A Unified Model for Managing Records

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A Unified Model

- Situation: perspectives
- What is it? Background
- Objective(s)
- The model itself
- Records management and archives
- Summary

Business Context

- Emerging e-business and e-government
  - Globalisation
  - 24/7 Service requirements
  - Complex partnership
  - Increased accountability (e.g. Sarbanes-Oxley Act)
- IT opens up new ways of doing things
  - Cross-organisational, cross-sectoral
  - Interconnectivity, interoperability

Records Perspective

- Any organisation that wants to do business has to take care of managing its information and as part of that, its records
- Impact of technology on the RM business and the object (record)
- IT changes the physical nature of records
- How to apply records and archival principles in digital environment?

Archives Perspective

- Business in its own right
- Represents a level beyond the individual archive of an organisation
- Developments in archival theory (e.g. ‘records continuum paradigm’)

How to deal with digital records?

- Consensus to be pro-active: think before doing
- Design business with the records creation requirements included (not trying to understand the business process in hindsight)
- Link to business crucial for understanding records
- Requirement in a digital environment that Records Management is integrated in business process

Paradigms, Concepts and Models

- Records Management standard (ISO 15489:2001)
- Records Life Cycle concept
- Records Continuum concept (Monash)
- Inter Pares project
  - Models on Records Creation, Preservation, and Appraisal
- OAIS reference model (ISO 14721: 2002)

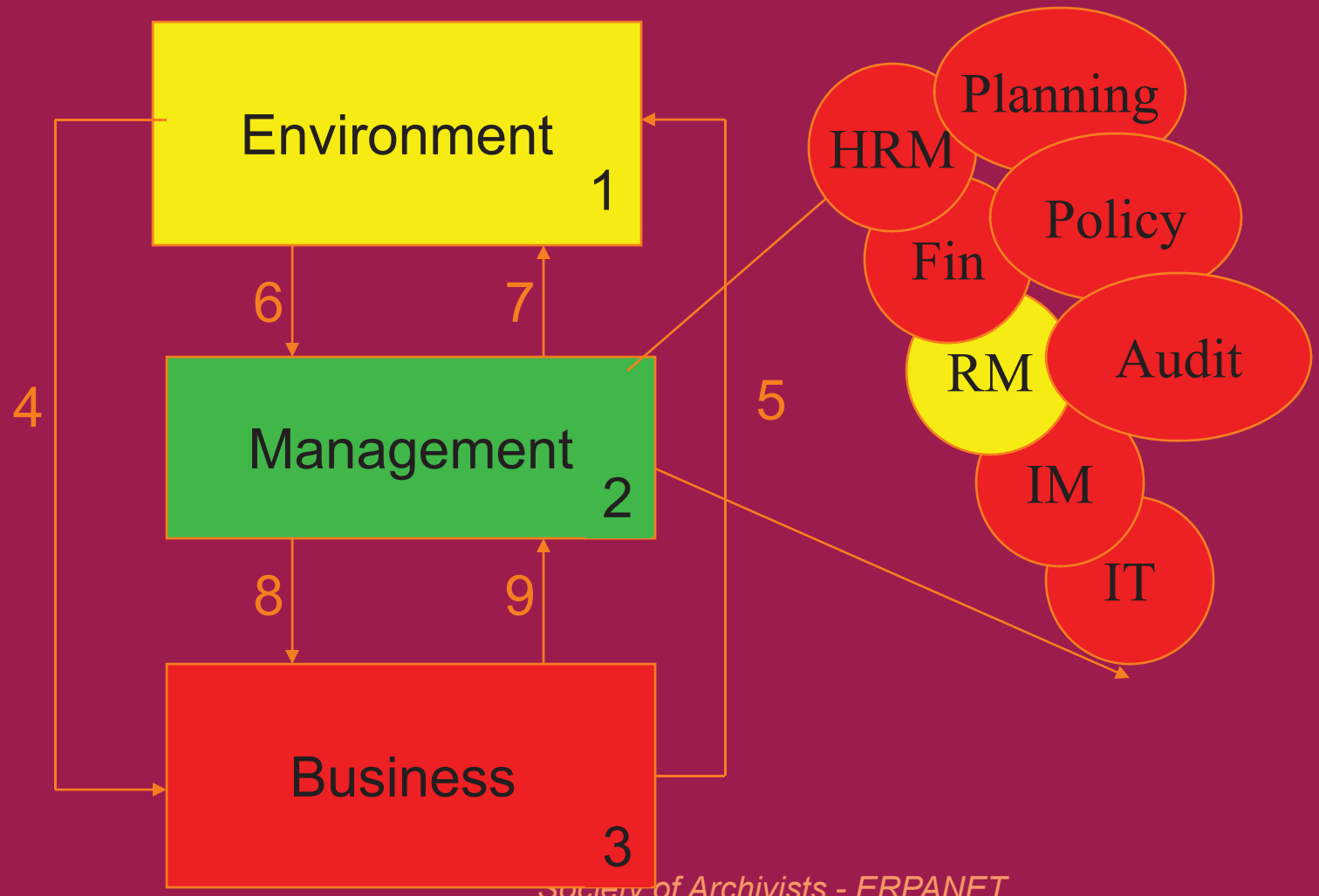
Why a model?

