European **A**rchival **R**ecords and **K**nowledge Preservation

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E-ARK Knowledge Centre

E-ARK Final Conference

6th-8th December 2016

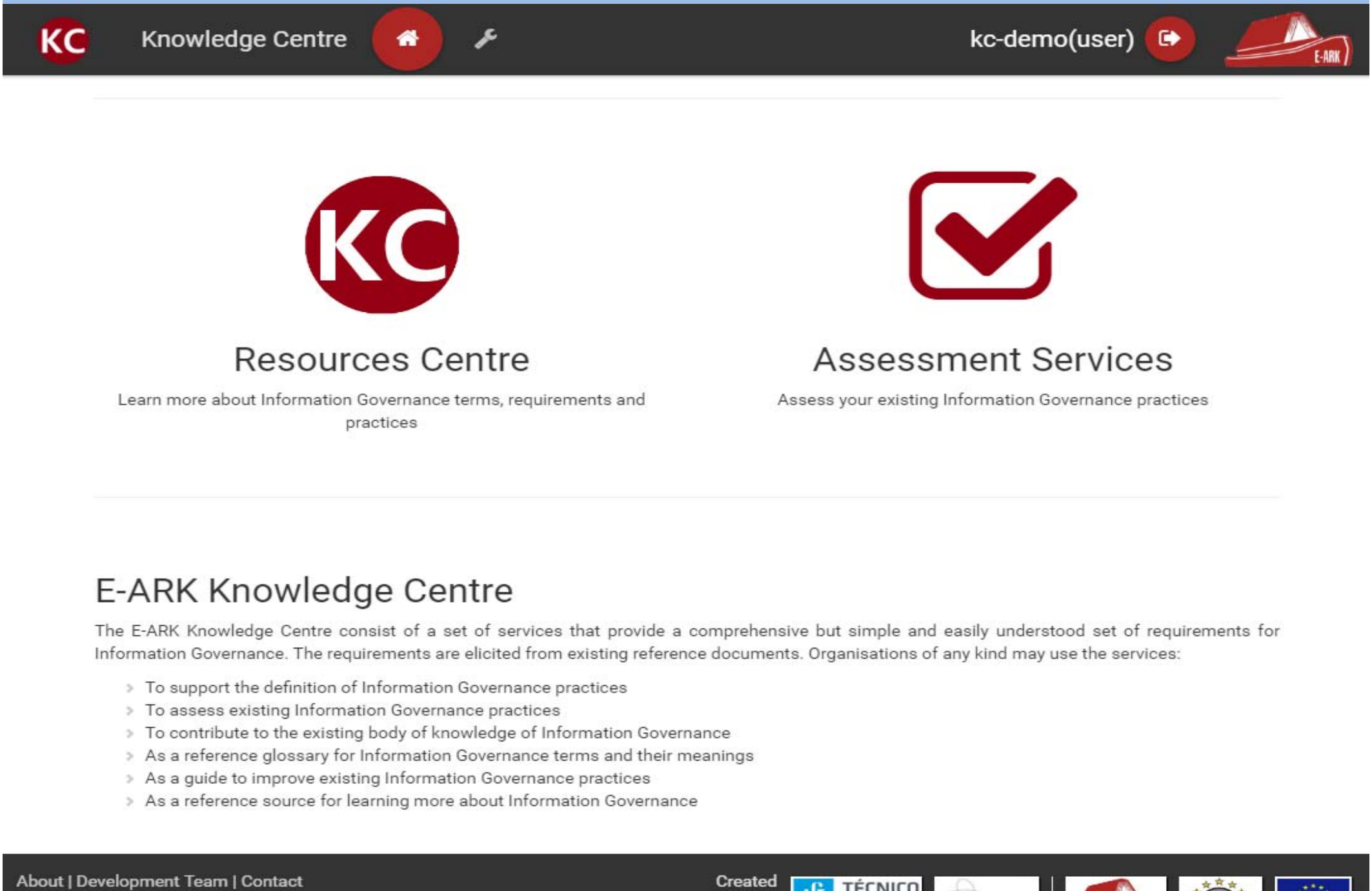
National Archives of Hungary, Budapest

Knowledge Centre

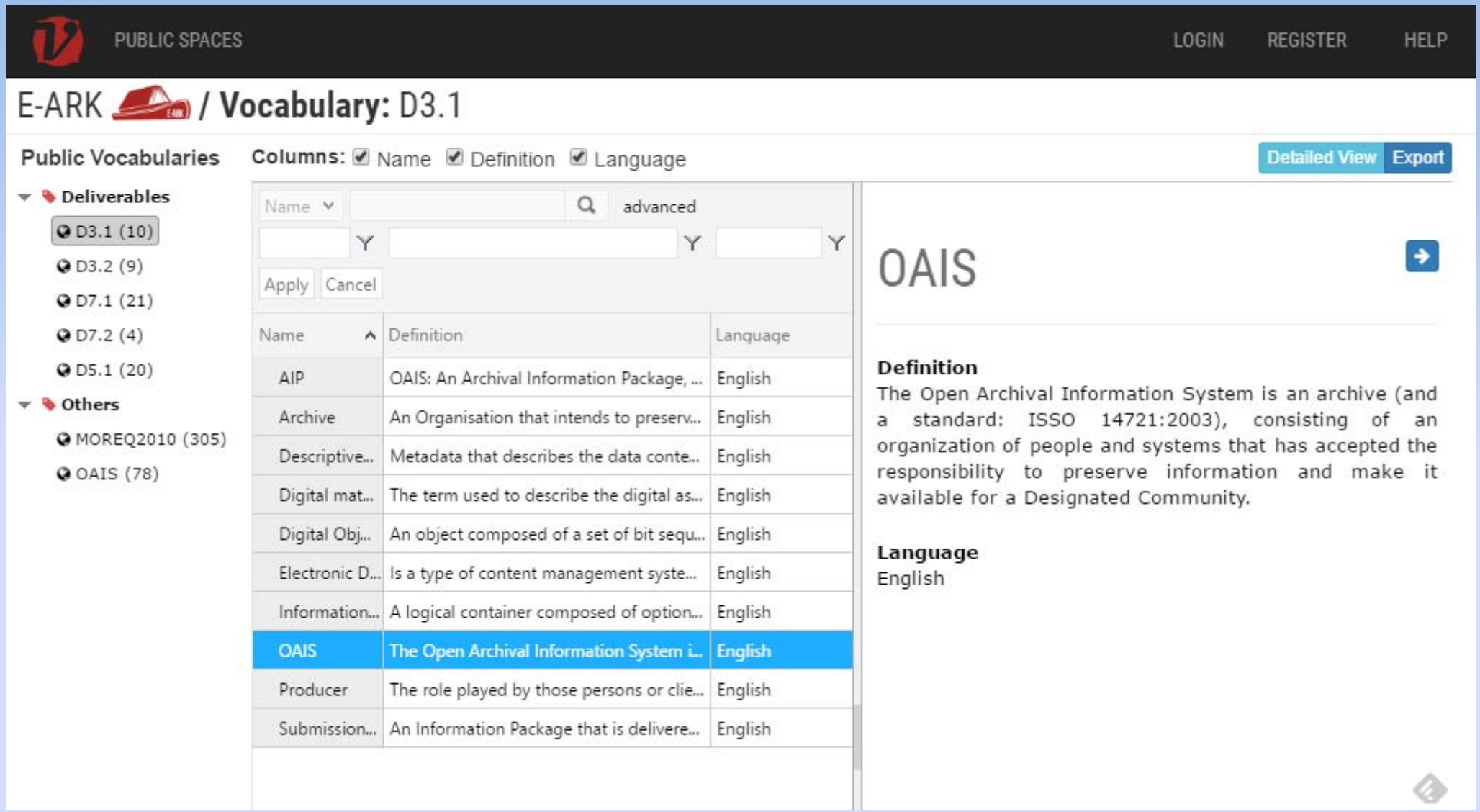
- The Knowledge Centre (KC) is an **aggregator of services** developed under the scope of the E-ARK project
  - Services help to understand, contribute (**Resources Centre**) and validate (**Assessment Services**) Information Governance (IG) practices.

- KC intends to **harmonize** currently fragmented IG **knowledge** represented in the extensive collection of existing IG references (e.g. MoReq, ISO15489, ISO30300/15, ISO163637, ISO181288, etc.)

KC: http://kc.dlmforum.eu/



EVOC: Vocabulary Manager



REQs: Requirements Manager

ISO-DIS-303...

Foreword
0 Introduction
0.1 Background
0.2 Structure of the ...
0.3 Application of th...
1 Scope
2 Fundamentals of an M..
2.1 Relationship bet...
2.2 Context of the or...
2.3 Need for an MSR
2.4 Principles of an ...
2.5 Process approac...
2.6 Role of top mana...
2.7 Relationships wi...
3 Terms and definitions
3.1 Terms relating to..

2.6 Role of top management

Links

Path: 2 Fundamentals of an MSR > 2.6 Role of top management

Top management is responsible for setting an organization's direction and communicating priorities to employees and stakeholders. This includes linking the MSR to the organization's requirements and goals, and understanding the risks associated with inadequate records management.

Policy direction comes from top management to: a) achieve consistency of operations throughout the organization; b) mandate employee adoption of the requirements of an MSR; c) ensure that business processes are transparent and comprehensible; and d) assure shareholders, board of directors, regulators, auditors and other stakeholders that information is

being properly managed.

