



**the national archives**

[www.nationalarchives.gov.uk](http://www.nationalarchives.gov.uk)



the national archives

# **Certification of ERDM**

## **the British experience**

Richard Blake, Head of the Records  
Management Advisory Service



the national archives

# Our aims for EDRM

To support public business by:

- **Underpinning e-business by managing operational records as an operational resource:**
- **Facilitating the knowledge economy by sharing e-records as a knowledge asset**
- **Securing access regulations by robust access controls**
- **Maintaining evidential value by preventing unauthorised change**



the national archives

# 1997-2007 a changed landscape

- 1997 Initial guidance are published
- 1999 PRO publishes 1<sup>st</sup> functional requirements for ERM
- 2000-2002 – testing solutions
- 2002 – Revised requirements published
- 2003-2006 testing and approving solutions
- 2007 EC sponsors MoReq2
- 2007 – 2008 TNA works to define **next generation needs**



the national archives

# Impact of ERM testing

Benefits:

Credible & rigorous scheme

- **approx 48% were not approved**

Significant number of compliant solutions

- **20 products approved**

Ongoing process of product development

A maturing market – consolidation apparent

Informed TNA of limitations of current requirements



the national archives

# Strengths of a compliance regime

- holistic approach as opposed to a mechanical one
- enabled us to clarify weaknesses in wording of requirements
- provided a detailed QA process to vendors
- clarified where new or revised requirements might be required



the national archives

# Issues posed by the compliance regime

- labour intensive approach
- time consuming
- training burden to expand the team
- danger of focusing on specific product strengths and weaknesses
- pragmatism versus rigid adherence to the letter of standard



the national archives

# Evolving products

- second round demonstrated significant improvements in solutions
- improvements in usability
- responsiveness of vendors to feedback
- focus on thin clients
- vendor initiative to extend functionality





the national archives

# Interpretation – the development of rationales

- a major new tool from TNA
- deconstructs each requirement
- providing illustrative examples inc graphics
- identifying dependencies & keywords
- glossary of terms
- now published at:

[www.nationalarchives.gov.uk/electronicrecords/rat2002/default.htm](http://www.nationalarchives.gov.uk/electronicrecords/rat2002/default.htm)



