MoReq2: the best way to manage electronic records?

Presentation to
**Records Management Society, Scotland Group**
**Society of Archivists Scotland**

Presented by
**Marc Fresko, Serco Consulting**
EDM & ERM Consulting Services Director

30 September 2008, Edinburgh
Introduction
- What is in MoReq2?
- What is not in MoReq2?
- How we developed MoReq2
- How you can use MoReq2
- Questions
Serco Consulting is an independent consultancy within Serco, a leading multinational services company.

Serco is a FTSE-100 sized company employing about 50,000 people in 35 countries, has a turnover of approximately £2.8billion.

Serco Consulting

- Employs about 200
- Acquired Cornwell last year
- Is the leading provider of independent consultancy advice and services on electronic document and records management
- Developed MoReq and MoReq2
MoReq2 is

- A Model Requirements specification for an electronic records management system
- The “moral equivalent” of the PRO 2002 standard or the US DOD 5015.2 standard – but with much more content

MoReq2 describes the capabilities of a good, generic, system that can manage electronic records (an ERMS or EDRMS)
What kinds of records?

Records typically stored using EDRM systems

MoReq2 is mostly about storing “unstructured” records
MoReq2 is mostly about storing “unstructured” records

Unstructured
- Word processed documents
- E-mail messages
- Scanned (and other) images
- Audio and video recordings
- …

Structured
- Payroll records in a payroll system
- Manufacturing records in a manufacturing control system
- Financial transaction records in a general ledger system
- …

All definitions of “unstructured” are wrong, imprecise, or both

MoReq2 is mostly about storing “unstructured” records
MoReq2 is important

- Regarded as a standard (but is not formally a standard)
- MoReq – the predecessor of MoReq2 – was widely adopted
- MoReq was translated into 11 languages (at least)

Brazilian Portuguese  Croatian  Czech  Dutch  French  Hungarian  Italian  Portuguese  Russian  Slovenian  Spanish
Agenda

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MoReq2 consists of

- The requirements specification
- Testing framework
- XML schema

A governance framework for all these is in preparation

Most of this presentation is about the requirements specification
MoReq2

- Published February
- Available free at www.moreq2.eu
- Paper version due later this month
MoReq2 improvements over MoReq

- Better language (testable)
- Modular
  - Core module – records management functionality
  - 13 optional modules
- New functionality
  - To reflect developments since 2000
  - To include requirements identified since 2000
- Updated references (e.g. new standards)
- Clarify inconsistencies, correct errors
- Testing scheme should start later in 2008
### What is in MoReq2?

- **Overview**
  - Useful for senior management

- **Requirements**
  - 794 formal requirements
  - Functional & non-functional

<table>
<thead>
<tr>
<th>Requirement</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>3.1.5</td>
<td>The ERMS must allow management of the classification scheme by an administrative role only, subject to requirement 3.1.5. In this requirement, “management” refers to the operations described in section 3.1 and section 3.4.</td>
</tr>
<tr>
<td>3.1.6</td>
<td>The ERMS should allow management of individual classes and/or by specific users. In this requirement, “management” has the same meaning as in requirement 3.1.5. This is intended for two settings:</td>
</tr>
</tbody>
</table>

- large classification schemes which therefore have central management for the lower levels;
What is in MoReq2?

- Overview
  - Useful for senior management
- Requirements
  - 794 formal requirements
  - Functional & non-functional
- Reference model
  - Glossary
  - Entity-relationship model
- References
Example of sub-files (from yesterday)

- SURNAME, firstname, IRISId, dd_mm_yyyy
  - Adoption
    - Assessment & Care planning
    - Child Protection
    - Contact Sheet
    - Correspondence
    - Detailed Record Sheet (DR1)
    - Diary Sheet (DS1)
    - Education
    - Essential Information
    - File Audit
    - Finance and commissioning
    - Health
    - Legal
    - Legal File
    - Looked after Children Section
What is in MoReq2?

- Overview
  - Useful for senior management
- Requirements
  - 794 formal requirements
  - Functional & non-functional
- Reference model
  - Glossary
  - Entity-relationship model
- References
- Standards
- Metadata model
  - About 160 metadata elements
Example of MoReq2 Metadata definition

**M047: Description.abstract.description**

<table>
<thead>
<tr>
<th><strong>Obligation:</strong></th>
<th>Optional</th>
<th><strong>Occurs:</strong></th>
<th>Once</th>
</tr>
</thead>
</table>

**Definition:** A textual description of the entity and its relevant content.

**Applies to:**
- class ✓
- file ✓
- sub-file ✓
- volume ✓
- record

**Populated:** Manually entered when the entity is created.

**Source**
User.

**Default**
None.

**Inheritance**
None.

**Use conditions:** Can be changed by users who have appropriate access rights.

**Comment:**
For classes and files, the description can be used to clarify the intended content to the benefit of users. For e-mail values can be taken from RFC 2822 header field “comment” if present (at the time of writing it is rarely used).

