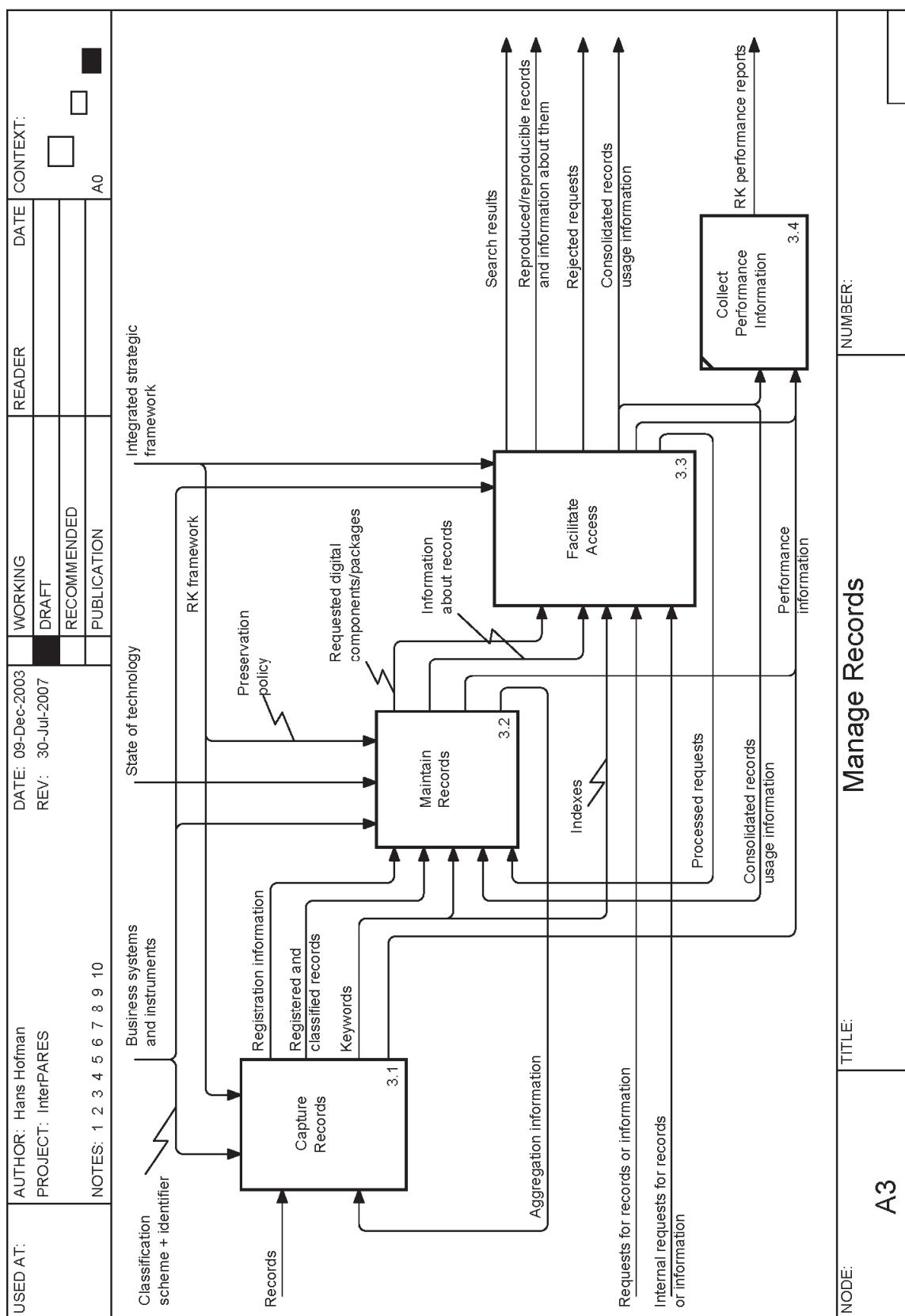


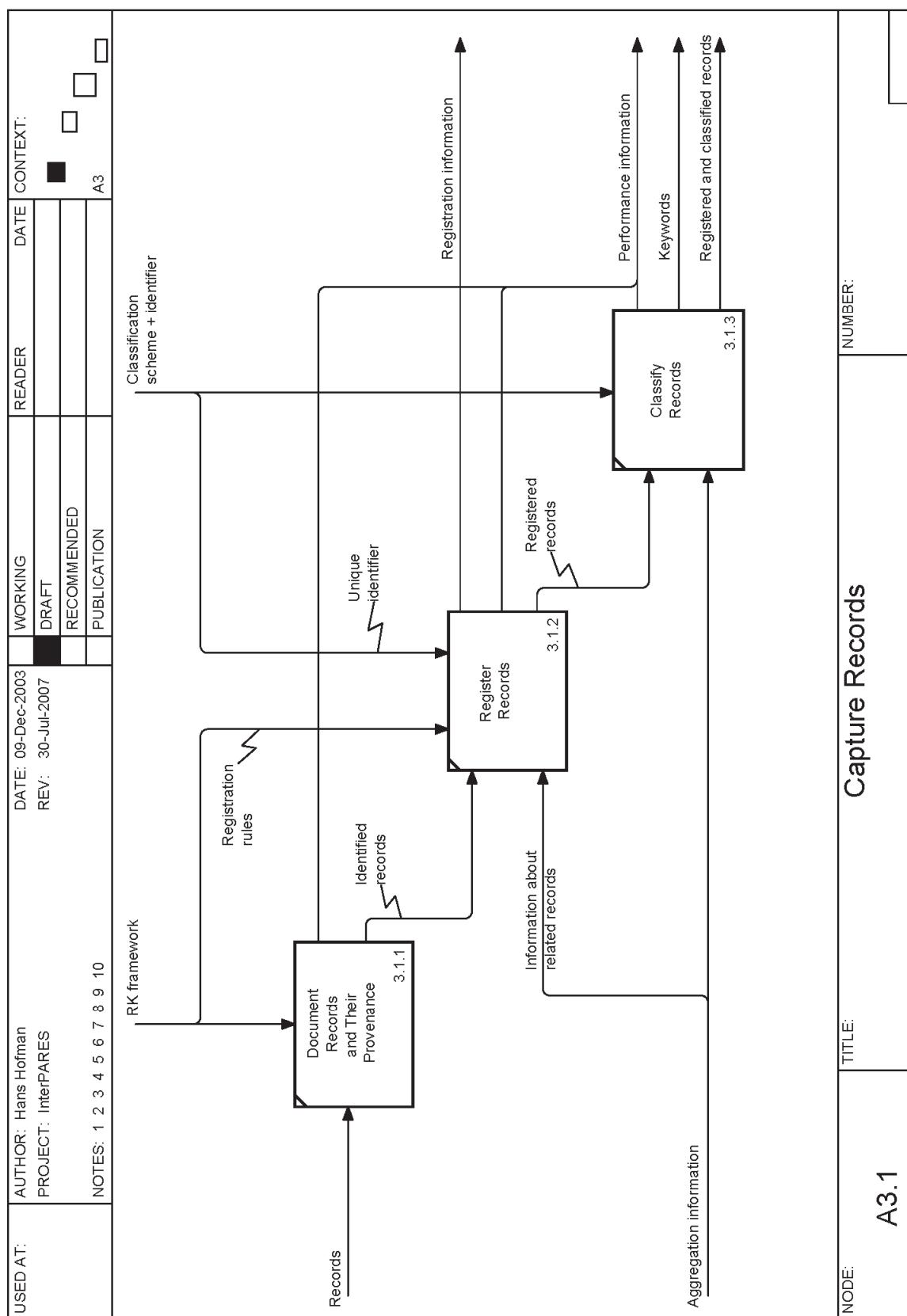


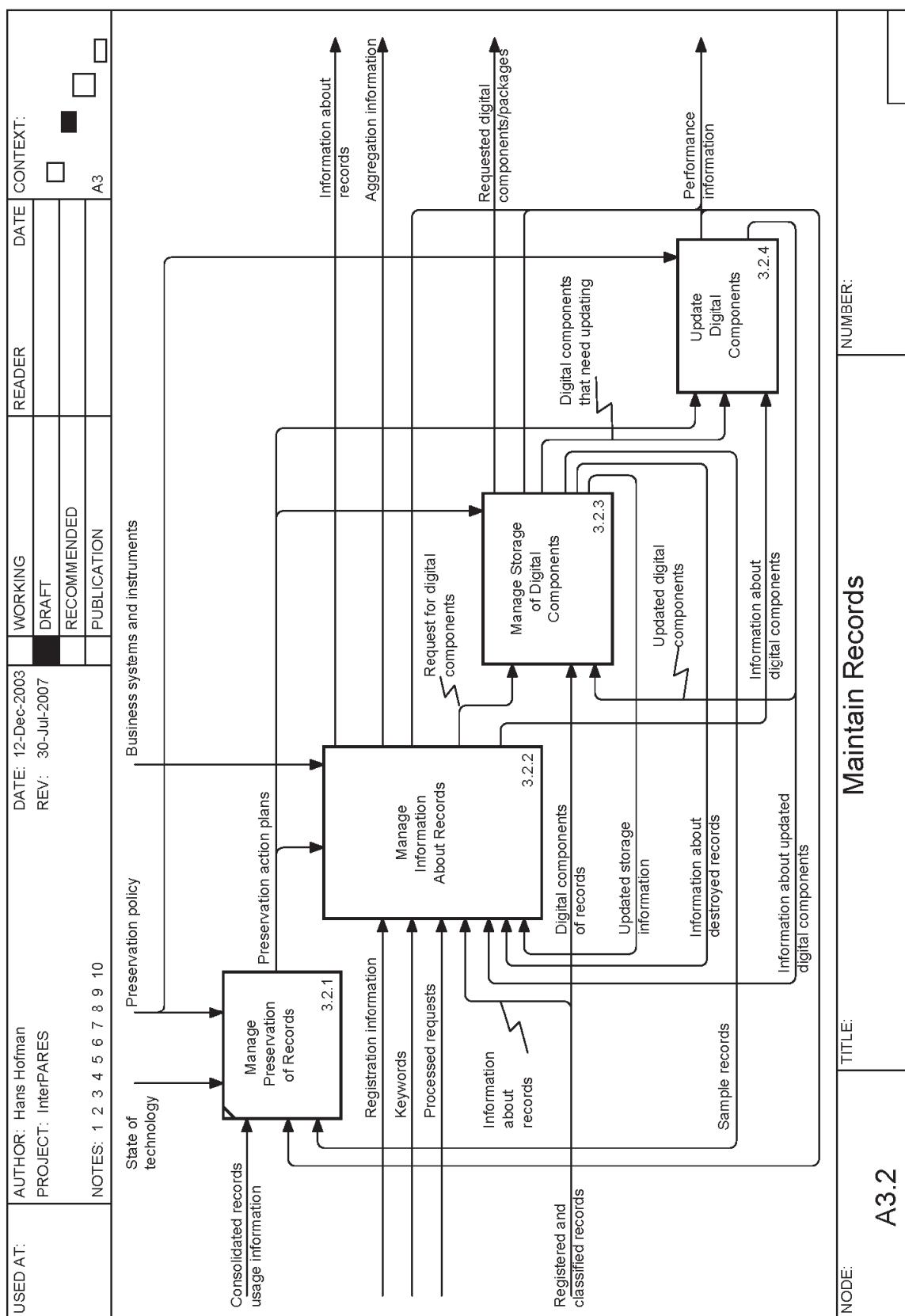


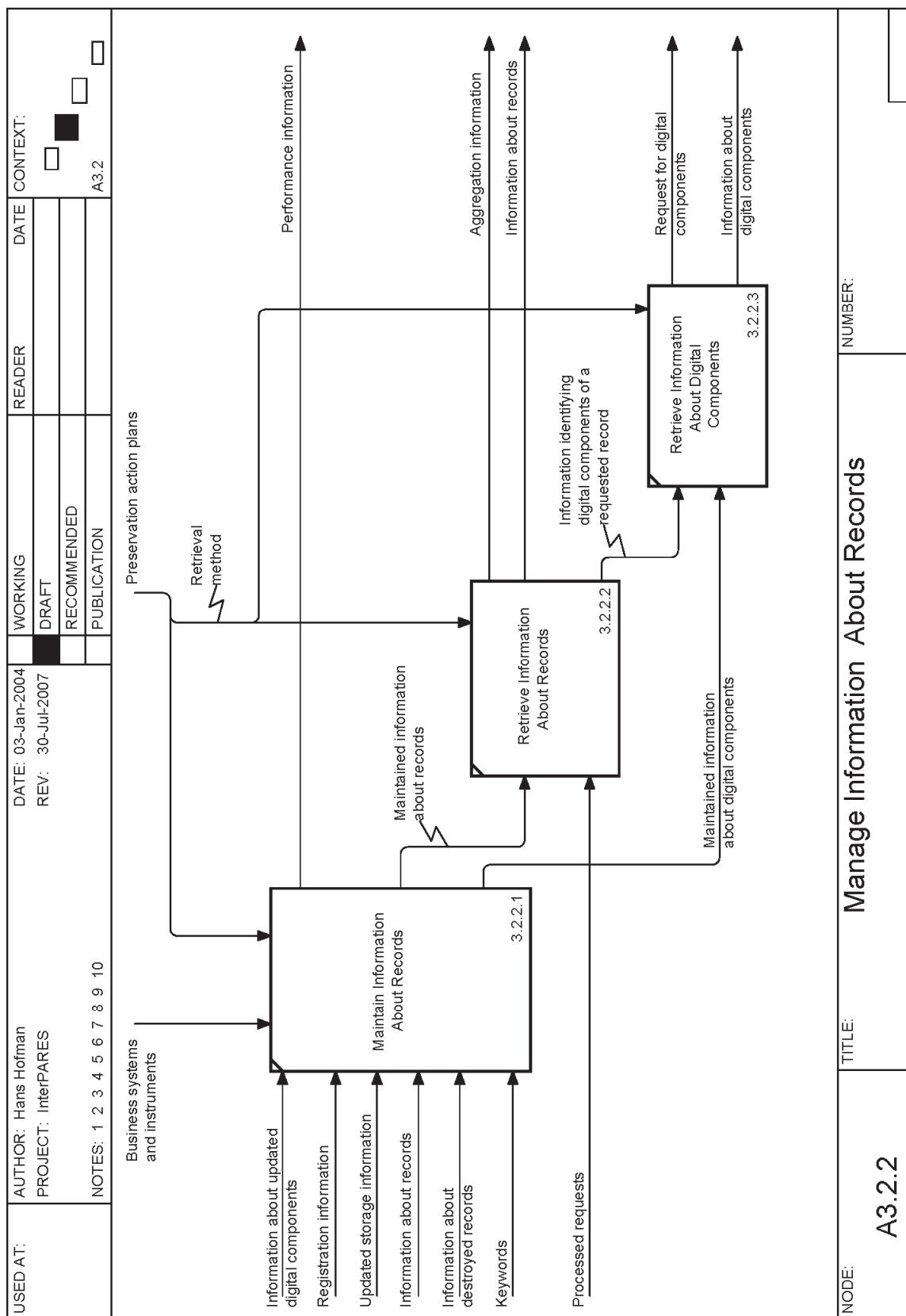


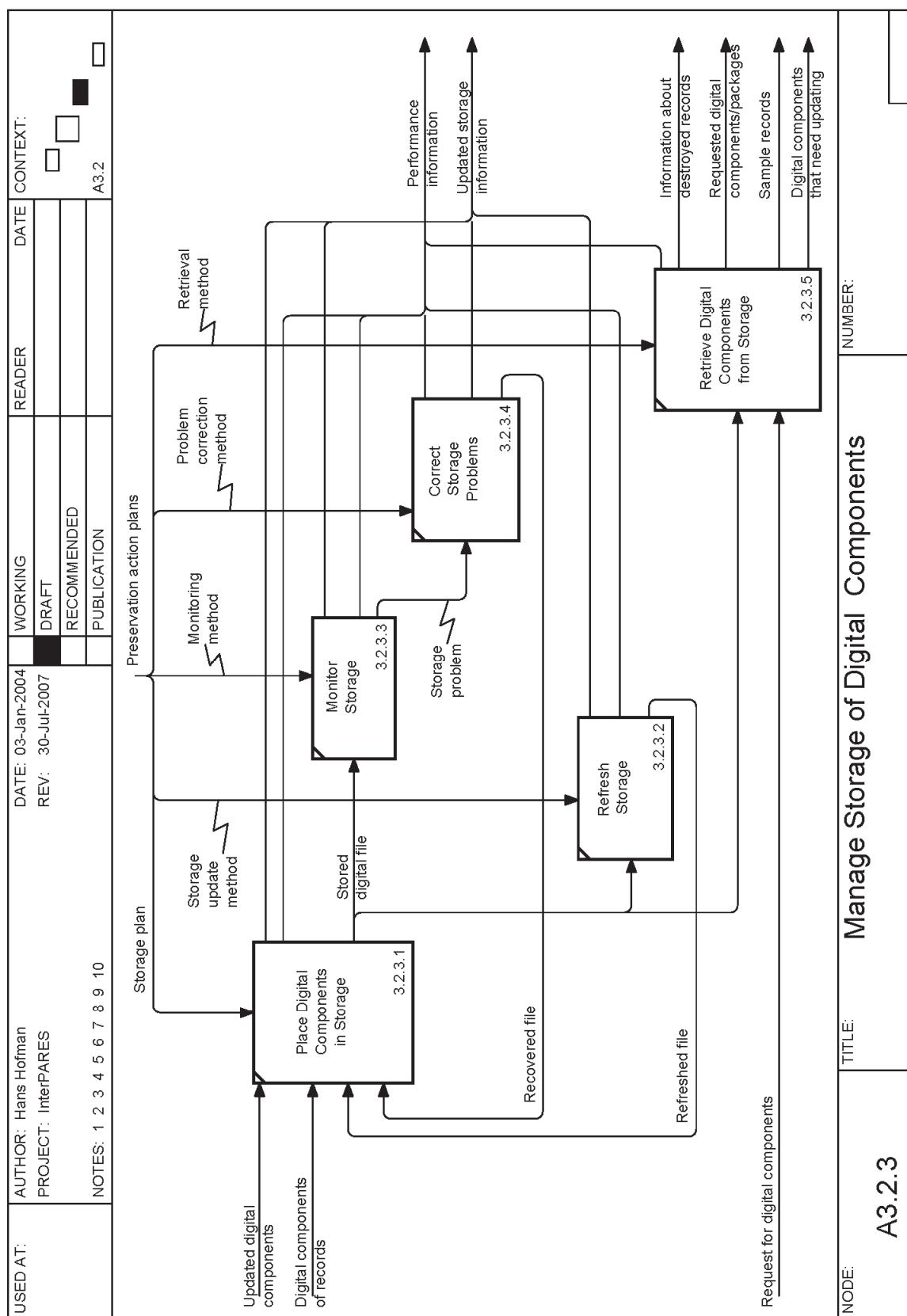


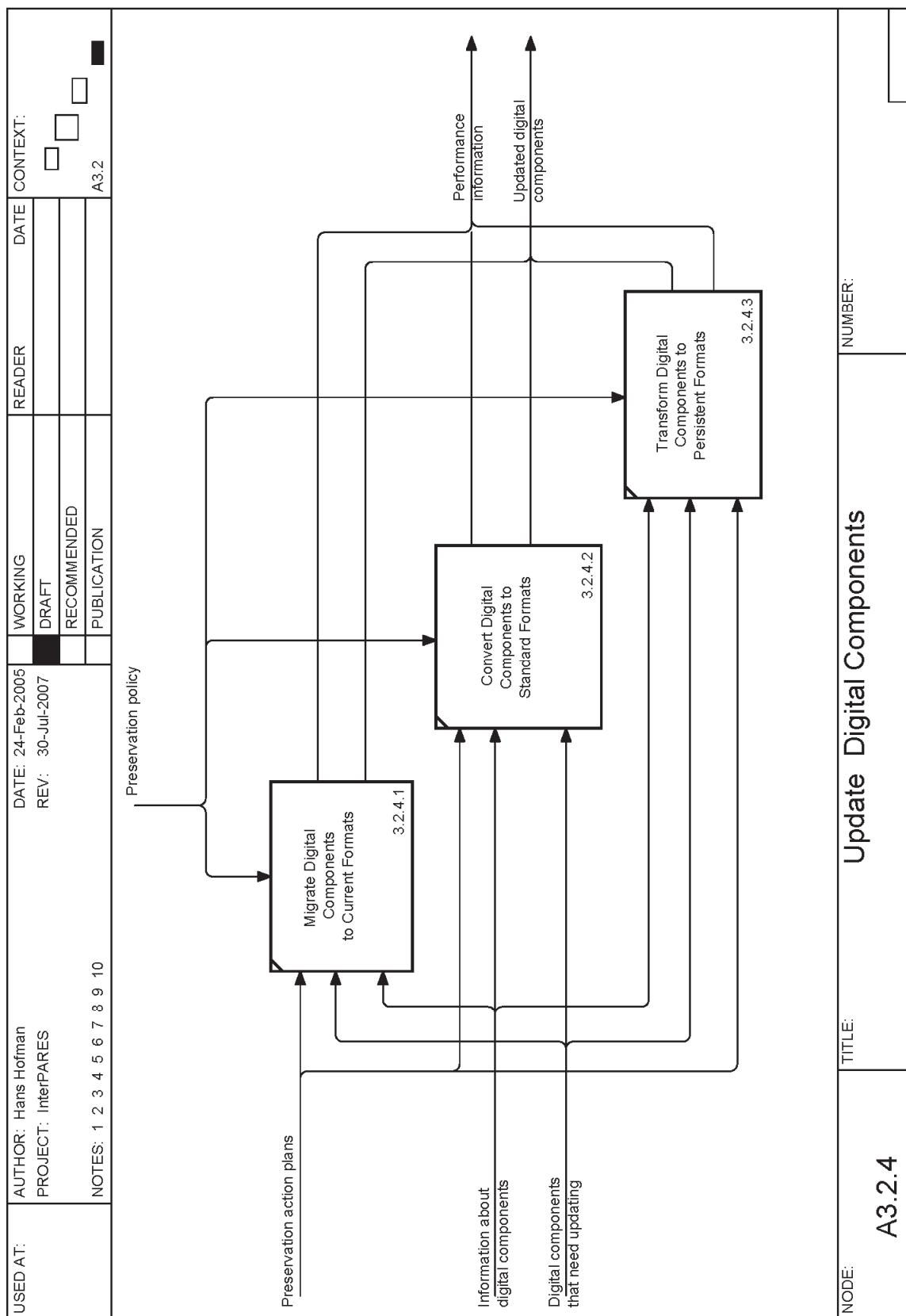


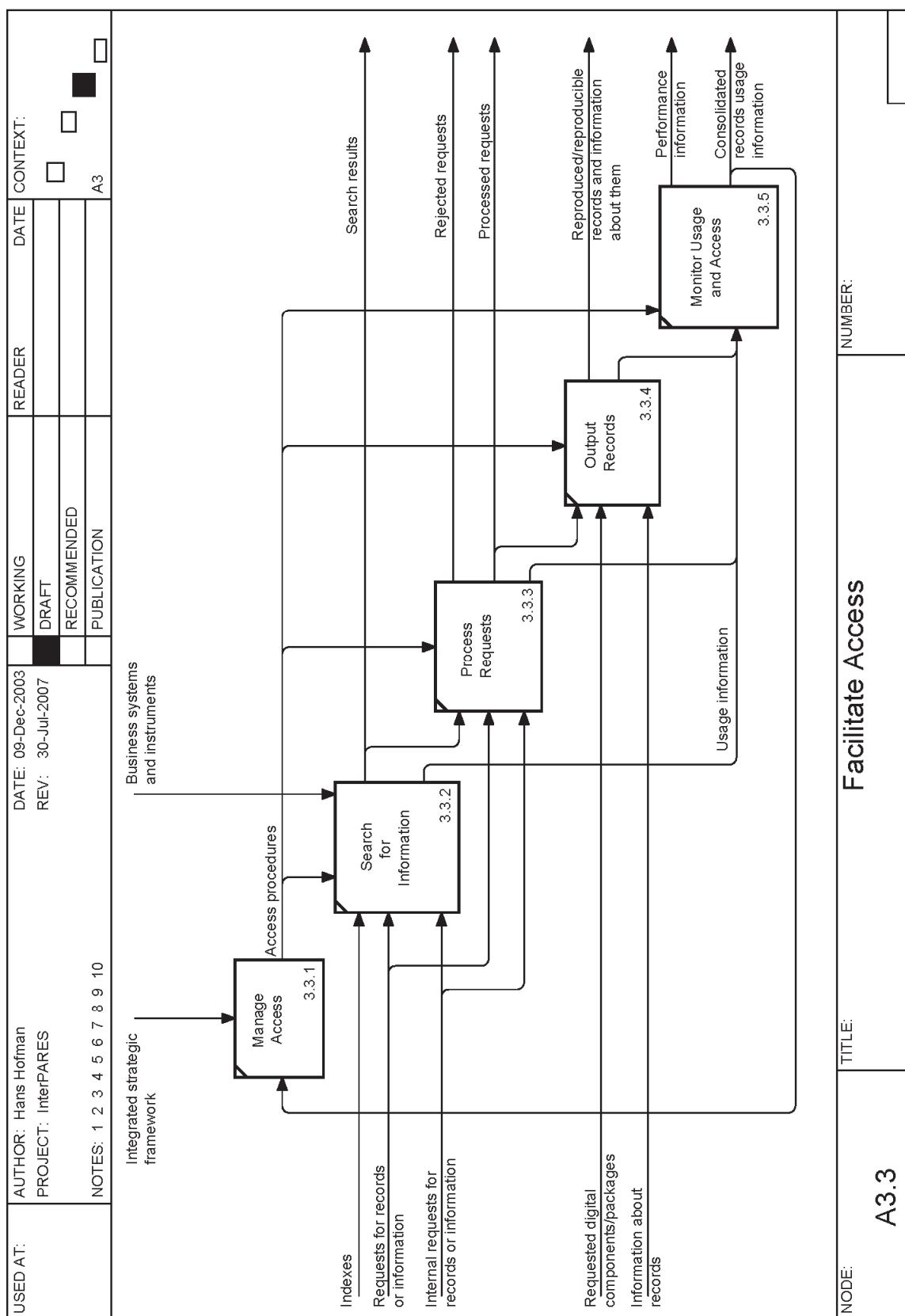












Business-driven Recordkeeping Model Activity Definitions

A0, Manage Business

Under the control of organisational/business, juridical and legal requirements, and limited by the actual capacity of the organisation and the possibilities available within the State of the Art of Information Technology, create and manage records as long as required in order to enable and support one or more identified business activities as well as to meet the applicable juridical requirements.

A1, Manage Business Framework

Establish a framework for records creation and management in an organisation, in line with its business needs, implement it based on the capability level that is identified for the organisation, monitor and evaluate the performance and application of the established framework both for the business activities and recordkeeping processes, and if necessary subsequently adjust the framework to the needs and level required.

A1.1, Analyse Needs and Risks

Establish the business needs for records and identify the risks if these records will not be properly created and managed in relation to the business context to identify the requirements for recordkeeping. This activity is controlled by legal, juridical and organisational or business requirements.

A1.2, Establish Governance

Set the overall strategic direction of an organisation by establishing the set and levels of responsibilities and practices necessary to ensure that the organisation is accountable for fulfilling its mandate, complying to its legal obligations, achieving its stakeholders' objectives, meeting the current societal, ethical and moral duties, managing its risks appropriately, using its resources responsibly and monitoring its performance effectively.

A1.3, Manage Strategic Framework

Establish strategic plans outlining the organisation's current and future direction, priorities and resource allocation strategies, in line with its business needs and key stakeholder interests, as well as including the required mitigation of business risks identified, implement them within an overall strategic framework, monitor the performance and application of the established plans both for the business activities and recordkeeping processes and, if necessary, subsequently adjust the plans to continue to meet business and key stakeholder needs and interests.

A1.3.1, Analyse Mandates

Critically evaluate an organisation's external mandate, identify the responsibilities involved within the context of the organisation's corporate culture and accountability framework, and subsequently identify the key mandate drivers that will guide, support and control the organisation's activities.

A1.3.2, Analyse Stakeholder Interests

Collect, evaluate input from key stakeholders (individuals, groups, other organisations, etc.) and identify their interests with respect to the organisation's business activities and objectives, its current and future direction, and its operational priorities and outcomes.

A1.3.3, Analyse Market

Collect and evaluate economic, operational, and/or competitive performance data regarding the business sector(s) within which the organisation operates for the purpose of identifying the products and/or services the organisation should produce and provide, the needs and

