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
  o Designing and Implementing Recordkeeping Systems
  o Recordkeeping metadata standard
  o 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
“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)
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

<table>
<thead>
<tr>
<th>Performance criteria</th>
<th>Target</th>
<th>Goal</th>
<th>Result</th>
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<tbody>
<tr>
<td>Records of enduring national significance are identified and transferred into the</td>
<td>80% of Australian Government entities have comprehensive records authority coverage by 30 June 2020</td>
<td>80%</td>
<td>79%</td>
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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


• ICA/ADRI Principles and Functional Requirements for Records In Electronic Office Environments (2008)

• ISO 16175 (2010)
Commonwealth-Wide Digital Transition Policies

- Digital Transition Policy (2011)
- Building Trust in the Public Record (2021)
  - Digital preservation focus
TRIM Transfer Project

- TRIM Captura (2000)
- TRIM Context (2006)

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- 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