



# Preservation Across the Digital Continuum: The NAA's Experience with EDRMS Preservation

May 2021

# What I'll cover

- Government archives and record creators – accumulate records
- Functional recordkeeping – late 90s/early 2000s
- Standards and guidelines
  - Designing and Implementing Recordkeeping Systems
  - Recordkeeping metadata standard
  - Generic requirements for EDRMS
- EDRMS transfer
- Practical lessons

# Digital records – 1970-1990s

- Petroleum exploration records
- Physical media stored in off-line storage environment
- Classic media obsolescence



# Distributed Custody: 1996-2000

“Our current view is that the preferred arrangement is for agencies to retain custody of electronic records of ongoing value, but under a management regime worked out with the National Archives.”

**NAA, 1995**

# Functional Recordkeeping

- Continuum theory (1990s)
- AS/NZ 4390 (1996)
  - ISO 15489 (2001)
- e-Permanence Suite (2000)



# Designing and Implementing Recordkeeping Systems

- **8 Step process**
  - **Step A: Preliminary Investigation**
  - **Step B: Analysis of Business Activity**
  - **Step C: identification of Recordkeeping Requirements...**
- **2007 MAC Report**

“The Management Advisory Committee notes that the DIRKS process to obtain a records authority is relatively complex and resource intensive, and considers that a simplified version would be more widely accessible across the Australian Public Service”

# RDA Coverage

Performance criteria	Target	Goal	Result
Records of enduring national significance are identified and transferred into the national archival collection for safe keeping	80% of Australian Government entities have comprehensive records authority coverage by 30 June 2020	80%	79%

# Australian Government Recordkeeping Metadata Standard

- Version 1: 1999
- Version 2: 2008 (multi-entity model)
- Version 2.2: 2015
- Minimum Metadata Set: 2015
  - 9 properties

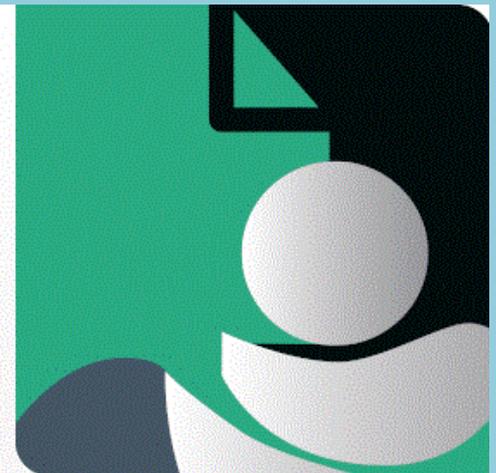


# Generic Specifications for EDRMS

- **Functional Specifications for Electronic Records Management Systems Software (2006)**
- **ICA/ADRI Principles and Functional Requirements for Records In Electronic Office Environments (2008)**
- **ISO 16175 (2010)**

Micro Focus  
Content Manager

Enterprise Content Management (ecm)  
solution that provides electronic  
document & records management



# Commonwealth-Wide Digital Transition Policies

- **Digital Transition Policy (2011)**
- **Digital Continuity 2020 (2015)**
- **Building Trust in the Public Record (2021)**
  - Digital preservation focus

## **Building trust in the public record policy**

The *Building trust in the public record: managing information and data for government and community* policy came into effect on 1 January 2021.

The policy identifies key requirements for managing Australian Government information assets (records, information and data).

# TRIM Transfer Project

- TRIM Captura (2000)
- TRIM Context (2006)
- .....
- Micro Focus Content Manager 9.4 (2020)
- Most common EDRMS used by Commonwealth agencies (76%)



- TRIM Transfer Project commenced in 2012
- Records created between 1998-2008 sentenced against the NAA Records Authority and AFDA
- Archival value records transferred, described, and ingested into the digital archive
- Number of records sentenced were over 30,000 TRIM files, amounting to over 1 million records

# EDRMS Transfer Issues

- Email attached TRIM links can't be preserved
- Captured finalised records, not versions (unless the versions were captured as separate records)
- TRIM Outlook format (.vmbx and .mbx) base64 encodes attachments
- Analysis of formats up front would identify preservation issues
- Archival control is complex and difficult to achieve



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