interests of its customers, and the strengths and weaknesses of its competition. A market analysis provides an organisation with the baseline information it needs to develop and manage its operations to best achieve its goals and enhance its competitive success.

A1.3.4, Develop Strategic Framework

Develop, implement and manage the different (strategic) specific frameworks and integrate them into one strategic framework, based on the outcome of the analysis of the mandate(s), the stakeholders' interests and the market. The strategic framework will provide the guidance and control needed to coordinate the key risk management, business and recordkeeping functions of the organisation.

A1.3.4.1, Develop Risk Management Framework

Develop, implement and manage a comprehensive administrative and operational framework for managing identified or potential risks based upon the analysis of the juridical requirements, the organization's responsibilities, societal influences, stakeholder interests, mandate drivers and market analyses within the constraints of the organisation's business.

A1.3.4.2, Develop Business Framework

Develop, implement and manage a comprehensive administrative and operational framework that will guide and control an organisation's business activities, within the constraints of the juridical requirements, the existing corporate culture and the risk management framework, through consideration of recordkeeping implementation plans and progress reports, the business infrastructural framework, mandate analysis, market analysis, stakeholder interest information, and business performance analyses. The business framework will be the basis for accountability reports and be accompanied by financial plans.

A1.3.4.2.1, Analyse External and Internal Drivers and Constraints

Collect and evaluate information about the key internal and external operational, administrative, cultural, documentary and resource allocation factors that may impact upon an organisation's ability to carry out its business, to meet its purpose and to achieve its outcomes, in order to provide a contextual analysis for establishing an organisation's business framework.

A1.3.4.2.2, Define Business Framework

Design and specify a comprehensive operational and administrative structure for guiding and overseeing an organisation's business activities, within the constraints of the existing corporate culture and the risk management framework, and based upon the thorough consideration of the contextual analysis, the recordkeeping implementation plans, the recordkeeping infrastructure framework, and performance analyses.

A1.3.4.2.3, Monitor and Evaluate Business Framework

Periodically assess whether the way an organisation's business framework is operationalised and still appropriate based upon analysis of business performance information in relation to the existing risk management framework and the contextual analysis of key drivers and constraints. Based on the monitoring, produce reports to inform the define business framework function to confirm or revise the business framework.

A1.3.4.3, Develop RK Framework

Develop, implement and manage a comprehensive administrative and operational structure that will guide and control an organisation's recordkeeping activities, within the

constraints of the current state of technology, the organisation's existing corporate culture, its risk management and business frameworks, the financial plan, and its juridical requirements, and taking into account performance reports on business and recordkeeping activities.

A1.3.4.3.1, Analyse Recordkeeping Needs and Risks