Through visible leadership and accountability, top management creates an environment in which an MSR can operate effectively. The principles of the MSR (see clause 2.4) are used by top management as the basis for its role to:

- 1) establish, maintain and promote the records management policy and objectives to increase organizational awareness, motivation and conformance;
- 2) ensure that records management responsibilities and authorities are defined, assigned and communicated throughout the organization;
- 3) ensure that an effective and efficient MSR is established, implemented and maintained to achieve the organization's objectives;
- 4) ensure the availability of the necessary resources and competencies to support and sustain the MSR;

Previous Next Page: 13 / 23 Zoom - +

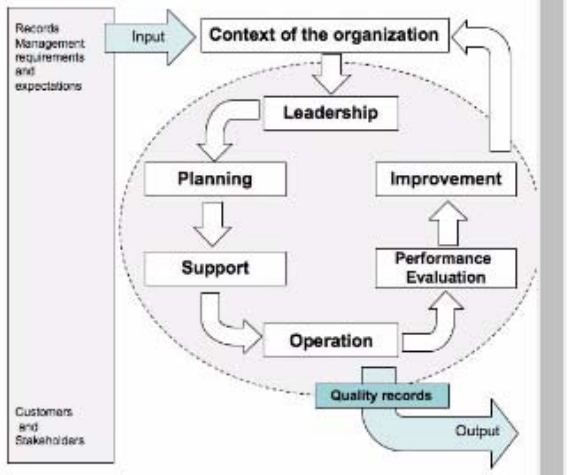


Figure 3 – Process-based MSR model

This can be applied in a scaled way that best suits the needs of an organization. That is complexity of the MSR and the extent of resources spent depends on factors such as th the organizational size or the nature of its activities, products and services. This migh and medium enterprises.

2.6 Role of top management

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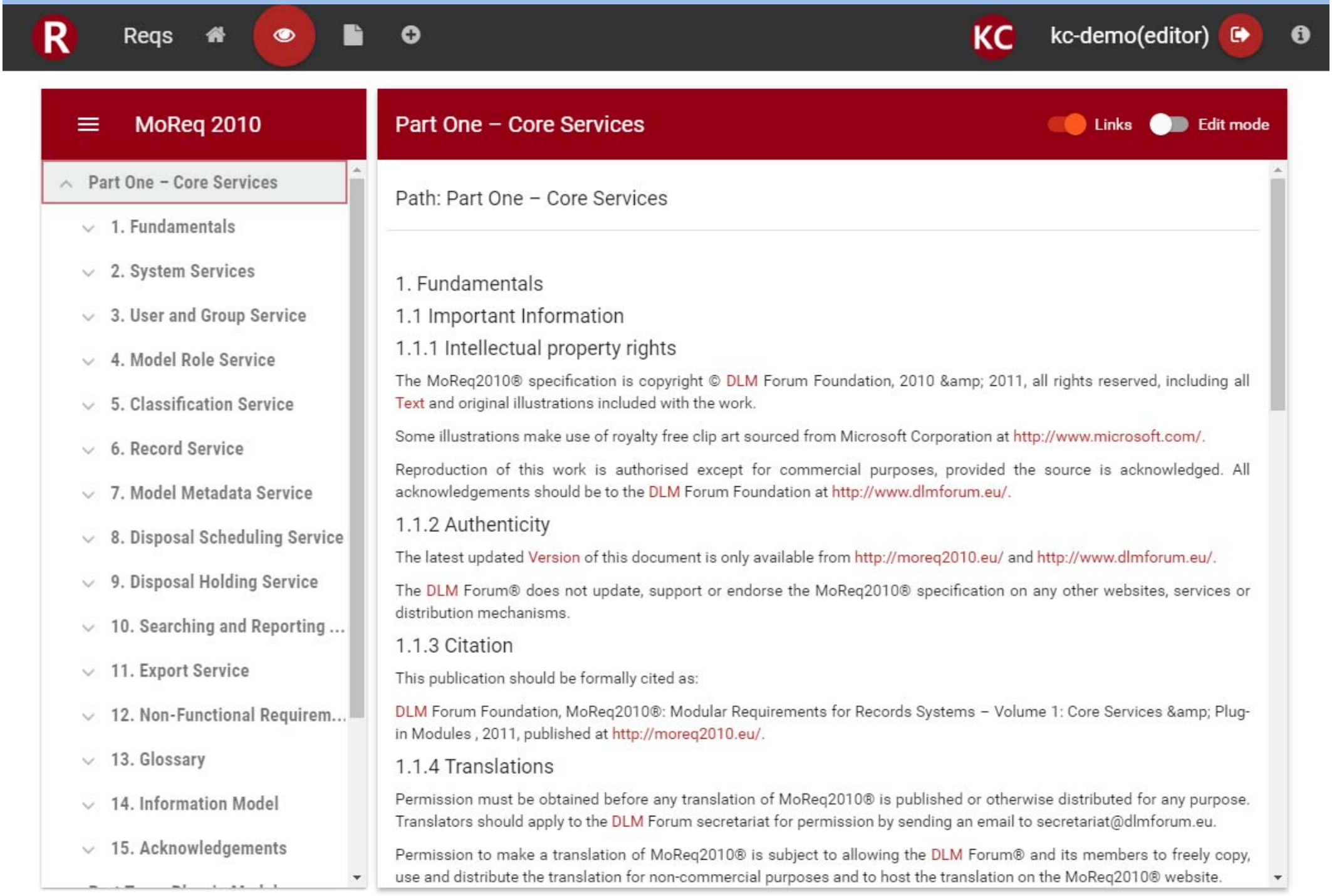
REQs: Requirements Manager