- To delineate the scope of the domain
- To help understanding
- To position yourself….
- To show and explain relationships between things
- To explain communicate underlying concepts

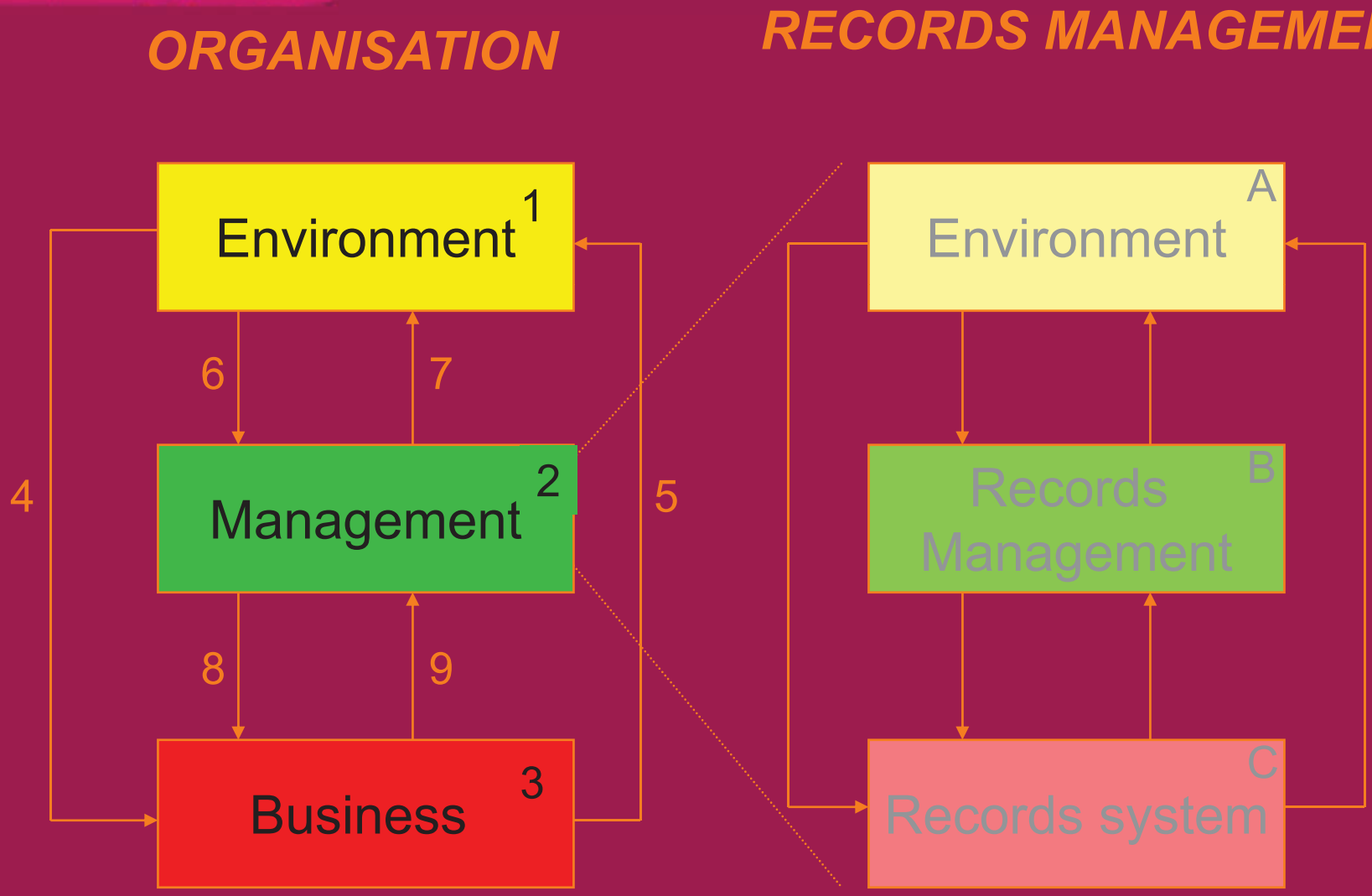
Criteria for model

- Comprehensive
- Scalable
- Applicable for all research areas
- Encompass time and space (domains)