Identify, describe, document and analyse an organisation's work processes ('sequential analysis'), identify what records are needed to adequately document and support those processes, and identify potential associated risks in relation to performing the recordkeeping function.

A1.3.4.3.1.1, Identify/Describe Business Processes

Given the relevant juridical, legal and organisational requirements, and past information about business and recordkeeping performance, identify the requirements for retention of the records created.

A1.3.4.3.1.2, Identify Business Need for Records

Identify what records are needed for the business processes at transaction level based on a risk analysis of these processes in connection to legal, business, organisational and societal requirements.

A1.3.4.3.1.2.1, Analyse Legal and Juridical Requirements in Relation to Business Activities

For the business processes/activities, determine the related legal and juridical requirements for records creation and the risks of not meeting these requirements.

A1.3.4.3.1.2.2, Identify Records to be Created

Given the relevant juridical, legal and organisational requirements, and past information about business and recordkeeping performance, identify what records should be created, their structure and form, and with what technologies.

A1.3.4.3.1.2.3, Identify the Retention Requirements for the Records to be Created

Given the relevant juridical, legal and organisational requirements, and past information about business and recordkeeping performance, identify the requirements for retention of the records created.

A1.3.4.3.1.2.4, Derive Requirements for Authenticity

Given the requirements for the records to be created in the different business processes specify, if possible, the characteristics of those records that are essential to their intent and the message they are supposed to convey in the given business context.

A1.3.4.3.1.3, Identify Risks from RK Perspective

Based on a functional analysis of an organisation's business processes, as well as consideration of the organisation's mandate drivers, the business need for records and the requirements for retention, identify the potential associated risks in relation to performing the recordkeeping function.

A1.3.4.3.2, Define Recordkeeping Framework

Design and specify a comprehensive operational and administrative structure for guiding and overseeing the recordkeeping function in the organisation a) within the constraints of the business framework, the financial plans, the current state of technology, the organisation's existing corporate culture, and b) based upon an analysis of the business needs for records and the risk analysis, identification of the requirements for creating and managing records and the related functionality in systems, assign who will be responsible for the different recordkeeping roles, establish policies for retention, appraisal, preservation and access and determine criteria for evaluation of the performance.

A1.3.4.3.2.1, Synthesise Requirements for Records

Synthesise the requirements that will ensure the authenticity, reliability, usability and integrity of records, within the given business context, including the requirements for organizing and presenting records and/or their aggregates.

A1.3.4.3.2.1.1, Derive Record-type Properties Critical for Authenticity

Determine the structure and documentary form of the different types of records required to carry out the various business functions that are essential to their authenticity in the given business context, including their technical characteristics.