REQs: Requirements Manager

MoReq 2010

- Part One – Core Services
  - 1. Fundamentals
  - 2. System Services
  - 3. User and Group Service
  - 4. Model Role Service
  - 5. Classification Service
  - 6. Record Service
  - 7. Model Metadata Service
    - 7.1 Service Information
    - 7.2 Complying with the M...
    - 7.3 Key Concepts
    - 7.5 Functional Requireme...
      - R7.5.01
      - R7.5.02
      - R7.5.03
      - R7.5.04

7.5 Functional Requirements

Links Edit mode

Path: Part One – Core Services > 7. Model Metadata Service > 7.5 Functional Requirements

R7.5.01

Each Metadata service must manage Metadata element definitions (E14.2.11) with the following System metadata:

- System Identifier (M14.4.100),
- Title (M14.4.104),
- Description (M14.4.16),
- Scope Notes (M14.4.97),
- Presentation Order (M14.4.84),
- Min Occurs (M14.4.56),
- Max Occurs (M14.4.53),
- Is Modifiable Flag (M14.4.46),
- Is Entity Reference Flag (M14.4.45),
- Entity Reference Type Identifier (M14.4.24),
- Datatype (M14.4.10),
- Is Textual Flag (M14.4.47),
- Default Value (M14.4.13),
- Default Language Identifier (M14.4.12), and
- Retain On Destruction Flag (M14.4.88).

Metadata element definitions also have:

- Event history (see 2. System Services).

MoReq Schema Validator

The MoReq Validator was developed under the project E-ARK.

MoReq®, MoReq2® and MoReq2010® are registered community trademarks

The MoReq® specification is produced by the DLM Forum

MoReq Export Validation

This services aims to validate data files according to the XML Export Schema as defined **here**.

The requirements of the Export Service define how entities must be exported by a MoReq-Compliant Records System (MCRS). These requirements are agnostic about the technical representation of the data, but meanwhile the DLM Forum also defined the MoReq2010 XML Schema, which is the reference XSD for this service.

This service therefore accepts the upload of an XML file, analysis it according to this XSD, and provides a report.

Examples for testing are availale here

Select file to validate:

Browse | Submit | Open result in new window

MoReq Schema Validator

Report Print Report Get as CSV

Close Window

File Properties

Imported File Name: ex_err1.xml

Number of lines: 994

Imported File Size: 68 KB

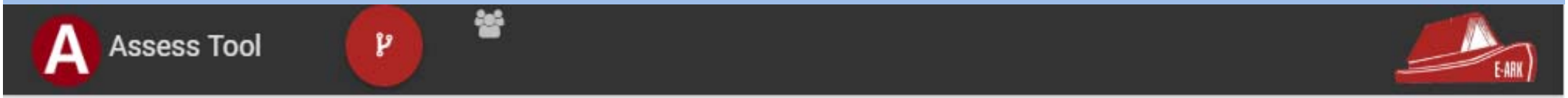
Errors Report

Line Number	Column Number	Error Message
643	4	FATAL ERROR: The element type "Export" must be terminated by the matching end-tag "".
20	14	Error: cvc-complex-type.2.4.a: Invalid content was found starting with element 'Compliance'. One of '{"http://moreq.info/files/export":ExportCommencing}' is expected.

Structure Analysis Report

Schema structure check is not possible due to fatal error (See Error List) .

MoReq Assessment Tool



Test Modules

USERS AND GROUPS | MODEL ROLES | RECORDS | MODEL METADATA | DISPOSAL | SEARCHING AND REPORTING

Test Cases

- 1.1 Initial error check
- 1.2 Initial compliance check
- 1.3 Browse available services (or bundles of services) and inspect the metadata of the user and group service
- 1.4 Modify the metadata of the user and group service
- 1.5 Browse the event history of the user and group service
- 1.6 Find and inspect Usr.1.1, Usr.1.2, Grp.1.1 and Grp.1.2
- 1.7 Browse the entity types in the user and group service
- 1.8 Browse the function definitions for an entity