The Business context



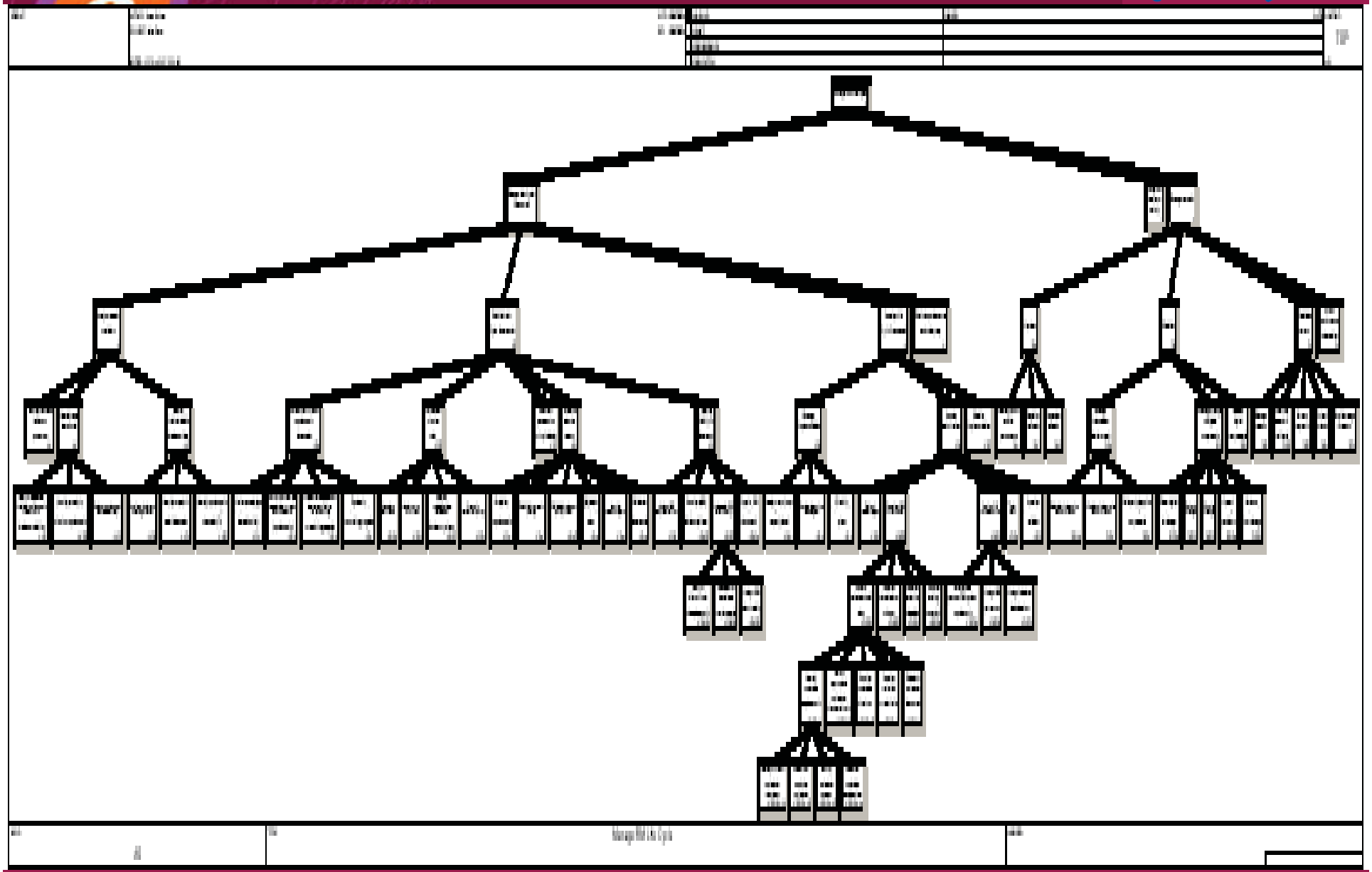
Business model



The Viewpoint

- Need to accommodate different viewpoints
  - the organisation
  - the records manager
  - the preserver
  - the appraiser
  - ….?
- *Different possibilities, but what will make it work?*

