

The Plans for MoReq (Model requirements for the management of electronic records): A Report on the Scoping of a MoReq2

**By Ian Macfarlane, The National Archives of the UK,
on behalf of the MoReq Working Group**

Introduction

This paper reports that a considerable amount of work has now been done on the scoping of a MoReq2, that is a version 2 of MoReq (Model requirements for the management of electronic records). The paper has been written on behalf of the MoReq Working Group which operates under the auspices of the DLM Forum.

The paper covers

1. Uses of MoReq
2. Aims for a Moreq2
3. Progress to date which brings us to the Scoping Report which has been produced
4. Main conclusions of the Scoping Report
5. Next steps.

Uses of MoReq

MoReq has gained influence from the ways it can be used:

- MoReq can provide the basis through using its requirements selectively to tailor invitations to tender for systems. Quoting the whole thing as requirements is not necessarily the most appropriate thing to do as it may make a system more complex than necessary. So here it is useful as a checklist and source rather than a quoted formal standard.
- In evaluating software products against MoReq, it is useful to know that a software product can cover the requirements. And there is strong interest in extending this area by user demand.
- Software suppliers have developed their products to meet requirements in MoReq.
- It has been used as a resource in training and education for ERM.

These are just some of the ways it has been used. And shows the wide range of users.

So how is MoReq2 being worked on? The DLM Forum set up a Working Group for MoReq and the scoping work has been carried out under its auspices.

Aims for a MoReq2

The proposed new version of MoReq has been named MoReq2. It is intended to extend the functional requirements and also to extend into testing software products compliance against the requirements. A large number of the Working Group members, and the comments which were received more widely, called for compliance testing.

In a wider sense it will aim to support activities in every country of the EU to improve the completeness and quality of electronic records.

Why is MoReq2 needed? It is needed to update existing areas of the requirements by enhancing them to meet the latest best practice. It will also add areas which have become important in the intervening four years.

MoReq has no tools for compliance testing. These need to be developed.

The requirements need the flexibility to be capable of being implemented in the many different environments with different legislation and records management cultures. The scoping of MoReq2 defines it in modules to enable this.

To maintain the standing and level of use of MoReq in the fast moving field of electronic records management, it has to be up to date with new standards and best practice.

Is a MoReq2 achievable? There are several reasons to believe that it is:

- The model requirements are intended to be flexible and can be tailored to different environments. They do not constitute a standard IT system ~ that could not be done to everyone's agreement.
- MoReq2 will be building on the fact of wide agreement and adoption of the original MoReq.
- In scope, it is to be an evolutionary update to the original MoReq, not a radically different product. MoReq 2 is not intended to shift its focus from mainstream management of electronic records to a new area, such as specialist management of archives.
- In extending the scope to compliance testing, it is known that the concept has been proved already in several countries.

Progress

What has happened so far on MoReq2? There have been a number of steps completed:

- a) Working Group meetings in March and October 2004 laid the ground work
- b) There was a good response to a wide call for comments ~ 170 comments from 18 countries
- c) Scoping work was done and was circulated to the WG at two stages to produce a Scoping Report
- d) The Scoping Report has undergone initial discussion with the European Commission.

Main Conclusions of the Scoping Report for MoReq2

So what will MoReq2 consist of? To meet the aims:

- The requirements are to be arranged in modules. And there is a so called base module because it constitutes the minimum necessary to provide credible electronic records management.



Key Issue: Base Module

- **The base module constitutes the minimum necessary to provide credible electronic records management**
- **Important areas for enhancement are:**
 - **Controls on access to facilities**
 - **Retention schedules and disposal**
 - **Export and transfer**
 - **Preservation**
 - **Metadata**

6 October 2005 EU DLM Forum Conference Budapest 8

•Important areas in the base module have been identified for enhancement and these include:

-Controls on access to facilities ~ more options and flexibility are intended here. Providing the ability to have many roles defined ~ Allowing use of facilities by roles such as Corporate records manager, local records coordinator, registry official, records reviewer. Also controls are needed on access to parts of the business classification scheme for those roles and for various types of users.

-Enhancement of retention schedules and disposal to cover them more thoroughly.

-Export and transfer in generic terms. I will come back to taking these forward more fully.