Test Case:1.1 Initial error check

PRE-CONDITIONS | STEPS | EXPECTED RESULTS

Test system is operational

Test data (see appendix 1.A Test data) are loaded onto test system

Where the test system uses an API then a suitable test harness has been provided (see the Test Framework: Overview and Instructions, 4.1 Providing a test harness for API interfaces)

The test system has been configured, under R2.4.13 such that performing any function system wide will generate an event under R2.4.15 and R2.4.16 - in other words, all function definitions must have their Generate Event Flag (M14.4.34) set

The test system has been configured, under R2.4.20 such that the events generated by all functions system wide will be retained by residual entities - in other words, all function definitions must have their Retain On Destruction Flag (M14.4.88) set

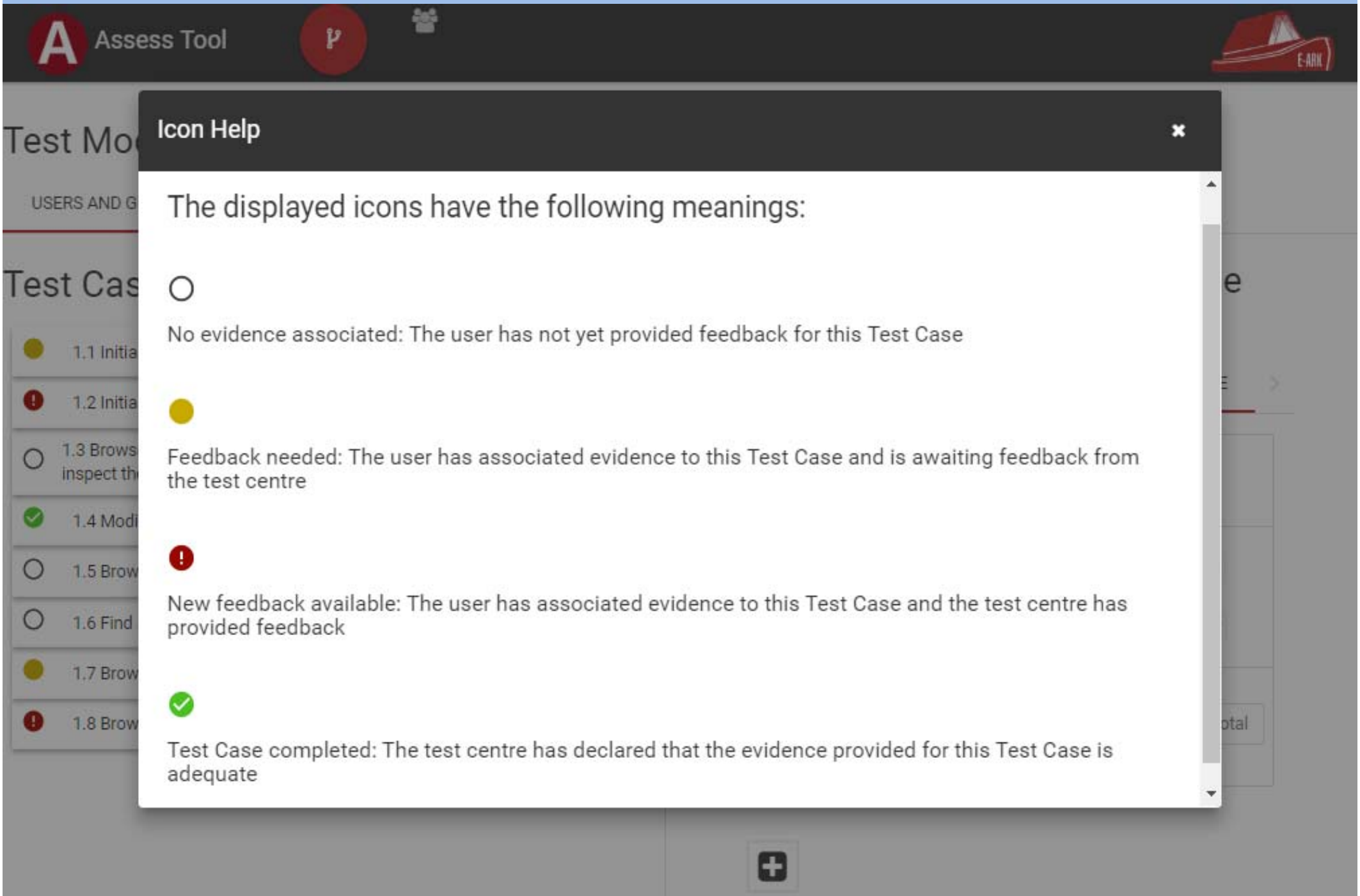
If the model role service is implemented then the test system has been configured, under R4.5.8 such that every access control list is set to inherit all roles, not just administrative roles - in other words, the Include Inherited Roles Flag (M14.4.43) for all access control lists for all entities is set by default