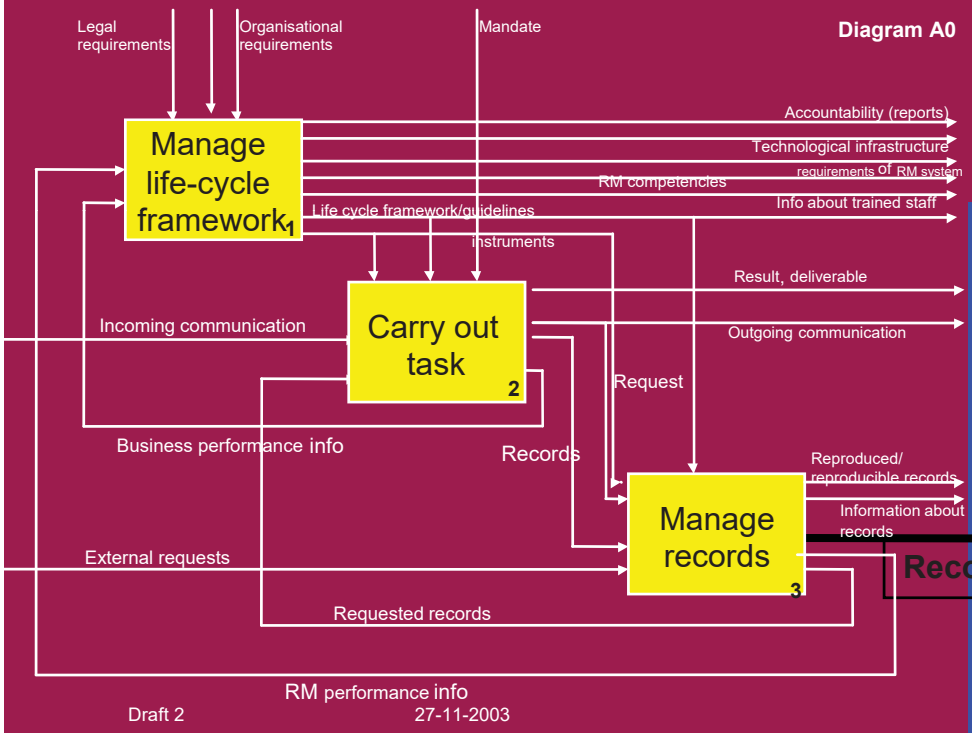
Model



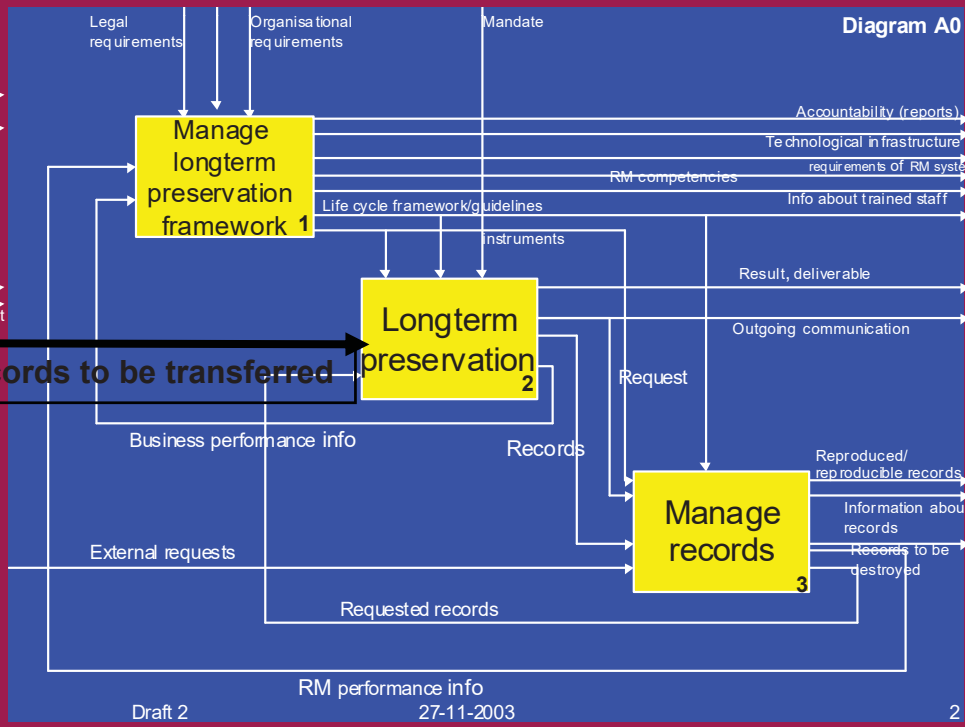
Relationship between records management and archives