**Requirements**
3.1.10

The metadata model is not needed by most users. It is intended mainly for software providers.
Countries will add their own “chapter zero”
- Terminology
- National laws
- National regulations and standards

No plan for an English chapter zero
Is there a need for a Scottish ch. zero?

DLM Forum plans to ensure that chapters zero do not contradict MoReq2
MoReq2 contains several enhancements

**Records management**
- Sub-files, case management
- Distributed management
- Mobile working
- New forms of information
- Preservation
- Export, import, transfer
- Disposal hold (legal hold)
- ...

**Additional to records management**
- Workflows, usability
- Content management integration
- Digital rights management
- Collaborative working
- ...

Slide 19
MoReq2 is modular

- MoReq2 consists of “core module” plus 13 “optional modules”
- Core module contains “pure” records management requirements
- Optional modules contain functionality that is needed by many when managing electronic records, but is not strictly records management
- Compliance with MoReq2 will require compliance with all core module mandatory requirements; compliance with optional modules will be optional
Core module contain requirements for

- Classification Scheme and File Organisation
- Retention and Disposition
- Controls and Security
  - Includes management of Vital Records
- Retention and Disposition
- Capturing and Declaring Records
  - Includes e-Mail Management
  - Includes Scanning and Imaging
  - Includes Bulk Importing
- Referencing
- Searching, Retrieval and Presentation
- Administrative Functions
  - General Administration
  - Reporting
  - Changing, Deleting and Redacting Records
Optional modules contain requirements for:

- Management of Physical Files and Records
- Disposition of Physical Records
- Document Management and Collaborative Working
- Workflow
- Casework
- Integration with Content Management Systems
- Electronic Signatures
- Encryption
- Digital Rights Management
- Distributed Systems
- Offline and Remote Working
- Fax Integration
- Security Categories
Test framework

- Designed to test commercial applications for compliance with MoReq2
Developed by imbus AG (Germany)

Now available at www.more2.eu

Testing scheme later this year, run by DLM Forum – Serco not involved

Will allow buyers of systems to choose MoReq2-compliant software

Software companies are already working on compliance
XML schema

- Defines a computer “language” that will allow different ERMSs to exchange records

```xml
<?xml version="1.0" encoding="UTF-8"?>
xmlns:moreq2="http://www.moreq2.eu" elementFormDefault="qualified"
attributeFormDefault="unqualified" version="0.1">
  <xs:annotation>
    <xs:documentation>This schema defines layout of data that must be used to import and export data between MoReq2 compliant systems.</xs:documentation>
    <xs:appinfo>
      <xs:Specification_Date>February 2008</xs:Specification_Date>
    </xs:appinfo>
  </xs:annotation>
  <xs:include schemaLocation="MoReq2-Class.xsd"/>
  <xs:include schemaLocation="MoReq2-Record_Type.xsd"/>
  <xs:include schemaLocation="MoReq2-User.xsd"/>
  <xs:include schemaLocation="MoReq2-Role.xsd"/>
  <xs:include schemaLocation="MoReq2-Group.xsd"/>
  <xs:include schemaLocation="MoReq2-Entity-Agent.xsd"/>
  <xs:include schemaLocation="MoReq2-Retention-And-Disposition.xsd"/>
  <xs:element name="Classification_Scheme">
    <xs:annotation>
      <xs:documentation>A classification scheme is the foundation of any ER system context, by defining the way in which the electronic records will be organised into aggregates (files, classes etc.), and the relationships between them.</xs:documentation>
    </xs:annotation>
    <xs:complexType>
      <xs:sequence>
        <xs:element name="Description">
```
The DLM Forum and the EC plan to co-operate to implement good governance for MoReq.

The EC owns the intellectual property but the DLM Forum will manage the governance.