MoReq Assessment Tool

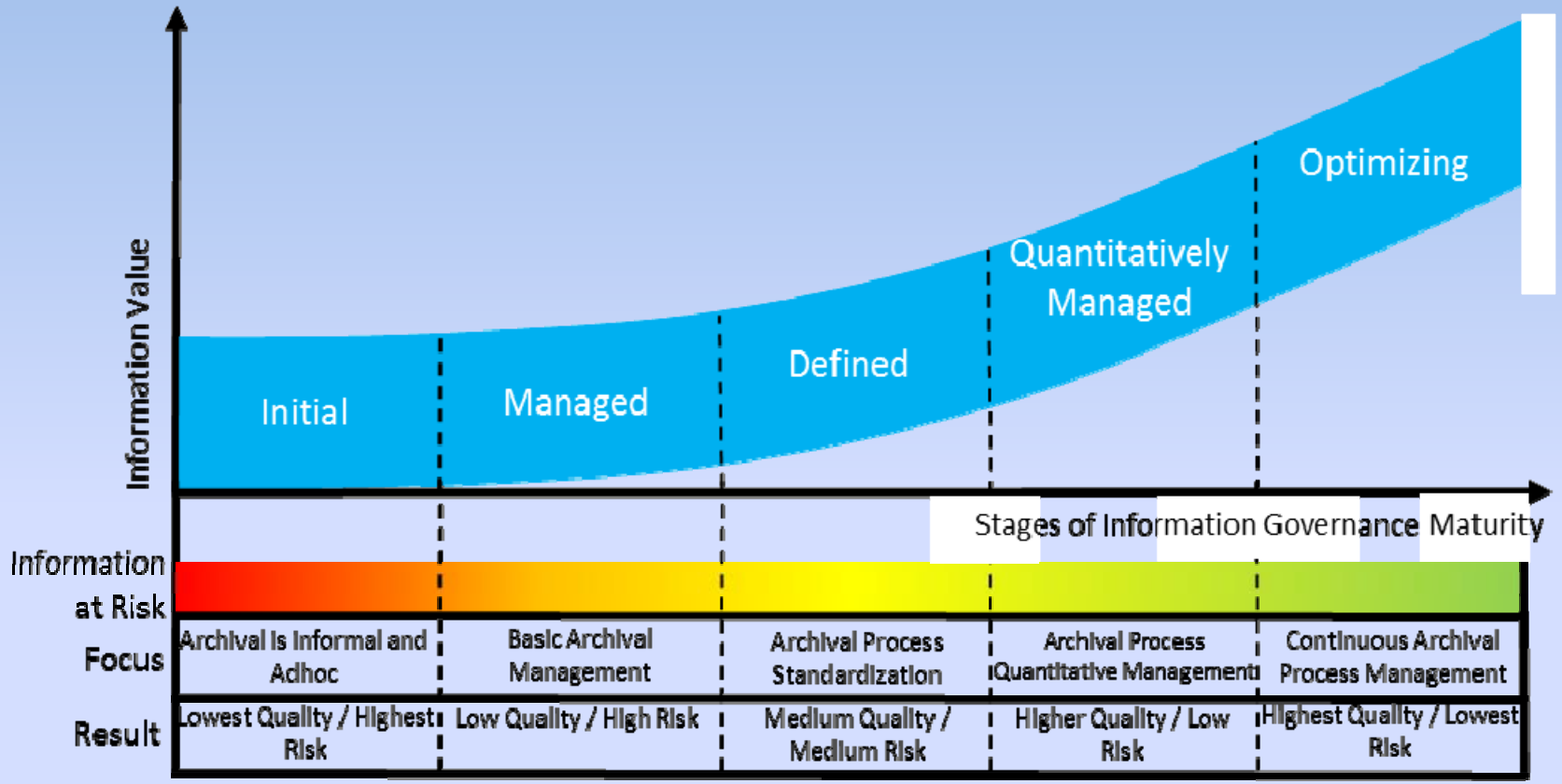
Files

Name	Description	Associated to	
Interface1.jpg	First image of the interface	Test Case 1.1	
TutorialVideo.mp4	Video of user completing step1	Test Case 1.1	
Manual.pdf	Software manual		
export2015.xml	System export after step 4		
TutorialVideo2.mp4	Video for step2	Test Case 1.1	
FAQ.pdf	Software frequently asked questions	Test Case 1.1	
Video3.mp4	Video for step 7		
Notes.pdf	Notes from the developer		
export2015_2.xml	System export after step 6		