A1.3.4.3.2.1.2, Determine Guidelines for Organising Records and for Metadata Framework

Determine the rules and guidelines for classifying records, identify what metadata standards to follow and the requirements for developing metadata schema in relation to the business and recordkeeping activities, and the levels of aggregation needed.

A1.3.4.3.2.1.3, Determine Requirements for Presenting Records/Aggregates

Analyse, define and document the requirements for presenting records and their aggregates, based upon the guidelines for organizing them, so they can be presented to fulfill requests for records or record aggregates in ways that reflects their interrelationships.

A1.3.4.3.2.1.4, Synthesise Requirements for Records/Aggregates

Combine the set of recordkeeping framework requirements that determine the type of records, their characteristics critical for authenticity, the rules for organising and presenting records and their aggregates and rules and requirements for the required metadata.

A1.3.4.3.2.2, Define Appraisal Policy

Determine the method and rules for appraisal of records based upon the retention requirements identified in the risk analysis, the infrastructural framework, and upon the business, legal, organisational, and societal requirements.

A1.3.4.3.2.2.1, Manage Appraisal Policy

Provide overall control and co-ordination of an organisation's appraisal policy function via guidelines and directives issued in response to information received from the monitor/evaluate function.

A1.3.4.3.2.2.2, Develop Appraisal Policy

In response to the appraisal guidelines and directives, and based on consideration of the business framework, the organisation's synthesised records needs and risks requirements, its recordkeeping risk analysis, risk management plan, and its consolidated records usage information, define and document the guidelines, methods and rules that will make up the appraisal policy.

A1.3.4.3.2.2.3, Monitor/Evaluate Appraisal Policy

Periodically assess whether the way the appraisal policy is formulated and carried out in the organisation is still appropriate and in line with the business framework, and retention requirements based upon evaluation of recordkeeping performance in relation to the existing risk management assessment and appraisal policy directives. Based on the monitoring, produce reports to inform the appraisal policy management function to confirm or revise the appraisal policy.

A1.3.4.3.2.3, Define Preservation Policy

Determine the requirements, methods and rules for preserving records and related digital components within the framework of the existing business needs, the appraisal policy, the

state of the art of technology, and the synthesised record requirements, and based upon the infrastructural framework and evaluation information of recordkeeping performance.

A1.3.4.3.2.3.1, Manage Preservation Policy

Based on critical characteristics of the created record types, the appraisal policy, the existing infrastructural framework, and the given state of the art of technology, determine the preservation requirements and preservation principles, rules and methods.

A1.3.4.3.2.3.2, Develop Preservation Policy

Develop the guidelines, methods and rules for preservation based on the identified preservation requirements, the appraisal policy, the essential characteristics of record types, and the evaluation of the preservation policy, and subsequent evaluate the most suitable preservation strategies, and the organisation's given infrastructural framework and the current state of the art of technology.

A1.3.4.3.2.3.2.1, Develop Experiments for Evaluating Most Suitable Preservation Strategies

Design experiments for evaluating the most suitable preservation strategies based on the essential characteristics of the different types of records (including their digital components), a sample of relevant record types, the preservation principles and the preservation requirements.

A1.3.4.3.2.3.2.2, Evaluate Potential Preservation Methods

Conduct experiments on samples of record types to assess the most suitable preservation strategy for each type of record (and their digital components) given the state of technology.

A1.3.4.3.2.3.2.3, Compile Preservation Policy

Synthesise information about targeted preservation methods with information from preservation policy evaluation reports, check this with the given appraisal policy, and reconcile these with identified preservation principles, the preservation requirements, and technological constraints to formulate a coordinated preservation policy.

A1.3.4.3.2.3.3, Monitor/ Evaluate Preservation Policy

Evaluate the suitability of the preservation policy based upon the information about the recordkeeping performance, the actual preservation policy and the needs of the business activities

A1.3.4.3.2.4, Define Access Framework

Determine the use and outreach within the given business context, identify the targeted communities and users, and their requirements for access and use of the records and develop and manage a comprehensive administrative and operational structure that will guide and control the access to records.

A1.3.4.3.2.4.1, Establish Retrieval Requirements

Based on prior usage, organisational requirements/business framework, and appraisal policy, specify retrieval requirements.

A1.3.4.3.2.4.2, Establish RK Security Policy

Determine objectives, methods, and rules for recordkeeping security including access for authorised individuals, denial of access for unauthorised individuals, data integrity, and auditability of access and violation of access.

A1.3.4.3.2.4.3, Establish Privacy Policy

Determine what privacy rules are valid and needed given the juridical requirements, the risk management framework, and information about the kinds of information in business records.

A1.3.4.3.2.4.4, Establish IPR Policy

Determine the rules for IPR and copy rights with respect to records given the business activities, the risk management framework, and legal and organisational requirements.

A1.3.4.3.2.4.5, Identify Access Rights

Given a security policy, IPR policy, privacy policy and recordkeeping security policy, identify privileges/rights for access to records and recordkeeping functions.

A1.3.4.3.2.4.6, Consolidate Access Framework

Consolidate retrieval requirements, privacy policy, Intellectual Property Rights (IPR) policy, and access privileges into a coherent framework and reconcile this with the identified reach within the given business context, and the targeted communities and users, and their requirements for access and use of the records.

A1.3.4.3.2.5, Specify Recordkeeping Framework

Establish 1) the recordkeeping framework's overall design, structure and integrated functionality, 2) the recordkeeping job functions, competencies and staff education/training instruments needed to implement, use and maintain the recordkeeping functions, and 3) the criteria against which to measure performance of the recordkeeping functions within the framework.

A1.3.4.3.2.5.1, Assign Recordkeeping Responsibilities

Identify the different roles with respect to recordkeeping and assign responsibilities to them, based upon the business and risk management frameworks and the established appraisal, preservation and access policies

A1.3.4.3.2.5.2, Develop Recordkeeping Competencies/Job Descriptions

Identify 1) competencies for recordkeeping functions, 2) develop job descriptions and 3) develop instruments that will support increasing the capabilities in staff with assigned recordkeeping responsibilities.

A1.3.4.3.2.5.3, Integrate Recordkeeping Functionality

Analyze various sets of records requirements and recordkeeping policies, translate them into functional requirements and design integrated recordkeeping functionality based upon the infrastructural framework, the risk management framework and the assigned responsibilities.

A1.3.4.3.2.5.3.1, Analyse Different Sets of Requirements

Analyse preservation policy, appraisal policy, synthesised record requirements and access framework to produce a requirements analysis document also taking into account recordkeeping HRM instruments, the recordkeeping framework and the risk management framework.

A1.3.4.3.2.5.3.2, Compare identified RK Functional Requirements with Existing Standards/Sets

Compare identified functional recordkeeping requirements with existing standards/sets of requirements, taking into account the infrastructural framework

A1.3.4.3.2.5.3.3, Define Set of RK Functional Requirements

Compile/define an integrated set of recordkeeping functional requirements based on the comparison with existing standards and the identified functional requirements needed to support the recordkeeping framework and processes.

A1.3.4.3.2.5.4, Compile Recordkeeping Framework

Compile the integrated recordkeeping functionality, preservation policy, appraisal policy and evaluation of recordkeeping performance to produce a comprehensive recordkeeping framework with assigned responsibilities and associated recordkeeping competencies

A1.3.4.3.3, Implement Recordkeeping Framework

Manage the implementation of the recordkeeping framework in line with the capacity of the organisation, carry out the actual implementation and monitor and evaluate its progress. This is a continuous process that will be influenced by the changes in business function(s) or by changes in legal juridical or technological circumstances.

A1.3.4.3.3.1, Manage RK Implementation

Analyze the readiness of the organisation and its capacity level, design the transition strategies and establish implementations plans and monitor their progress.

A1.3.4.3.3.1.1, Analyse Readiness of Organisation/ Capacity Level

Analyse the business and recordkeeping frameworks in close relation with the recordkeeping performance, information about business performance and implementation progress reports in order to identify the capacity level of the organisation for improving its recordkeeping.

A1.3.4.3.3.1.2, Design Transition Strategies

Use information about business performance, the infrastructural framework and the capacity assessment to produce transition strategies within the constraints of financial plans and the business framework.

A1.3.4.3.3.1.3, Establish RK Implementation Plan

Define scope, goals, resources and deliverables of implementation plans based on the capacity assessment, the proposed transition strategies, the financial plans and the recordkeeping performance, and develop performance criteria.

A1.3.4.3.3.1.3.1, Define RK Scope, Goals, Resources and Deliverables

Transform the transition strategy into implementation scope and goals, needed resources and deliverables, given the capacity assessment.

A1.3.4.3.3.1.3.2, Define RK Implementation Plan

Within the constraints of an organisation's capacity assessment, the financial plans and the current recordkeeping framework, define the specifications for implementing the organisation's recordkeeping function through consideration of the defined objectives and deliverables, of the evaluation of the performance of the recordkeeping function, and of updated information regarding the progress of the actual implementation.

A1.3.4.3.3.1.3.3, Develop RK Implementation Performance Criteria

Develop performance criteria for monitoring the progress of implementation of recordkeeping within the organisation and the achievement of the objectives set in the implementation plans, based on the implementation goals, resources, and identify what information should be measured and provided in implementation progress reports.

A1.3.4.3.3.2, Develop Recordkeeping Instruments

Develop metadata sets and rules, metadata encoding schemes, appraisal instruments, and education program and courses within the given business and recordkeeping frameworks.

A1.3.4.3.3.2.1, Develop RK Metadata Schemas and Rules

Define metadata requirements and rules, identify and select appropriate metadata standards and sets, and if needed construct metadata schema(s).

A1.3.4.3.3.2.1.1, Identify RK Metadata Requirements

Analyze business metadata structures, match recordkeeping needs for metadata, identify potential metadata sources, and define metadata specifications.

A1.3.4.3.3.2.1.1.1, Analyse Business Metadata Structures

Identify and analyse existing business metadata schema's that should be taken into account and can be used in developing a recordkeeping metadata framework.

A1.3.4.3.3.2.1.1.2, Match Recordkeeping Needs for Metadata

Match the recordkeeping needs for metadata with the identified business metadata sets to identify potential sources for extracting recordkeeping metadata.

A1.3.4.3.3.2.1.1.3, Establish RK Metadata Specifications

Specify metadata requirements based on recordkeeping metadata needs, the integrated recordkeeping functionality and identified metadata sources in the business processes.

A1.3.4.3.3.2.1.2, Select Appropriate Metadata Standards/Sets

Select appropriate recordkeeping metadata standards and sets from identified and available recordkeeping metadata standards and existing sets and assess their usability based upon the recordkeeping metadata requirements within the given recordkeeping framework.

A1.3.4.3.3.2.1.3, Develop Metadata Structures

Construct customised recordkeeping metadata schemas taking into account the selected and usable components from existing recordkeeping metadata schema's, based upon the identified recordkeeping metadata requirements.

A1.3.4.3.3.2.2, Develop RK Metadata Encoding Schemes

Develop classification schemas, controlled vocabularies, thesauri, and a system for unique and persistent identification as needed within the given recordkeeping framework.

A1.3.4.3.3.2.2.1, Develop Classification Schemes

Assess the metadata requirements and the integrated RM functionality to develop an activity classification scheme and an access classification scheme.