the national archives

## Each rationale contains:

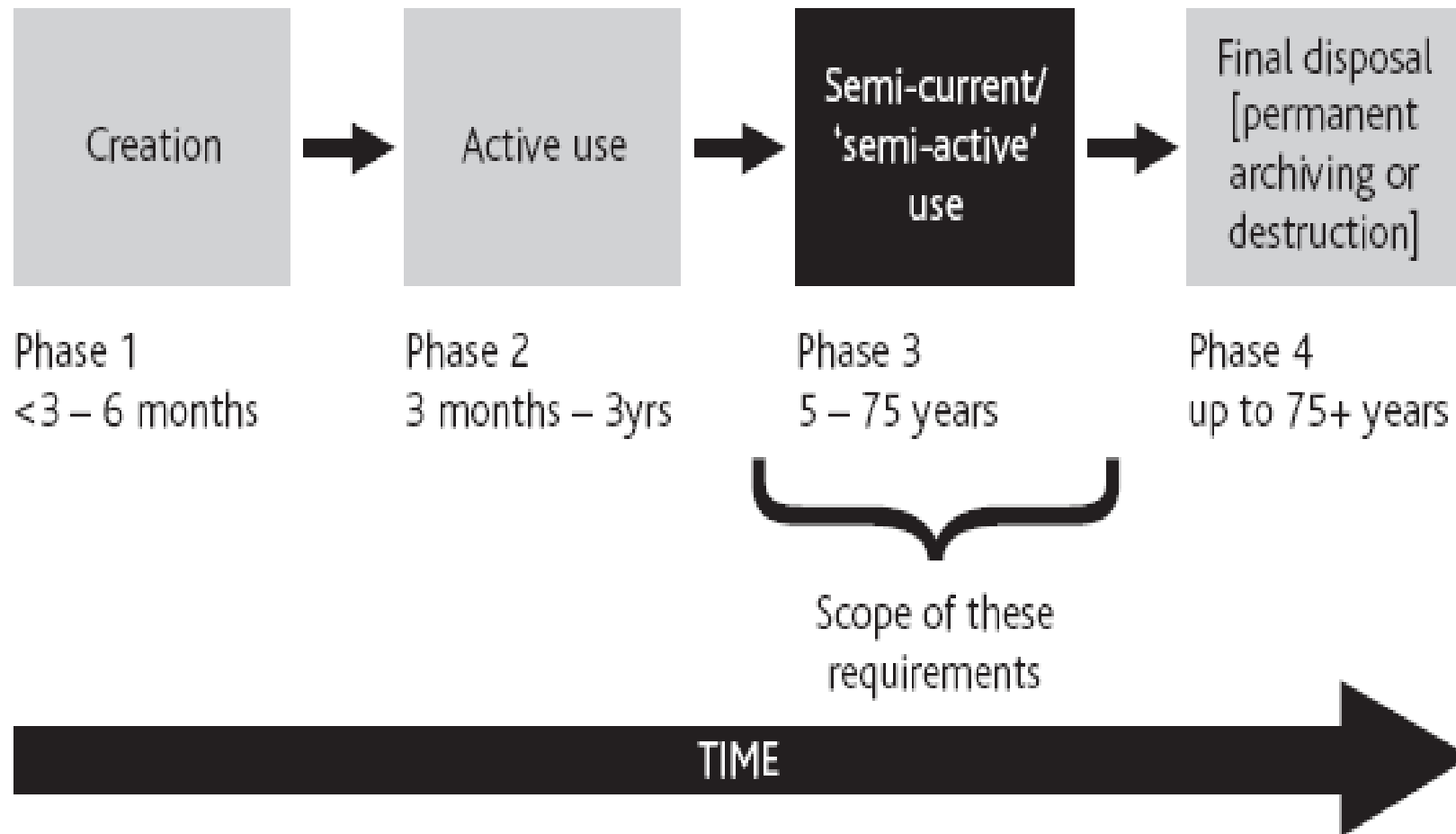
A table of 8 elements – these comprise:

- 1. the requirement number e.g. A.1.1M**
- 2. text of the requirement**
- 3. entry for footnotes (where applicable)**
- 4. the rationale describing the purpose**
- 5. example a with graphic display if applicable**
- 6. links or dependencies to other requirements**
- 7. test criteria (i.e. where tested in our scripts)**
- 8. keywords (where relevant)**



the national archives

# Extending ERM to address preservation





the national archives

# Sustaining the records

## Functional Requirements for:

- Storage media management & security
- Interoperability & active preservation
- Ingest
- Reporting & audit
- Support for concept of trusted custodianship
- Authentication and certification

available at:

[http://www.nationalarchives.gov.uk/electronicrecords/reqs\\_sustain.htm](http://www.nationalarchives.gov.uk/electronicrecords/reqs_sustain.htm)



# Scope for improvements

- interoperability – exporting & importing
- desire to define mandatory form of metadata content
- need for customisable additional entities to enforce closure for disposal execution
- integration with content management systems & wikis & blogs
- proposal for a new XML schema & proof of concept testing



MoReq2 aims to consolidate and build upon existing national standards.

- **Important areas for enhancement are:**
  - Controls on access to facilities
  - Retention schedules and disposal
  - Export and transfer
  - Preservation
  - Definition of metadata



the national archives

# MoReq2 - additional modules

- content management (e.g. integration of ERM with ECM);
- management of non-electronic records and hybrid files;
- workflow and case-work;
- document management and collaborative working;
- encryption, watermarking etc.
- interoperability and openness
- distributed systems



**the national archives**

[www.nationalarchives.gov.uk](http://www.nationalarchives.gov.uk)