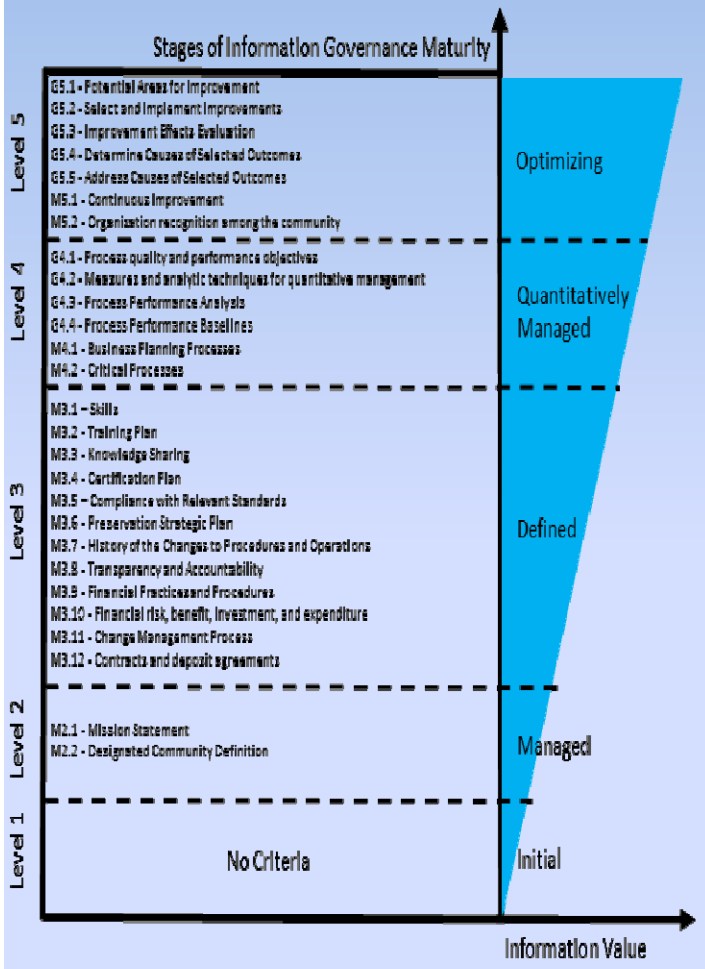
MoReq Assessment Tool

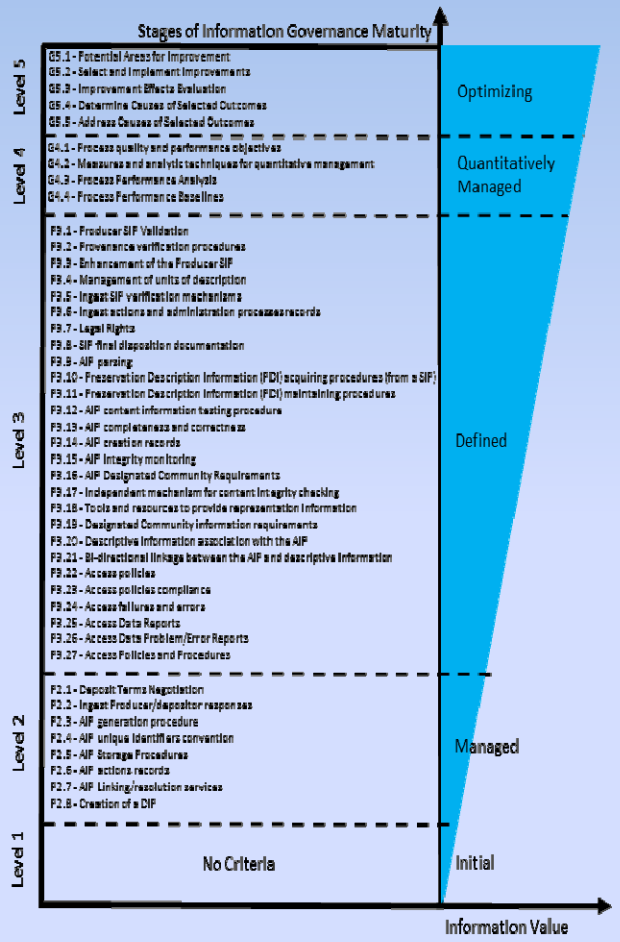


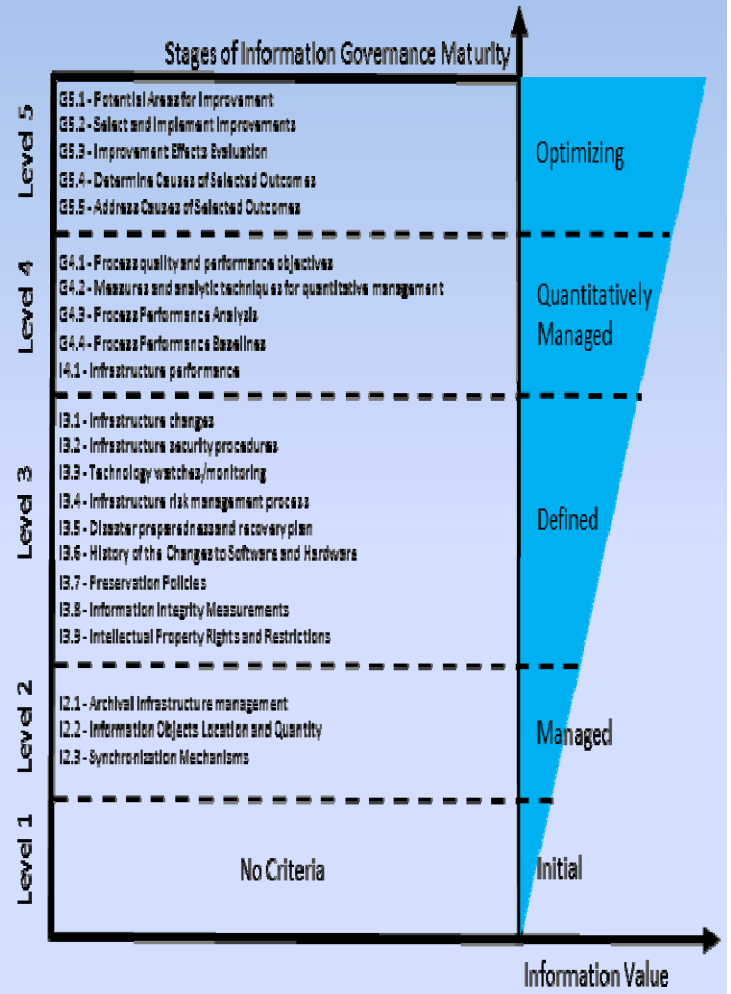
Maturity Model – Process vs Capability



Maturity Model Dimensions







Maturity Assessment

INTRO | QUESTIONS | USERS | admin

Pre-Ingest: 4 / 4 | Ingest: 13 / 14 | Archival Storage and Preservation: 4 / 7 | Data Management: 3 / 3 | Access: 2 / 7

Total: 26 / 35 Finish

2.1 - General pilot model and use case definition.

1 - Is there a procedure to negotiate the terms of deposit between the Producer and the Archive?

Objective: Understand if the Archive is capable of negotiating the terms of deposit with Producers. Terms of deposit might include the specification of the metadata that must be included at the time of deposit, the schedule and method of deposit, the responsibilities of the Producer and the Archive regarding the information being ingested, etc.

- ○ No: There is no procedure to negotiate the terms of deposit
- ○ Ad-hoc: There is an ad-hoc procedure to negotiate the terms of deposit
- ◉ Defined: There is a defined procedure to negotiate the terms of deposit
- ○ Defined and assessed ad-hoc: There is a defined, documented and ad-hoc assessed procedure to negotiate the terms of deposit