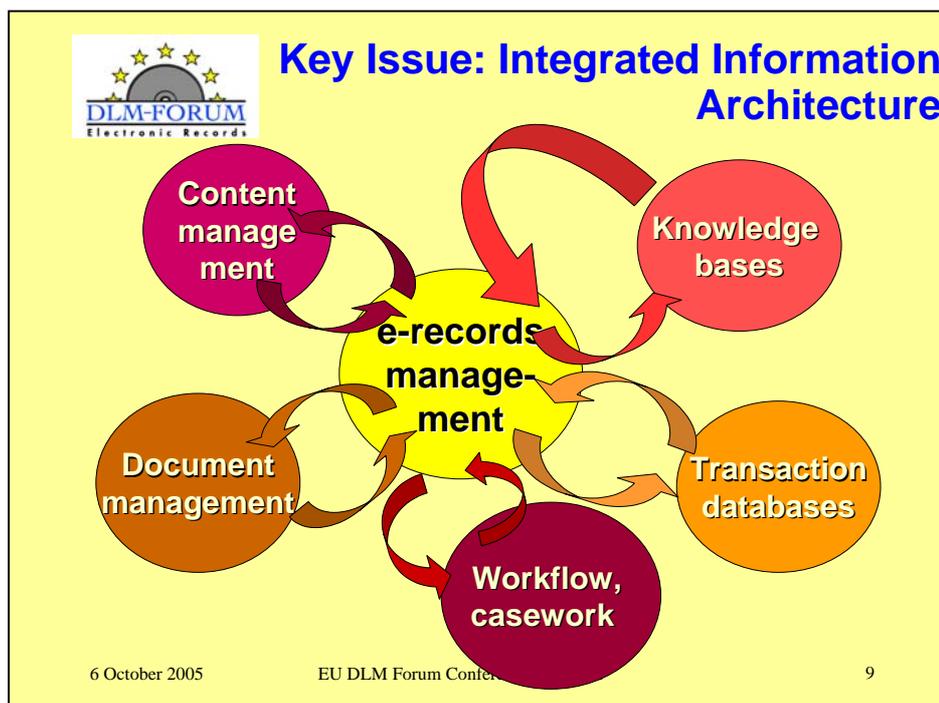
-Enhancement of digital preservation to treat it more thoroughly.

-For Metadata, elements for preservation will be included. It will be ensured that the metadata is compatible with ISO 23081 (Principles for metadata) and with the OAIS (Open Archival Information System standard ISO 14721)

-Importantly the metadata section is interwoven into the requirements. It is not merely a passive requirement that has to be supported in ERM systems. It

forces functionality to be developed which consistently enforces the metadata requirements. MoReq has some metadata specified but there needs to be more.

However electronic records management alone is not enough. The problem is that various systems create and hold information that should be captured as records. They need to be integrated to manage information and avoid losing records.



Integration with other applications in this way is defined in MoReq2 optional modules which may or may not be needed according to the environment in which electronic records management is being implemented.

These optional modules include:

- Integration with Content Management Systems; "Content management for these purposes means the management of documents and records in a variety of contexts. Including importantly internet protocol based environment and browsers. The main challenge is the need for robust control of public website, intranet and extranet content. It will be possible to take this to several levels: **Simple content management** is where there is a capability to publish a single document or object from the ERM environment to a website; **Web content management** is where complex compound objects from various sources are published to websites: Enterprise content management is where the previous environments have all been integrated with the ERM system;

- Management of non-electronic records (that is physical records) and hybrid files (combinations of electronic and physical records) will be enhanced;
- Workflow (existing) and Case work will be added;
- Document management and collaborative working will be enhanced;
- Likewise encryption, watermarking, electronic signatures;
- And likewise interoperability and openness;
- Distributed systems which is a new module but including existing requirements drawn from the base module and other sections.

The key issue of flexibility is addressed in several ways:

- Enhancements to the base module
- These optional modules
- And through “Chapter 0”s.

There is a consensus in the Working Group that a country introduction or “Chapter 0” should be written by the DLM Forum representatives of each country. These would be provided for inclusion at the finalisation of the various language versions of MoReq2. This was done by some translators of the original MoReq to explain the concept of “records” and their context in some cultures (for example Slovenian and Portuguese translations).