A1.3.4.3.3.2.2.2, Develop Controlled Vocabularies/Thesaurus

Based upon the metadata requirements, the classification schemes and the functional analysis develop the controlled vocabularies and thesauri that are needed.

A1.3.4.3.3.2.2.3, Establish System for Unique Identification

Identify or design and subsequently implement a system for unique and persistent identifiers (within the organisation or beyond depending on the needs) of records and/or their aggregates.

A1.3.4.3.3.2.3, Develop Retention Schedule

Based on the results of the functional analysis, the analysis of the usage of records and their aggregates, and an analysis of the relationships between business systems develop a retention schedule.

A1.3.4.3.3.2.3.1, Analyse Use of Records

Analyse information about relevant business processes based upon the functional analysis, consolidated usage information, and business need(s) for records and other identified retention requirements as laid down in the business and recordkeeping frameworks to identify primary and secondary uses of records.

A1.3.4.3.3.2.3.2, Analyse Relationships Between Business Systems

Based upon the primary and secondary uses of records, and the infrastructural framework assess the relationships between business systems in order to identify the primary sources of records.

A1.3.4.3.3.2.3.3, Compile Retention Schedule

Based upon the functional appraisal report, information about relevant relationships between systems, primary and secondary uses of records, and the recordkeeping framework compile the appropriate retention schedule.

A1.3.4.3.3.2.4, Develop RK Education Program and Courses

Based on the recordkeeping framework, customised schemas, the retention schedule and activity and access classification schemes develop an education program and courses in close relation with the recordkeeping implementation plans.

A1.3.4.3.3.3, Design Recordkeeping Infrastructure

Analyse integrated recordkeeping functionality, recordkeeping instruments, the infrastructural framework and retrieval requirements and design recordkeeping processes and identify requirements for recordkeeping in systems.

A1.3.4.3.3.3.1, Analyse Recordkeeping System Requirements

Analyse recordkeeping instruments, integrated recordkeeping functionality and retrieval requirements under the constraints of the metadata and recordkeeping framework to produce requirements for recordkeeping processes and recordkeeping in systems.

A1.3.4.3.3.3.2, Design Recordkeeping Processes

Design recordkeeping processes from recordkeeping requirements in systems based on the infrastructural framework and within the recordkeeping framework.

A1.3.4.3.3.3.3, Design RK Technical Infrastructure

Design the technical infrastructure for recordkeeping based on the design of recordkeeping processes, recordkeeping requirements for systems and the infrastructural framework given the state of technology.

A1.3.4.3.3.4, Train Staff

Use recordkeeping education program and courses, the recordkeeping instruments and information about staff and assigned responsibilities (recordkeeping framework) to train staff.

A1.3.4.3.3.5, Monitor/Evaluate RK Implementation

Based on the recordkeeping framework, the recordkeeping implementation plans, and implementation performance criteria, the results of training, and the evaluation information of recordkeeping performance monitor and evaluate the progress of recordkeeping implementation and produce progress reports.

A1.3.4.3.4, Evaluate RK Performance and Adequacy

Assess based on business and recordkeeping performance whether the way the recordkeeping framework is implemented and carried out in the organisation is still appropriate based upon the established recordkeeping performance criteria. Based on this analysis monitoring reports will be produced to inform the recordkeeping framework management function to confirm or revise the recordkeeping framework.

A1.3.4.4, Develop Infrastructural Framework

Design, develop, implement and monitor a comprehensive, administrative and operational infrastructure with integrated recordkeeping functionality and processes to effectively manage (plan, build, use and leverage) all of an organisation's strategic framework components and compile performance and progress reports.

A1.3.4.5, Establish Integrated Strategic Framework

Integrate the business and recordkeeping frameworks into one robust and functional framework that will govern all business and recordkeeping activities, systems, and processes.

A1.4, Define Business Processes and Structures

Define an organisation's business operational targets and outcomes, delegate and assign resources, develop business and workplans, and design and develop business work processes, necessary instruments and systems structures to effectively manage the organisation's resources and support its work processes.

A1.4.1, Define Business Targets and Outcomes

Develop business plans with an organisation's current and future performance goals, operational priorities, and product/service development and delivery strategies and objectives in line with the organisation's mandate and business and accountability framework, and, as necessary to continue to meet evolving business and stakeholder needs and interests, refine these targets and outcomes in response to information about ongoing business performance.

A1.4.2, Assign Resources

Based on the objectives and directives of an organisation's business plan(s), develop work plans for the allocation of the organisation's human and material resources needed to achieve the business targets and to support business work processes, instruments and systems, and, as necessary to continue to meet evolving business and stakeholder needs and interests, refine these work plans in response to ongoing business workflow and performance information.

A1.4.3, Develop Work Processes

Based on the objectives of an organisation's business work plan(s), analyse business work processes and develop workflows for operationalising the organisation's those work processes, and, as necessary to continue to meet evolving business and stakeholder needs and interests, refine the work process analysis and workflow strategy in response to business work plan revisions.

A1.4.4, Design and Develop Business Instruments and Systems

In response to the particular operational, material, technological, or other requirements related to an organisation's work plans and workflows, create, install or otherwise provide the instruments and systems needed to support the execution of an organisation's business work processes.

A1.5, Monitor/Evaluate Business Performance

Periodically assess the performance of the business processes in relation to the organisation's strategic framework and the accountability framework. Based on the monitoring, produce business performance reports to inform the organisation's appropriate management functions to confirm or revise the business strategic framework, or business processes and structures.

A2, Carry Out Business Activity

Carry out a business function, activity or perform task or a set of one or more related activities to provide services, make or deliver services, products or any other specified result.

A3, Manage Records

Manage in an efficient and systematic way the capture, receipt, maintenance, use and disposition of records, including processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records

A3.1, Capture Records

Based on rules established in the recordkeeping framework the capture function identifies and brings under control the records that are created in the business activity and need to

be maintained. With the capture of those records, the required metadata are also captured/extracted to ensure the authenticity, usability, integrity and reliability of the records. The capture of metadata is done every time a record or aggregation of records is used in a business process. The capture process includes the registration and classification of the records as well as, if needed, the assignment of key words, so that the records are identifiable and searchable. The valid RK instruments will guide the registration and classification. Identification and information about the performance of this function are produced for evaluation purposes.

A3.1.1, Document Records and Their Provenance

Attach to records all the contextual metadata, needed to know when, why, by whom and in what business process the record has been created and/or used, as well as the interrelationships with other records in order to ensure the authenticity, usability and reliability.

A3.1.2, Register Records

Assign a unique identifier to records and/or their aggregates in accordance with the identification and registration rules and document the registration.

A3.1.3, Classify Records

Classify identified and captured records or aggregates by assigning a classification code from the classification scheme and, if necessary, add key words for retrievability.

A3.2, Maintain Records

Following direction established in the preservation strategy as part of the recordkeeping framework for a given body of records selected for preservation, apply preservation method(s) targeted to that body of records to implement the preservation action plan for those records by maintaining the digital components of accessioned digital records, along with related information necessary to reproduce the records, certify their authenticity and enable correct interpretation of the records.

The maintain activity carries out also the disposition function, so that records are kept no longer than needed.

This maintenance activity enables the output, in response to a retrieval request, of the digital components of a record, along with information about that record, or, if the request is only for information, the requested information. The ‘maintain’ process also produces management information which is used to evaluate execution of the ingest function. The process is carried out by persons responsible for preservation, using infrastructure technology.

A3.2.1, Manage Preservation of Records

Provide overall control and co-ordination of the records preservation function via preservation action plans issued in response to information about the current state of technology, the organisation’s preservation strategy, updated storage information and ongoing performance information.

A3.2.2.1, Manage Information About Records

Collect and maintain information necessary to carry out the Preservation Action Plan in support of the overall Preservation Strategy for a body of electronic records being preserved, including information about their digital components, the archival aggregates they comprise, their authenticity, their interpretation, and the preservation activities performed on them. In

carrying out actions specified in the Preservation Action Plan, information about (captured / accessioned) Electronic Records is collected when they are accessioned and is combined with Storage Information identifying the files, locations, and other relevant data about the digital components of the (captured/ accessioned) Electronic Records when they are placed in storage and subsequently when storage parameters are changed.

When a Preservation Action Plan entails any modifications to digital components, Information About those Digital Components is provided to ensure that all affected components are updated appropriately and, after the modification, Information about the Updated Digital Components is also updated.

In response to a Retrieval Request for information, Retrieved Information About a Preserved Record is provided. In response to a Retrieval Request for a record, information identifying the digital components of the record and their storage location(s) is retrieved to produce a Request for Digital Components, which is used to retrieve those components from storage; Information About those Digital Components and Retrieved Information About the Preserved Record is output to support reproduction of the record and, if needed, certification of its authenticity.

A3.2.2.1, Maintain Information About Records

Manage information about the provenance, aggregation, content, form, structure, or other essential characteristics of records and/or their digital components that are needed to preserve them over time as well as to satisfy user requests.

A3.2.2.2, Retrieve Information About Records

Output information about the provenance, aggregation, content, form, and structure of records in storage.

A3.2.2.3, Retrieve Information About Digital Components

Output technical information concerning digital components of records that is required to facilitate preservation and updating of digital components.

A3.2.3, Manage Storage of Digital Components

In accordance with the Preservation Strategy established for a body of records, and applying the Storage Method selected to implement that Strategy, place the digital components of (Accessioned) Electronic Records into storage, taking the specific steps defined in the Preservation Action Plan for these records and maintain them. In response to a Request for Digital Components, retrieve the requested components and output them.

When digital components are output for updating in accordance with a Preservation Action Plan, place the Updated Digital Components in storage and, as provided by the Action Plan, either maintain or delete the older versions of these components. Provide to the ‘Manage Information’ process Updated Storage Information about the identities, locations and other relevant parameters of stored digital components whenever components are updated or other changes, such as media refreshment, are made in storage.

A3.2.3.1, Place Digital Components in Storage

Store digital components of records, if required into one or more digital containers for preservation purposes, in accordance with the Storage Plan outlined in the Preservation Action Plan.

A3.2.3.2, Refresh Storage

Convert storage of digital components of records from one medium to another, or otherwise ensure that the storage medium remains sound, in accordance with the Storage Update Method outlined in the Preservation Action Plan.

A3.2.3.3, Monitor Storage

Supervise the operation of the storage system, the media on which the digital components of records are stored, the digital components, and the facilities where the system and components are located, in accordance with the Monitoring Method outlined in the Preservation Action Plan.

A3.2.3.4, Correct Storage Problems

Take the appropriate actions prescribed by the Problem Correction Method outlined in the Preservation Action Plan to eliminate any identified problem regarding the storage of digital components.

A3.2.3.5, Retrieve Digital Components from Storage

Output copies of retrieved digital components of records in storage, in accordance with the Retrieval Method outlined in the Preservation Action Plan, in response to requests for records that consist of those components, and, in cases where digital components are encountered that need updating, redirect them to be updated.

A3.2.4, Update Digital Components

As indicated by the Preservation Strategy established for a given body of electronic records (tunneled to this diagram), take the steps indicated in the applicable Preservation Action Plan, applying the Method(s) for Updating Components prescribed by the strategy to update Digital Components of a Record that cannot be Preserved because of technological obsolescence, changes in Preservation Strategy, or similar factors. Examples of update processes include migration, standardisation, and transformation to persistent form. Return the Updated Digital Components to Storage, providing Information about the Updated Digital Components to the ‘Manage Information’ process. If the Updated Digital Components belong to a record that is the subject of a Retrieval Request, also send the components, along with related information, to the Output Electronic Record process. However, if the updating was done only to satisfy conditions of a Retrieval Request and was not required to conform to Preservation Strategy, the Updated Digital Components are sent, along with related information, to the Output Electronic Record process, but they are not sent to storage.

