The Report on Archives in the Enlarged European Union and the DLM Forum

Sarah Tyacke, Chair of the DLM Forum

Introduction

Across Europe, the rapid expansion of electronic working across the public and private sectors has made people see the need to support this by the development of sound electronic records management and preservation of the record over long periods of time for the present and future use of all Europeans. There is a common interest in doing this at the European level as so many organisations need to meet the requirements of EU directives and related legislation as well as their own business needs.

This conference will seek to make a great difference to all those affected by this revolution, be they administrators, records and information specialists or ICT professionals in this area. It will lead and facilitate the exchange of views on the current issues and provide options for practical solutions to enable us all to improve our abilities to manage electronic records within our own countries and organisations. The partners for this sharing of ideas and practice are now many more than before with the accession of the new member states and the commercial sector participants are by their nature often multi-national especially in the software industry so that this conference will represent some of the best practitioners in the world.

A major outcome of the conference is expected to be a statement of the new user needs for solutions in records management and digital preservation for the industry and the participants to consider.

My thanks on behalf of the DLM Forum community go to the Hungarian Government for hosting this conference . On behalf of the Hungarian hosts and the DLM Forum I welcome you as a participant in the DLM Forum Conference 2005.

Changing Societies in the EU

Government wide information policies and legislation are now affecting records and archives.

Technologies are having their impact.

The effects of democratisation include communities no longer being deferential and in fact questioning and being critical of public servants and services and now of policies.

Public polls by MORI give results leading to the conclusion that the museums, libraries and archives sector are especially trusted purveyors of historic materials.

The EU Report

The EU report gives context to the work of the DLM forum and to this conference.

The key points are:

•The Council recommendation went through the Cultural Affairs Committee on 7th September under the UK Presidency

•A European Archives Group, comprising experts designated by the Member States and the institutions of the Union, should ensure cooperation and coordination on general matters relating to archives and follow up of the work referred to in the "Report on archives in the enlarged European Union" of February 2005, and in particular the priority measures referred to in point B of this recommendation. Where and when appropriate, the European Archives Group should also co-operate with other relevant European networks such as the National Representatives Group on Digitisation and the European Bureau of Library, Information and Documentation (EBLIDA)

•Work in these areas has already started notably on theft led by the Swedes and on the legislative database which Christine Martinez of the Archives Nationales discussed later in the conference

•Discussions have been held at an international level on the gateway concept with colleagues in Europe at an invited meeting at TNA last May

• The goals, objectives and work plan of the DLM Forum are within this new framework which will be further elaborated at the meeting of the European Board of National Archivists on 17-18 Nov at the National Archives in Kew under the UK presidency.

Drivers for the DLM Forum

There are key drivers for the DLM Forum:

• Business needs of public and private sector
• New countries – EU report
• Commission's support – DLM Forum
• Standards – Moreq2.

Benefits in Governments

There are benefits that can be realised in government organisations by:

• managing e-records as an operational business resource for the public and for business to business transactions
• sharing e-records as a knowledge asset for all the people concerned at policy and operational levels. Gets rid of piles of paper and frees up space
• robust access control models
• preventing unauthorised change.

Benefits in governments

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- **Supports** e-government services

- **Facilitates** the knowledge economy

- **Secures** access regulation

- **Maintains** evidential value

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"Born-Digital" Records

These electronic records have future wider public sector, commercial or "not for profit" training and research potential.

'Born-Digital' Records

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- **Public trust in Archives**
- **Expertise**
- **Accountability**

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They need to be authentic for this. The international standard ISO 15489 (Information and documentation – Records management) states that an authentic record is one that can be proven:

–To be what it purports to be,

–To have been created or sent by the person purported to have created or sent it, and

–To have been created or sent at the time purported.

It goes on to state that - "To ensure the authenticity of records, organisations should implement and document policies and procedures which control the creation, receipt, transmission, maintenance and disposition of records to ensure that record creators are authorized and identified and that records are protected against unauthorized addition, deletion, alteration, use and concealment".

A key discipline, records management delivers:
- Usable reliable records possessing evidential value
- Provides a full context to the records
- It facilitates the identification and safeguarding of future archival records.

In addition, electronic record management facilitates:
- Management of digital and digitised records.

The DLM Forum

DLM is an acronym for document lifecycle management. The DLM Forum is an association of members from public sector, research, and private sector organisations across the European Union's 25 states.

Goals of the DLM Forum
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- **To establish a strategic network**

- **To provide a formal and sustainable entity**

- **To raise awareness**

- **To provide technology and knowledge transfer**

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At the beginning of 2004 the running of the DLM Forum was transferred from the EC to EU States.

The goals of the DLM Forum are as above. In other words, to:

- Bring together individuals and organisations, from both the public and private sector involved in Document Lifecycle Management
- Support the Forum members in fulfilling their roles and responsibilities in the field of Document Lifecycle Management
- Provide for education & skills development (conferences, seminars and exhibitions, workshops and training sessions, managed learning environments)
- Provide for research (user needs analysis, economic modelling, ontology development, knowledge engineering, classification, information retrieval).
- Provide information services, appropriate practice guidelines, benchmark indicators and information, educational, skills development and research opportunities, on-line information portal, list-serv, publications, discussion forums, news, dynamic document archive
- Provide for technology & knowledge transfer (technology watch, standards, legislation and policy monitoring, consultancy, connecting technology providers with users, partnership development).