- Archival management adds a level beyond the individual archive
- The interdependency is however clear
- Especially in a digital environment requires close co-ordination, if not integration
- Difference in responsibilities

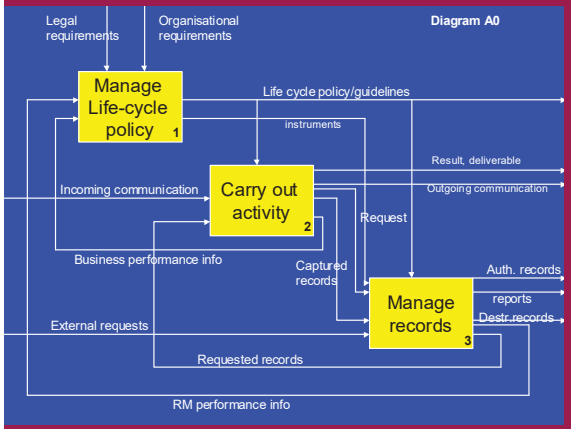
Organisational records management



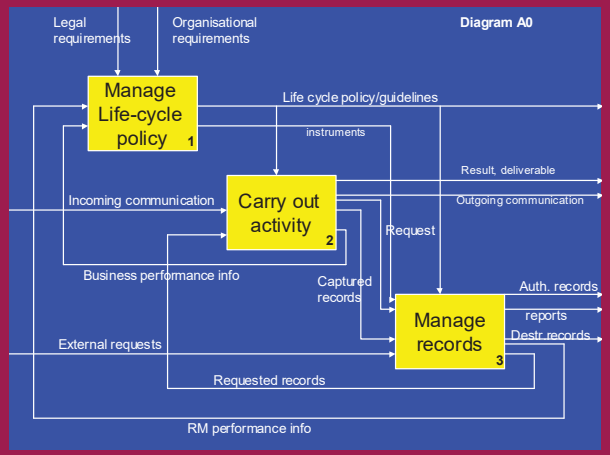
Archives management



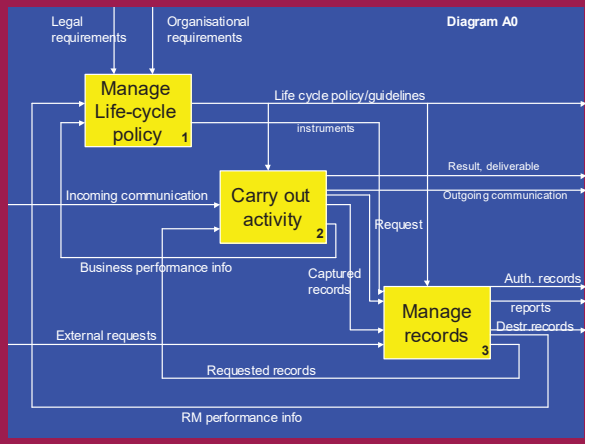
Archival Management



Archive 1



Archive 2



Archive n

Benefits of a unified model (1)

- Business perspective:
  - helps to identify the role of information and records in doing business
  - supports risk management
  - it helps in developing a suitable and customised RM policy
  - supports a continuous cycle of improvement

Benefits of a unified model (2)

- Records management perspective
  - puts things into (business) context
  - allows to raise the level of services
  - provides a much clearer position for RM

Benefits of a unified model (3)

- Archives perspective
  - shows the relationships with records management and business contexts
  - helps to identify where to connect and influence from a long term perspective
  - sets a framework for standardisation, interoperability and co-ordination

How can the model be applied?

- Offers a structured framework
  - for designing efficient and effective business processes
  - for developing records policy/ programme
  - for integration of RM in business processes
  - for implementation and improvement
  - for validating RM programmes
  - for validation of RM standard
  - for audits and review

Summary

- Records management has to be embedded in business
- Any model has to be business driven
- A unified model offers good basis and understanding of the interrelationship between business, records and archives, and for developing a coherent and comprehensive RM policy
- Such a model must be coherent and understandable to diverse audiences