This process may be invoked directly when records in a transfer are being examined and it is determined that there is a need to take action to preserve a record, before the components are sent to storage.

A3.2.4.1, Migrate Digital Components to Current Formats

When the format of a type of digital components is obsolete, use a targeted preservation strategy to migrate these digital components to the chosen current format, and associate with this group of digital components documentation of the actual migration.

A3.2.4.2, Convert Digital Components to Standard Formats

When the format of a type of digital components is proprietary, use a targeted preservation strategy to convert/migrate these digital components in proprietary format to the chosen standard format.

A3.2.4.3, Transform Digital Components to Persistent Formats

When the preservation action for the digital components of a record aggregation is to transform them to persistent format, apply the method for transforming the digital components to a software and hardware independent format that has been identified as persistent.

A3.3, Facilitate Access

Governed by the access framework, support search facilities for users and, if successful, provide information about or provide access to reproduced (authentic) records or produce, if requested, a reproducible digital record; that is, the digital component(s) of the record along with instructions for producing an authentic copy of the record and information necessary to interpret the record as kept under the regime of the recordkeeping framework.

A3.3.1, Manage Access

Control and co-ordinate all actions and the authoritative, procedural, and technological competences to retrieve, represent/reproduce, read, annotate, transfer, and/or destroy stored records and define the access procedures within the given access framework.

A3.3.2, Search for Information

Based on a request for records or information about records search and retrieve all components and/or information that comply to this request and can be processed for output. In case of no hit produce a negative response.

A3.3.3, Process Requests

Verify requests for records based upon access procedures and the search results, reject requests if access is restricted or requester is not authorised and inform requester, define further specifications if needed (e.g. redaction of records), facilitate retrieval of records or their aggregates and their digital components, and account for any problems with requests in accordance with the prescribed Access Procedures.

A3.3.4, Output Records

Check correctness, integrity and completeness of retrieved records or their aggregates, their digital components, and/or information about requested records, reconstitute requested records and either present them as reproduced records (with a certificate of authenticity if required) with accompanying information, or package the outputs as reproducible records.

A3.3.5, Monitor Usage and Access

Monitor access to records and their components and the information about them based upon the usage information, collect and compile statistical information about usage, analyse any failures or mistakes related to access and report this to the manage access function.

A3.4, Collect Performance Information

Synthesise and compile reports on the performance of the capture, maintain and facilitate access functions based on information continuously collected from these functions in order to inform the manage recordkeeping framework function. These reports may contain information about the applicability of policies, rules and methods, deviations from policies/rules, malfunctioning of systems, as well as suggestions for improvement. Other reports will be made with consolidated information about usage of records or aggregations.

Business-driven Recordkeeping Model Arrow Definitions

Access classification scheme

A systematic classification of categories of access rights and restrictions used for the purpose of controlling access to stored records; aggregates and/or information about records.

Access framework

A comprehensive set of administrative and operational rules, procedures and methods that will guide and control the use of records/aggregates and the information about them, and the outreach within the given business context for the identified and targeted communities and users, and taking into account their requirements for access and use of the records.

Access procedures

A set of regularised, administrative steps taken in procuring, granting or denying access to records/aggregates and/or information about records and to administrative and operational functions within an organisation's recordkeeping system in a certain business context.

Access rights

Indicators of which users have what degree of access to which resources and to what administrative and operational functions within an organisation's recordkeeping system.

Accountability framework

A comprehensive, integrated, operational and administrative set of policies, procedures and rules that provides for: (1) consistent management of an organisation's various (external) stakeholders, (2) continuous monitoring and assessment of compliance to the accountability framework within the organisation, (3) continuous monitoring and assessment of the impact of new business processes, legislation, policies, juridical and social requirements or other relationships on the attribute of accountability within the organisation, and (4) modification of the organisation's accountability framework design, as necessary, in response to these monitoring and assessment activities.

Accountability reports

Reports that provide information on the state and performance of the management of the records continuum in the related business context.

Activity classification scheme

A plan based on the systematic identification and arrangement of an organisation's business activities into categories that will govern the arrangement of records and/or aggregates.

Aggregation information

Information about rules for aggregating records, and the agreed levels of aggregation.

Analysis of legal and juridical requirements

An analysis of an organisation's legal and juridical obligations in relation to its business and the effect with respect to the recordkeeping requirements needed to meet those obligations.

Appraisal policy

A set of cohesive and coherent policies, procedures, rules, standards, guidelines, criteria and methods for determining what records should be created/captured, how long they should be kept and how they should be preserved, based on, among other things, consideration of the organisation's recordkeeping risk analysis as well as evaluation of record context, value (i.e., current and future uses), and preservation feasibility.

Appraisal policy evaluation reports

An evaluation of the suitability of the current appraisal policy based upon the recordkeeping performance information and the consolidated records usage information. It contains an assessment on how the current appraisal policy suits the needs of the organisation.

Assigned RK responsibilities

Formal, documented indications of which (groups of) users are assigned what responsibilities with respect to the administrative and operational functions with respect to an organisation's recordkeeping.

Business framework

A comprehensive, integrated, operational and administrative structure that will guide, and govern an organisation's business processes, people, systems, operations and projects in line with the organisation's overall mandate.

Business performance reports

Reports that state the performance of the various business activities of an organisation based on particular benchmark criteria provided in the integrated strategic framework.

Business plans

Operational plans that spell out an organisation's expected course of action for a specified period in relation to one or more business activities and, for example, services and products, the market, the industry, management policies, marketing policies, production needs and available resources, and usually including an analysis of risks and uncertainties and how to mitigate them.

Business systems and instruments

All systems, instruments and tools needed to support and conduct the business activities.

Capacity assessment

Assessment of the current situation in the organisation with respect to creating, managing, and preserving records and determining what needs to be done to improve it to the next level as identified and agreed. The capacity assessment includes assessing the level of awareness and understanding of management and staff, the available technical infrastructure, the level of expertise of the Recordkeeping staff, the available resources, ...

Classification scheme + identifier

A logical plan based on subjects or business activities used for classifying records/aggregates.

Communication/ transactions

Messages or other information exchanges between persons and/or systems in the course of a business activity.

Consolidated records usage information

Aggregated information regarding: (1) the history of successful, unsuccessful and rejected access requests for records (and/or information), including data about the nature of the requests, about which records (and/or information) were successfully accessed when and by whom, about which access requests were unsuccessful and why, and about which access requests were rejected and why, (2) the purposes for which the records (and/or information) were requested, (3) the retrieval questions asked, (4) the frequency of requests for records (and/or information), and (5) problems encountered in fulfilling requests or retrieving requested records (and/or information).

Contextual analysis

The integration of an organisation's mandate, mission, business function and activities, history, corporate culture, strengths, weaknesses, market position, and legal, social and corporate responsibilities.

Controlled vocabulary/thesaurus

A managed set of purposefully delimited and standardised terms, phrases and concepts used by an organisation to control the values of a metadata element.

Corporate culture

An organisation's values, beliefs, business principles, traditions, ways of operating, and internal work environment.

Customised schemas

Recordkeeping metadata schemas customised according to targeted recordkeeping metadata requirements and based upon selected recordkeeping metadata standards.

Defined RK objectives and deliverables

An accounting of the overall scope, performance goals and objectives, and expected output of an organisation's recordkeeping function, and the resources required to support that function.

Design of RK processes

An organisation's formal plan outlining the related, structured activities that are part of each discrete recordkeeping process, the rules governing them and their workflow.

Digital components of records

One or more binary (digital) components in a certain format that are required to reconstitute a record.

Digital components that need updating

Digital components of maintained records that cannot be reconstituted or presented in accordance with current maintenance strategies applicable to those records.

Education program and courses

An education program and courses in understanding the need for recordkeeping as well in skills in using and applying recordkeeping instruments such as metadata schemas for record, an activity classification scheme, retentions schedules, in line with the responsibilities of the staff involved.

Essential characteristics of record types

The intrinsic and extrinsic characteristics of records, as well as the technological characteristics of their digital components, identified as critical for reflecting the intent of the record in the business activity. They regard form, structure, content, context and sometimes behaviour.

Evaluation of RK performance

Consolidated information derived from the evaluation of performance gathered from the recordkeeping processes under control of the given recordkeeping framework. The assessment is done based on the performance criteria.

Existing business metadata structures

The metadata schemas and encoding schemes in use in the business activities and systems.

Existing sets of functional RK requirements

Sets of functional requirements for recordkeeping that are available as standard or made by other organisations or institutions

Existing standards or sets of functional requirements to be used

Choice of (parts of) existing sets of functional requirements for recordkeeping that may fulfil the needs of the organisation in this area within the given infrastructural framework.

Experiment designs

Designs for carrying out experiments to get a better insight in the usability of available preservation strategies for certain types of digital components. They will be properly documented.

External mandate

External directive, law or decision for assigning the responsibility for a business function or set of business activities.

Facilities

Physical space, systems, resources and technical infrastructure needed to enable the business.

Financial information

Information collected and required by an organisation to support its financial decisions or to meet its financial requirements.

Financial plans

A budgetary planning document reflecting the way an organisation plans to acquire or earn and use its financial resources in a given year.

Functional analysis

An analysis of an organisation's business functions and supporting business processes, that identifies how they are interrelated including, in particular, the key relationships between the constituent operational and administrative elements (tasks and transactions).

Functional requirements for RK

The requirements for recordkeeping functionality in systems.

Guidelines and directives for appraisal

The set of guidelines and rules that will govern the appraisal policy and processes.

Guidelines for organising records

A set of guidelines and procedures for structuring records and/or aggregates, for developing classification schemes based upon business activities, and for identifying aggregation layers.

Identified metadata sources

Metadata sources that could serve as a source for extracting recordkeeping metadata.

Identified records

Records or their aggregates to which the contextual metadata (e.g., persons, actions and dates) have been attached.

Identified set of RK functional requirements

The set of functional recordkeeping requirements derived from preservation and appraisal policies, access framework, synthesised records requirements and evaluation information of recordkeeping performance, needed to serve the organisations needs for managing records.

Indexes

Tools that facilitate efficient and effective location records and/or records aggregates suited to a particular inquiry or business purpose. Indexes may be supported by recordkeeping Instruments, such as controlled vocabularies and thesauri.

Information about business performance

Information about the way business activities are carried out in accordance with the strategic framework and the business plans, as well as information about deviations and needs and other relevant evaluation information.

Information about destroyed records

Formal information documenting the destruction of records, including information about the quantity and characteristics of records that have been destroyed, and the reason why.

Information about digital components

Technical information concerning digital components of records that is required to facilitate updating of the digital components.

Information about records

Information about the provenance, aggregation, content, structure, form, format or other characteristics of records and/or aggregates in storage.

Information about related records

Information about other records participating in the same business process or activity.

Information about relevant business processes

Description of those business processes that should and will produce/create and need records. This description includes an analysis of the constituting steps, transactions, responsibilities, constraints, workflow, and the related required records.

Information about updated digital components

Information about changes that have been made to digital components of records in the process of updating them, about any problems that occurred in the process, the dates of the updating, and the persons responsible for the updating.