The types of DLM Forum members are Public Archives, Other Public Agencies, Universities, Associations (for example AIIM as the DLM Forum Secretariat), Software Suppliers, Consultancies.

The DLM Forum is overseen by an Executive Committee, currently (due for re-elections later in the week), myself, Sarah Tyacke, The National Archives of United Kingdom (Chair); Andrea Haenger, Federal Archives of Germany; Torbjorn Hornfeldt, National Archives of Sweden; Joze Skofljanec, National Archives of Slovenia; Raimo Pohjola, National Archives of Finland; Maria Luisa Conde, National Archives of Spain.

There is also the DLM Forum European Economic Interest Group which:
- Provides the legal entity to contract commercial services or enter into agreements on behalf of the DLM Forum
- Was established in 2003 to remove any financial liability on DLM Forum members
- Is directed by the DLM Forum Exec Committee.

Its members are currently:
- Sarah Tyacke, The National Archives of the UK
–Ulrich Kampffmeyer, Project-Consult Gmbh
–Walter Koch, AIT
–Atle Skjekkeland, AIIM (DLM Secretariat).

DLM Forum Activities 2006-2009

The DLM Forum's Number One Priority is the Model Requirements for the Management of Electronic Records (Moreq). Copyright is owned by the EC, but Moreq is administered by the DLM Forum.
The DLM Forum will organize the following:
–DLM Member meetings every 6 months
–DLM Training programs
–DLM Conference every 3rd year
–DLM Website with dynamic online communities and resources.

In addition, the DLM Forum will produce a minimum of 2 DLM whitepapers per year in English with representatives from the ICT industry. Possible topics for the first DLM Whitepapers are:
–Migration and Digital Transfer
–Record Management and Archiving standards
–Electronic Signatures in a long-term perspective
–Benchmarking your records management policies, procedures and systems.

The DLM Forum supported Training Program is being planned.
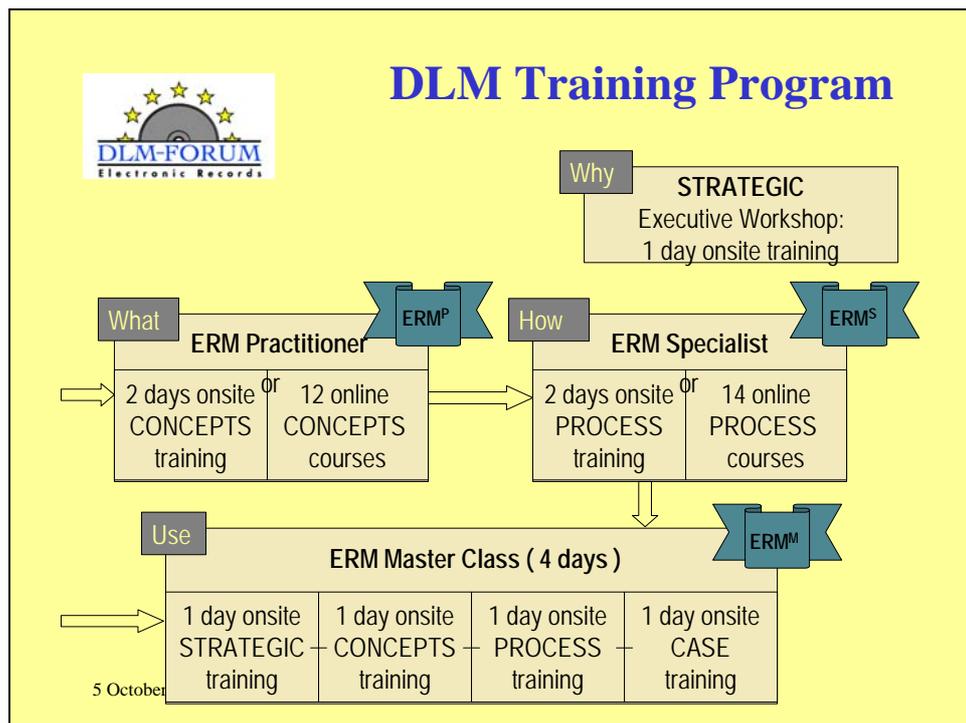
CONCEPTS will teach the ERM principles. PROCESS will teach how to implement ERM programs.

Examples of topics that will be included in the ERM CONCEPTS modules are:
•Classification Scheme
•Controls and Security
•Retention and Disposal

•Capturing Records
•Referencing
•Searching, Retrieval and Rendering
•Administrative Functions
•Other Functionality
•Non-Functional Requirements
•Metadata Requirements
•Reference Model
•Access Control Model.

New DLM Forum Website

AIIM is in the process of implementing a new DLM Forum website which should be a dynamic and "live" website that allows members to share, learn and discuss best practices from across all member states. This new DLM website will allow the management of automated membership applications and renewal processes, give members access to online and live communities, allow members to publish their own information, etc.

The new DLM website should provide members with the following:
- on-line information portal
- list-serv, publications
- discussion forums
- news
- dynamic document archive
- technology watch
- standards
- legislation and policy monitoring
- consultancy
- connecting technology providers with users
- partnership development
- member meetings, conferences, seminars, workshops and training listings.