The country should decide what will be appropriate in their country introduction and it is likely to include:

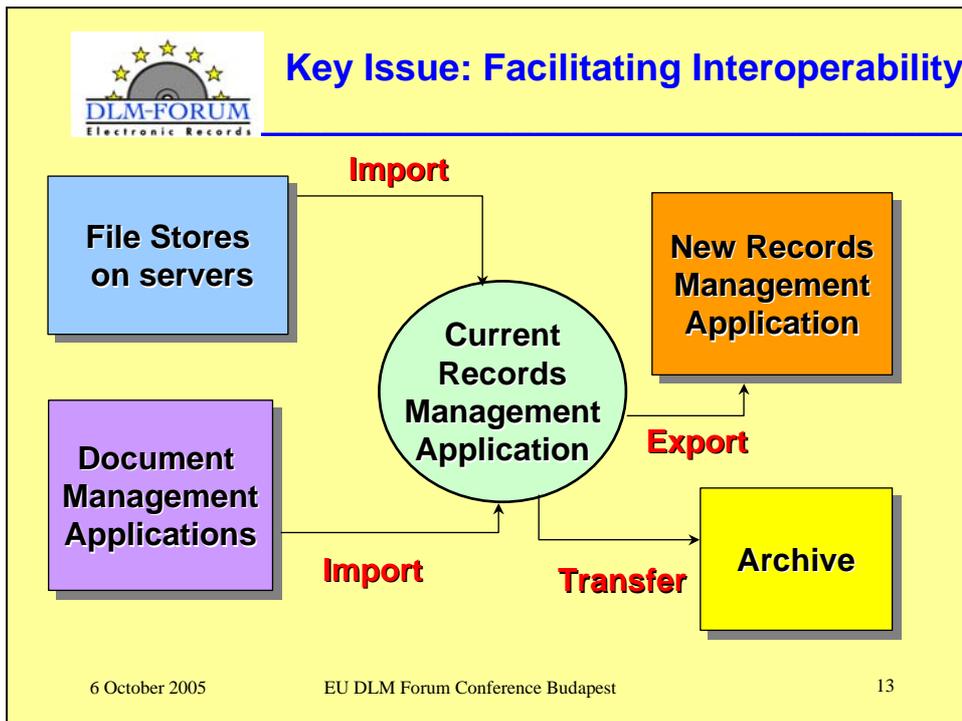
- the effect of national legislation
- the effect of the records management culture; for example procedures around MoReq2 for rules and processes for recording documentary transactions, providing registry facilities using MoReq2 functions etc
- translation information particularly on the key concepts such as the treatment of the words for documents and records.

Compliance testing is envisaged to provide:

- Evaluating software products against MoReq2 so that they are known to be compliant
- Also allowing software to be tested in particular systems by the implementers.

For this, standard test criteria and test scripts with expected results will be needed as part of MoReq2 to support consistent evaluation of compliance through testing.

An overall compliance testing regime will be for the DLM Forum to devise on the basis of MoReq2.



There will be development in generic terms for facilitating interoperability in the Base module.

Further development of export and transfer possibly in terms of XML schemas and compliance testing of these aspects will be for the DLM Forum on the basis of MoReq2.

MoReq2 will take into account developments since 2001 from:

- ISO15489 the over arching Records Management standard
- The work in operation under the The National Archives of the UK's TNA 2002 requirements
- Likewise with the German Domea
- And other national projects
- Ensuring compatibility with key standards such as Metadata for records – Principles (standard ISO 23081) and with the OAIS standard (ISO 14721).

Next Steps

Firstly to recap on what progress has been achieved so far:

- The DLM Forum Working Group meetings, scoping and review in 2004, 2005
- The scoping report is in final draft now
- It has been under review by the European Commission in September.



Next Steps for MoReq2

Targeted:

- **Endorsement by DLM Forum in October**
- **European Commission ITT; and project in partnership with DLM Forum in 2006**
- **In parallel, DLM Forum progress compliance testing regime and export and transfer methods**
- **Publication of MoReq2 in 2007 and start compliance testing**

6 October 2005

EU DLM Forum Conference Budapest

16

The targets are now:

- Endorsement by DLM Forum members at the Annual General Meeting. This is important to support the European Commission's consideration of an ITT; and EC funded project in partnership with the DLM Forum in 2006
- In parallel, the DLM Forum will progress on a compliance testing regime and on export and transfer methods
- The overall targets are the publication of MoReq2 in 2007 and a start to compliance testing.

As a post conference note, it can be reported that the DLM Forum Annual General Meeting on 6th October 2005 endorsed the Scoping Report for MoReq2. It is available at

http://www.dlm-network.org/index.php?categoryid=8&p13_sectionid=1&p13_fileid=32