Information identifying digital components of a requested record

Technical composition and location information concerning digital components of a requested record that is necessary to reconstitute the record from its digital components.

Infrastructural framework

A comprehensive, integrated, operational and administrative set of policies, standards, procedures and guidelines for managing all the ‘hard’ and ‘soft’ structural elements that support the human and organisational capabilities required to effectively plan, build, use and leverage all of an organisation’s integrated framework components.

Integrated RK functionality

The consolidated set of functional requirements necessary to support the recordkeeping framework and the underlying recordkeeping processes.

Integrated strategic framework

A comprehensive administrative and operational set of policies, standards, procedures and guidelines that includes the integration of an organisation’s strategic risk management, business and recordkeeping frameworks, and that will govern and guide the organisation’s business activities as well as the support of business and recordkeeping applications and processes.

Internal mandates

The authority derived from external mandates and within the given strategic framework, invested by management or a corporate board or subsidiary to perform specific functions.

Internal requests for records or information

Requests from internal users to consult or receive records, their aggregates, or information about records.

IPR policy

An authoritative set of cohesive and coherent policy, rules, guidelines, and methods for protecting the intellectual property rights of the organisation or other stakeholders from unauthorised access or use.

Juridical requirements

The current laws and regulations that govern the organisation and its business activities and recordkeeping, and/or social, professional, or sectoral/domain specific requirements that influence the need for records.

Keywords

Key terms that have been attributed to a record or aggregate.

Maintained information about digital components

Information about the technical composition and location of digital components that is necessary to maintain/update, store and retrieve the components, and to reconstitute the records from their components.

Maintained information about records

Information about the provenance, aggregation, content, form, structure, and behaviour of records, and/or about the administrative and technical information about them.

Mandate

The legal basis or the intention to achieve a certain goal. This can be translated into different mission statements for carrying out a certain business depending on the interpretation, the identified needs at a certain moment in time, and the available resources.

Mandate drivers

The most basic, core incentives for carrying out business activities.

Market analysis

An evaluation of the business environment, the potential markets in relation to the organisation's main (envisioned) products or services, potential customers, possible competitors, and of what its strengths and weaknesses are, especially in relation to its customers and competitors.

Market information

Information produced or collected by an organisation about the organisation's products and/or services, its customers, and its competitors for the purpose of supporting the organisation's economic, operational and/or competitive success.

Monitoring method

The preservation oversight method stipulated in the Preservation Action Plan for determining whether a storage system is properly maintained and functioning or whether storage media are intact and free from problems that would interfere with reading the data written on the media.

Outgoing communication

Messages and other documents communicated with external parties in relation to the business activities, as well as the final result(s) of carrying out business activities.

Performance analysis

An assessment, based on consideration of business performance reports and other formal and informal data, of the actual performance or functionality of an organisation's business framework at any point in time, relative to the desired performance or functionality of the business framework as specified in the business framework plan.

Performance information

Information about the performance of recordkeeping activities, including registration of exceptions, errors, inadequacy or deviations of established rules and methods.

Preservation action plans

Set of rules, procedures, methods, and technical requirements governing the specific preservation actions to be taken for the classes of digital components covered by the Preservation Policy, and which also indicate the time or conditions when such actions should be taken.

Preservation policy

The authoritative set of coherent policies, standards, guidelines, and criteria for maintaining and preserving records, their aggregates and their related metadata as well as their constituent digital components, as long as required according to the retention policy. These policies and standards include guidelines and criteria for maintaining digital components, and for reconstituting and reproducing records in authentic form. The policy is taking into account the evaluation of the recordkeeping framework, performance information, prior preservation policies and the state of technology.

Preservation policy evaluation reports

Definition 1: An evaluation of the suitability of the current preservation policy based upon the recordkeeping performance information.

Definition 2: Assessment information on how the current preservation policy suits the needs of the organization.

Preservation principles

The core and authoritative instructions governing the process of preserving records that are used to help guide the preservation policy.

Preservation requirements

The requirements identified to preserve the record types, aggregations, associated metadata and digital components, for as long as they need to be preserved.

Primary and secondary use

The value of records both with respect to their ability to serve the purposes of the business and the organisation and to their ability to serve as sources of information for persons and organisations other than the business and the organisation (e.g. freedom of information, collective memory).

Privacy policy

An organisation's authoritative set of cohesive and coherent rules and guidelines, and methods for protecting the information on (human) subjects contained in the organisation's records from unauthorised access.

Problem correction method

The strategy stipulated in the preservation action plan for correcting storage and/or access problems of a specified type.

Processed requests

Requests for information about records or aggregates or for records/aggregates and/or their digital components that have been accepted as eligible for processing.

Product or service

Any product or service that is the result of a business activity and falls under the mandate of the organisation.

Record to be created

Those records deemed necessary and/or desirable to support business needs and obligations as determined based on the appraisal policy.

Records

Information created, received, and maintained as evidence and information by an organisation or person, in pursuance of legal obligations or in the transaction of business (ISO 15489-1:2001).

Recovered file

A physical or logical file to which the problem correction method prescribed in the preservation action plan has been successfully applied after one or more storage problems affecting the file were found.

Refreshed file

A physical or logical file that have been copied from an older storage medium or system to a newer one using the storage update method prescribed in the preservation action plan.

Registered and classified records

Records that have been checked, registered and classified according to the rules and classification scheme and that need to be stored.

Registered records

Records that have been assigned an unique identifier and the necessary registration metadata, according to the registration rules.

Registration information

Information about the records that have been captured, including an unique identification number, registration date, and other registration information deemed necessary.

Registration rules

A formal set of rules specifying how records need to registered and what metadata need to be captured and what procedures for assigning a unique identifier to each record need to be followed.

Rejected requests

Requests that do not meet the criteria or requirements for access. Reasons for rejection may include restrictions on records or information about them, incomplete requests.

Relevant relationships between systems

Analysis of the relationships between an organisation's various business (administrative and operational) systems, and the business functions, processes and transactions they support, necessary to develop an appropriate retention schedule.

Reproduced/reproducible records and information about them

Reproduced Electronic Record. An authentic representation or other version of a record reconstituted from its digital components, along with information supporting the interpretation of the record.

Request for digital components

An instruction to retrieve the digital components of one or more records or of one specific type (format).

Requested digital components/packages

Digital components of one or more records retrieved from storage based on a request either as individual entities or wrapped in metadata and with instructions.

Requested records

Records requested either by internal users in support of business activities, or by external users for support of their own activities.

Requests for records or information

Requests from either internal or external users to consult or receive records, their aggregates, or information about records.

Requirements for presenting records/aggregates

An accounting of the contextual and provenancial characteristics of records and records aggregates necessary for ensuring that records are presented properly ordered, identified and documented with respect to their relationships with each other. As a result the records/ aggregates can be properly interpreted and used.

Requirements for RK in system(s)

The functional requirements for recordkeeping in systems necessary to adequately support an organisation's Recordkeeping processes within the constraints of available technology.

Retention requirements

Requirements that from a business perspective determine how long records should be preserved based on the identified needs and risks.

Retention schedule

An overview of how long records and/or aggregates need to be kept based upon a functional classification business records in an organisation, including authorised disposition instructions for those records.

Retrieval method

The method identified in a preservation action plan for retrieving information about records/aggregates and/or retrieving the digital components in response to requests for records or information about or contained in records.

Retrieval requirements

The set of requirements that should support the retrieval of records/aggregates and information about records/aggregates and their digital components based upon the usage information and patterns of users either within or outside the organisation.

Rights and responsibilities

The set of legal, moral and/or ethical expectations of, and obligations to, any and all affected parties with respect to the impact of such expectations and obligations on an organisation's activities, employees, partners, clients, etc.

Risk analysis

Report on an analysis of the risks that may exist based on an assessment of existing internal and external requirements and frameworks, the business needs and ensuring the continuity of an organisation. This risk analysis identifies the consequences for the creation, management, maintenance of and access to records (and provides options how to take care of them)..

Risk management framework

A set of cohesive and coherent policies, procedures, rules, standards, guidelines, criteria and methods based on identified risks, the probability of these risks occurring, (possible) measures to mitigate them, including the assignment of responsibilities.

This framework will be based on an analysis of the rights and responsibilities, stakeholder interests, mandate drivers and market analyses within the constraints of society, the organisation's accountability framework and its corporate culture.

RK framework

A set of cohesive and coherent policies, procedures, rules, standards, guidelines, criteria and methods that will guide, manage and align an organisation's recordkeeping functions with the organisation's juridical requirements and its business and risk management frameworks.

RK HRM instruments

Description of recordkeeping competencies and of recordkeeping job functions as well as information about education/training of staff in recordkeeping skills.

RK implementation performance criteria

The set of criteria used to measure the progress and success of the implementation of the recordkeeping program (or parts of it) within the organisation.

RK implementation plans

Plans stating the scope and goals of implementation of recordkeeping in the organisation, including the required resources and deliverables

RK implementation plans & progress reports

Plans stating the scope and goals of recordkeeping implementation, including the required resources and deliverables, as well as reports detailing the current state of implementation progress.

RK implementation progress reports

Reports detailing the current state of progress in implementing recordkeeping in relation to the goals and deliverables.

RK instruments

Instruments that will support the creation and management of records/aggregates, such as classification scheme(s), retention schedule, controlled vocabularies, access classification scheme.

RK metadata requirements

Metadata specifications based on recordkeeping metadata needs within the given business context, the integrated recordkeeping functionality and identified metadata sources.

RK performance criteria

Operational criteria that enable the assessment of the recordkeeping activities, processes, procedures, and systems in relation to the requirements and the goals set in the recordkeeping framework

RK performance reports

Reports with periodically compiled information about the ability of the individual components of the recordkeeping function to meet the performance criteria.

RK principles, standards and methods

The principles, standards and methods governing the management of records within the Recordkeeping profession.

RK process and system requirements

The set of requirements for recordkeeping processes and for supporting systems and technical infrastructure, needed to fulfill the identified needs of the organisation for the creation, maintenance and disposal of records.

RK risk analysis

An evaluation of the business context and related legal, business, organisational and societal requirements to identify risks to which the recordkeeping function needs to respond, their probability and how to mitigate them.

RK security policy

An organisation's authoritative set of cohesive and coherent rules/guidelines, criteria and methods for establishing, updating and enforcing access rights to records based on (re)evaluation of the organisation's recordkeeping infrastructure framework and recordkeeping system performance, in concert with the constraints of the organisation's appraisal policy and risk management framework.

RK theory and methods

The existing theoretical concepts, principles, standards, tools, and approaches in the recordkeeping domain

Sample records

A set of records well-described and randomly retrieved from storage, which, along with preservation performance information, are used to support/evaluate preservation strategies, tests. There may be different sets of different composition (e.g., by type, or by complexity)

Search results

Information provided to the user based on his/her search question that can be used determine what records should be retrieved or to refine a search question.

Selected metadata components

Metadata standards and sets selected from recordkeeping framework and integrated RM functionality.

Societal influence

Social, moral and ethical standards and expectations of (external) communities.

Specifications for authentic records

Information identifying and describing/specifying what essential characteristics of records determine the authenticity of records seen from the perspective of the business activity.

Staff

An organisation's personnel who have been assigned tasks.

Stakeholder interest information

Information about the interests of an individual or group in the performance of an organisation, its capability to be profitable, in delivering the intended results/products, and maintaining the viability of the organisation's products and/or services.