- ○ Defined and assessed consistently: There is a defined, documented and consistently assessed procedure to negotiate the terms of deposit

Comment:

2 - Does the Archive validate if the Producer SIP complies with the defined format and structure specifications?

Objective: Understand if the Archive validates the Producer SIP regarding format and structure. If the SIP has deviations the Archive might reject the SIP and request the Producer to deliver a corrected SIP.

Terms: Producer SIP

- ○ No: The Producer SIP is not validated.

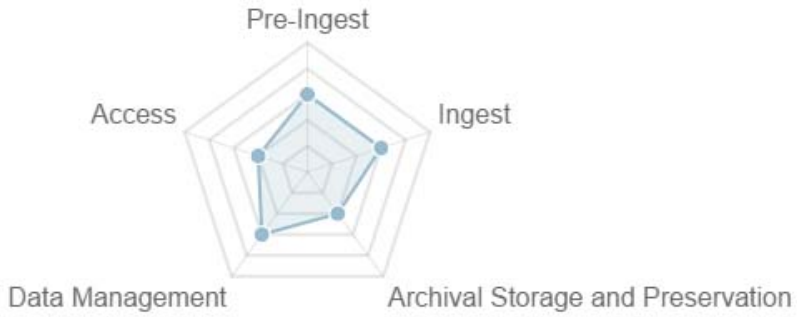
Maturity Assessment

INTRO QUESTIONS USERS admin

Pre-Ingest: 4 / 4 | Ingest: 13 / 14 | Archival Storage and Preservation: 4 / 7 | Data Management: 3 / 3 | Access: 2 / 7 | **Total:** 26 / 35

Thank you for participating in this survey!

Results



Section	Answered	Avg. Maturity Level
Pre-Ingest	4 of 4	3
Ingest	13 of 14	3
Archival Storage and Preservation	4 of 7	2
Data Management	3 of 3	3
Access	2 of 7	2

To reopen the survey click the following button

Reopen Survey

Where can you help?

- Sign up!
  - (DLM-Forum Members can use their existing account)
- Use it!
- Give us feedback!
  - rjcv@tecnico.ulisboa.pt!

Questions?

Make sure to check:

http://kc.dlmforum.eu/

www.eark-project.com

https://github.com/eark-project

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