The governance should include:

- Protection of the MoReq and MoReq2 names
- Policing claims of “MoReq2 compliance”
- Ensuring all translations are accurate
- Ensuring chapters zero do not conflict with MoReq2
- Maintaining and developing MoReq – specification, test framework, schema
You will not find in MoReq2

- Radical changes
  - MoReq2 is an evolutionary development
  - A MoReq compliant system would be MoReq2 compliant
  - MoReq2 does not preclude radical change – it just does not require it

- Non-hierarchical approaches
  - Such as keyword AAA

- Mixing classes and files in a classification scheme
  - Controversial

- “Virtual folders”
  - MoReq2 does not preclude virtual folders – it just does not require them
MoReq2 does not include

- Details of your legacy systems
- Knowledge of how much integration you need
- Metrics relevant to your implementation
  - Users
  - Records
  - Files and classes
  - Performance
- The amount and nature of distribution/centralisation you need

Therefore to use MoReq2 for procurement you must customise it
MoReq2 compliance

- MoReq2 is designed to test application software
- It is not designed to test or validate implementations
  - It may be possible to use it for this purpose, but care is needed
Other limitations

- Software compliance with MoReq2 is not a guarantee your needs will be met
  - It guarantees only that the software can manage records when configured and installed in a particular way

- A tested configuration will differ from your installation
  - System software components and versions
  - ERMS components and versions
  - Configuration options

- The ERMS software will be maintained and updated

- Some requirements are not testable

- Testing documentation is available in English only
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MoReq2 Specialists Panel

- DigitalPreservationEurope (formerly ERPANET)
- document@work, Belgium
- International Council on Archives
- Records Management Society, UK
- Records Managers Guild, Russia
- Scientific Archivists Group, UK & Europe
- The Society of Archivists, Ireland
- International Records Management Trust
- ARMA International
MoReq2 Archives Panel

- Archives Générales du Royaume de Belgique
- Arhiv Republike Slovenije (Slovenia)
- Czech Republic Ministry of the Interior
- National Archives of Malta
- Instituto dos Arquivos Nacionais, (Portugal)
- Statens Arkiver (Denmark)
- Latvijas Arhivi (Latvia)

Other European National Archives participated through the DLM Forum
Vendor panel members

ALMOST ALL THE RECORDS MANAGEMENT INDUSTRY

Also later joiners: Capgemini, Civica, Fujitsu, EDRM Solutions, ErgoGroup, FreeSoft, Getronics, Lockheed Martin, Morse…
### Status: Translations of MoReq2

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<th>In Progress</th>
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<th>Next…</th>
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<td>Slovenian</td>
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And probably others?
## Status: interest from beyond Europe

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MoReq2 website statistics, 1 to 26 September
Key point

- MoReq2 was developed with commitment and contributions from a wide range of stakeholders from all over the world.
- The supplier community seems to be adopting MoReq2 – so it will be a meaningful standard.
- MoReq2 is available from www.moreq2.eu
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Use MoReq2: for education

- Introductory chapter is a good management introduction
- Requirements chapters can be used to educate junior practitioners
- Appendices provide lists of standards and other references
Do you need all the functionality in MoReq2?

No. You need to customise it for your needs.
Use MoReq2: for procurement in 2008

- No compliant software products yet – several under development
- Use MoReq2 carefully to prepare a detailed specification
- Choose only functionality that is realistic today
- Customise it for your requirements
  - Where MoReq2 has a range of options, choose which is right for you
  - Choose the optional modules that apply
  - Where MoReq2 specifies options, choose the option that your business requires
  - Add your unique requirements, especially for
    - Integration to other systems
    - Making generic requirements specific (eg performance)
    - Roles and access controls
    - Any additional metadata and functionality
- Always highlight any changes you have made to the base specification
Use MoReq2: for procurement after 2008

- Compliant software products will exist
- Use MoReq2 *carefully* to prepare a detailed specification – but do not publish all of it
- Customise it for your requirements
  - Where MoReq2 has a range of options, choose which is right for you
  - Choose the optional modules that apply
  - Where MoReq2 specifies options, choose the option that your business requires
  - Add your unique requirements, especially for
    - Integration to other systems
    - Making generic requirements specific (eg performance)
    - Roles and access controls
    - Any additional metadata and functionality
- Publish only the changes (additions) to MoReq2
- Always *highlight* any changes you have made to the base specification
More from...

- moreq2@serco.com
- www.moreq2.eu (contributions sought)
- www.dlm-network.org (note major conference early December in Toulouse)
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Questions
MoReq2: the best way to manage electronic records?

Marc Fresko, Serco Consulting
marc.fresko@serco.com
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