Stakeholder interests

The interests of an individual or group with respect to the success of an organisation in delivering intended results and maintaining the viability of the organisation's products and/or services.

State of technology

The state of the art of the information technology with respect to its ability to satisfy recordkeeping requirements, the state of the underlying computer science with respect to its ability to develop relevant capabilities not within the state of the technology, and the existence and prevalence of applicable standards.

Storage plan

Set of rules, procedures and technical requirements governing storage of the digital components of records. Also part of the Preservation Action Plan that specifies files and directories (and their relative and absolute locations) into which one or more digital components of records are placed in the storage system.

Storage problem

A problem with storage media, storage formats, digital components, a storage system or facility that could impact on access to, and the continued preservation of, stored records.

Storage update method

A method used to ensure that stored digital components are completely and correctly brought forward when any component of a storage subsystem is changed or when digital components are moved or migrated to newer storage media.

Stored digital file

Digital files placed in a storage system on digital media.

Synthesised records requirements

The coherent set of requirements from a business perspective that include the characteristics critical for authenticity for each type of records, rules for metadata, and the rules for organising the records.

System for unique identifiers

A systematic way of identification that is documented and consistently applied and enables the assignment and persistently linking of a unique, unambiguous, and permanent code (potentially any combination of numeric and alphabetical values) to every record and/or aggregation.

Targeted preservation methods

For specific record formats, methods for overcoming technological obsolescence of file formats. Includes methods such as emulation, conversion to current format, conversion of proprietary formats to standard formats, and conversion to self-describing file formats.

Technical infrastructure

The planned configuration of an organisation's computing systems (hardware and software), associated communications and network systems, as well as any services that may be needed to operate and maintain such systems.

Trained staff

All employees who have been trained to perform specific Recordkeeping activities within an organisation. This includes also staff that is not exclusively working within the recordkeeping function.

Transition strategies

A description of the strategies and related activities necessary to move the organisation from the current level of recordkeeping to the identified next level, based upon the capacity assessment. This includes criteria to assess whether the organisation has reached the next level.

Unique identifier

The code with which a record or aggregate uniquely can be identified. The domain of uniqueness will be at least the organisation. The code should be persistent through time.

Updated digital components

An updated digital component is a component that has been modified under a preservation action plan.

Updated storage information

Information indicating a change in the location of a digital component in storage, the occurrence of a storage problem, the action taken to correct a storage problem, the results of such action, or the copying of digital files from older to new storage media.

Usage information

Information about the need for and the use of records, the questions asked, the frequency of use, problems in retrieval.

Work plans

Schedules, charts, graphs or other documents that summarises clearly the various components of particular business processes or activities and how they fit together, while outlining the significant responsibilities and duties of individuals or entities with respect to those processes or activities.

Work process analysis

The precise mapping of the sequence of steps or actions required to produce a business outcome that complies with the organisation's functions, its systems and rules. It may be extended to describe the derivation of the organisational procedures and rules from the socio-legal context in which the organisation is located.

Workflow

A descriptive and analytical account of one or more work processes, including the sequence of inherent steps, required to achieve a defined outcome.

It describes the transfer of documents, records, information and/or tasks from one participant (human or machine) to another for action, according to a set of procedural rules and within the constraints of the current state of technology.

Business-driven Recordkeeping Model

Definitions of the classes occurring in the UML class diagrams

11 January 2008 Version

by Hans Hofman

Note: The following list of definitions of the entities used in the UML class diagrams of the BDR model (see Narrative associated with the Consultation Draft of the model) are derived from many different sources and may be subject to comments.

Access action

The action of finding, using, or retrieving information, usually subject to rules and conditions.
(NAA Recordkeeping Glossary)

(Business) activity

Activities are the major tasks performed by an organisation to accomplish each of its functions. An activity is identified by the name it is given and its scope note. The scope of the activity encompasses all the transactions that take place in relation to it. Depending upon the nature of the transactions involved, an activity may be performed in relation to one function, or it may be performed in relation to many functions. *(NAA Recordkeeping Glossary)*

Business activity is used as a broad term, not restricted to commercial activity, but including public administration, non-profit and other activities.

Agent

Responsible agent

Individual, workgroup or organization responsible for or involved in record creation, capture and/or records management processes *(ISO 23081-1:2006)*.

Analysis

A systematic approach to problem solving. Complex problems are made simpler by separating them into more understandable elements. This involves the identification of purposes and facts, the statement of defensible assumptions, and the formulation of conclusions.

www.ojp.usdoj.gov/BJA/evaluation/glossary/glossary_a.htm

Risk analysis

Market analysis

Archive(s)

1. Records that are appraised as having archival value. *(NAA Recordkeeping Glossary)*
2. A level of aggregation of records generated by an individual or organisational body.

Behaviour

The set of dynamic and interactive characteristics of a digital record that are necessary for using it in a way that reflects the original intent and thus its authenticity.

Business rules

Set of the operations, definitions and constraints that apply to an organization in achieving its goals.

For example a business rule might state that no credit check is to be performed on return customers. http://en.wikipedia.org/wiki/Business_rules

Capture

A deliberate action that results in the registration of a record into a recordkeeping system. For certain business activities this functionality maybe built into computer systems so that the capture of records is concurrent with the creation of records. (*NAA recordkeeping glossary*)

Code of practice

A set of written rules that state operating requirements for specified activities.

www3.gov.ab.ca/env/air/Info/definitions.html

Code of ethics

An organized group of ethical behaviour guidelines, which govern the day-to-day activities of a profession or organization. www.peakagents.ca/glossary/c10.htm

Computer file

A set of data with the same file format.

Cultural values

The accumulated habits, attitudes, and beliefs of a group of people (*or social group*) that define for them their general behaviour and way of life; the total set of learned activities of a people.

www.geographic.org/glossary.html

Customer relations

The interaction between an organisation (or individual) and one or more persons who expect, request, buy something from it.

Disposition

Any action that changes the circumstances of a record or removes a record from its usual setting. Disposal can include destruction, damage, alteration, or transfer of custody or ownership of records. The National Archives of Australia authorises disposal of Commonwealth records for the purposes of the *Archives Act 1983*. Also called disposal, usually in the Australian context. (*NAA recordkeeping glossary*)

Encoding scheme

Controlled list of all the acceptable values in natural language and/or as a syntax-encoded text string designed for machine processing (*ISO 23081-1:2006*).

Extraction action

A preferably automated activity that extracts, based on a cross-walk between two metadata schema's, (meta)data from one environment (mostly system) into another.

NB. In case it is not automated the tool has to be informed manually what metadata should be extracted.

Form

The extrinsic elements of a record that reflect the lay-out, structure and if needed the behaviour.

File

(Noun) An organised unit of documents accumulated during current use and kept together because they deal with the same subject, activity or transaction. (*NAA recordkeeping glossary*)

Framework

A system of rules, ideas or principles that is used to plan or decide something.

www3.gov.ab.ca/env/air/Info/definitions.html

Risk management framework

Strategic framework

Business framework

Infrastructural framework

Accountability framework

Financial framework

Function

Functions represent the major responsibilities that are managed by the organisation to fulfil its goals. They are high-level aggregates of the organisation's activities. (*NAA Recordkeeping Glossary*)

Jurisdiction

The extent of authority: 1) of a court over a certain matter or person; 2) of a government organization. (adapted from www.websiteupgrades.ca/glossary/free/J.shtml)

Legislation

A law including acts of parliament and other general legal rules.

www.apheda.org.au/campaigns/burma_schools_kit/resources/1074040257_16812.html

Mandate

Identifies and provides information about the instrument that imposes a requirement to make and keep a record or group of records.

Internal mandate

External mandate

Mandates can be internal or external. Internal mandates include policy, administrative instructions, business decisions or authorisations. External mandates include laws, regulations, standards or statements of best practice etc that incorporate requirements to make and keep records. (*NSW RKMS*)

Market

A public place where goods and services are traded, purchased and sold.

www.valic.com/valic2003/aigvalic.nsf/contents/edu_glossary-m

or

1. The interaction between supply and demand to determine the market price and corresponding quantity bought and sold.
2. The determination of economic allocations by decentralized, voluntary interactions among those who wish to buy and sell, responding to freely determined market prices.
www-personal.umich.edu/~alandear/glossary/m.html

Metadata

Data describing the context, content and structure of records and their management through time (*ISO 15489-1:2001, 3.12*). As such, metadata are structured or semi-structured information that enables the creation, registration, classification, access, preservation and disposition of records through time and within and across domains.

Structural metadata: metadata documenting the record structure

Technical metadata: metadata documenting the technical environment in which the record has been originally generated as well as the technical environment necessary to reproduce it

Contextual metadata: metadata documenting the provenance of the record or any aggregation

Plan

A proposed or intended method of getting from one set of circumstances to another. They are often used to move from the present situation, towards the achievement of one or more objectives or goals. <http://en.wikipedia.org/wiki/Plan>

Risk management plan

Work plan

Budget plan

Resource plan

Preservation action

The processes and operations involved in ensuring the physical, technical and/or intellectual survival of authentic records through time.

Preservation encompasses environmental control, security, creation, storage, handling, and disaster planning for records in all formats, including digital records. (*NAA Recordkeeping Glossary*)

Record

Information created, received, and maintained as evidence and information by an organization or person, in pursuance of legal obligations or in the transaction of business (*ISO 15489:2001, clause 3.15*).

Record instance

The description of how a record can be expressed or reproduced without losing its authenticity, reliability and integrity, using one or more specified computer files.

Record characteristics

The coherent set of essential aspects that given the business context in which a record (or aggregate) is created or used, make that record authentic, reliable, and usable. They regard the structural, behavioural and form aspects of a record.

Requirements**Business requirements****RK requirements****Rights**

Entitlements assured by law, custom, or property.

[**IPR, copy rights, privacy**]

Risk

The possibility of suffering loss, harm, danger, damage

Business risk**RK risk****Schema****RK metadata schema****Business metadata schema**

Logical plan showing the relationships between metadata elements, normally through establishing rules for the use and management of metadata specifically as regards the semantics, the syntax and the optionality (*obligation level*) of values (*ISO 23081-1:2006*).

Series

A level of aggregation of records, above the case file.

NB. May be named differently in different jurisdictions.

Social structure**[nation, community, family]**

A system of social relations.

Social structure does not concern itself with people—individuals forming the society or their social organisations, neither does it study who are the people/organisation forming it, or what is the ultimate goal of their relations. Social structure deals rather with the very structure of their relations—how are they organized in a pattern of relationships.

http://en.wikipedia.org/wiki/Social_structure

Technical environment

The platform of hard- and software needed to reproduce or render authentic records in digital form.

Transaction

The smallest unit of business activity. Uses of records are themselves transactions.

See also **Function** and **Activity**.

Sources: Adapted from Standards Australia, AS 4390, Part 1, Clause 4.27;
Standards Australia, AS ISO 15489, Part 2, Clause 4.2.2.2.

RK transaction
Business transaction

Transformation

It holds information on the process of performing a migration. It consists of a collection of transformation units (which in turn hold information on which files have been migrated into what).

Transformation unit

A logical unit that will be migrated together as one unit. This could be a single file (e.g., a Word document) or a large set of files (e.g., an entire database of multiple files). It contains two sets of files: the Pre-Transformation File Set (the set of files that are to be or have been migrated) and the Post-Transformation File Set (the set of files created as a result of this transformation).