

Long-term preservation permission procedure for governmental agencies

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Topics

- SÄHKE-requirements
- What is required to have permission?
- Auditing and certification framework



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Legislative background

- According the Finnish archives act National Archives of Finland has right to present requirements for electronic records management systems (ERMS).
- In order to preserve records only in digital format organization in public administration must apply permission for this from National Archives.
 - Organization must fulfill SÄHKE-requirements, for records management systems and processes.



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SÄHKE requirement categories

- **Information and task classification**
 - Quality and accordance with “real processes”
 - Maintenance classification
- **Records management process**
 - How task classification is used
- **Metadata**
 - obligatory metadata elements
- **Disposal of non-permanent records**
 - Documented and managed administrative process
- **Transfer**
 - Proper file formats (and content) and valid XML-structure
 - Error handling and transfer management
- **General “Good governance”**
 - Log-file management
 - Information security



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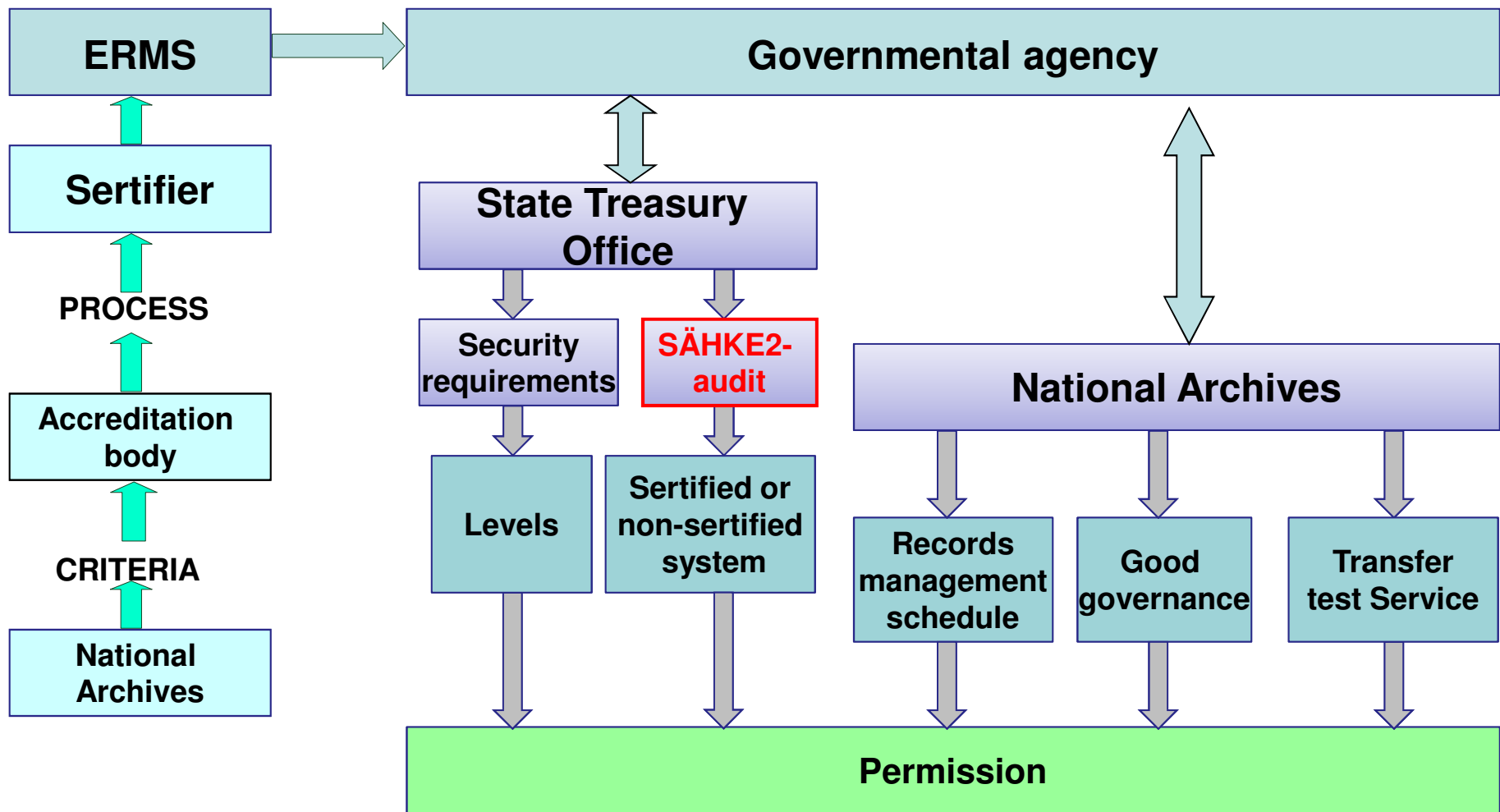
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Why permission?

- "Proactive risk mitigation"
- To verify the fulfillment of requirements before records are produced
- To make sure that data is VAPA-compatible
- To make sure that system is capable to transfer files to VAPA
- Permission can also concern preservation in organizations own system.



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Audit

- Pre-defined requirements and measuring guidelines, based on SÄHKE2
- Management of processes and information
- Documented awareness of responsibilities
- ERMS should be certified, if not, then also ERMS functionalities must be audited.
- Executed by private enterprise



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Audit process

- Outsourced pre-defined auditing package (developed from SÄHKE2-requirements)
- Assisted systematic self-assessment
 - Pre-requirements for documentation
 - Self-assessment questions
- Auditing report: to recommend (or not) permission for long-term preservation.
 - Or what still needs to be done



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Good governance

- How ownership of the system/process is defined and managed?
- Logfiles: how produced, why used?
- Security audit and risk management
- Development of Governmental Enterprise Architecture
 - General rules for information management and responsibilities
- Documented processes and management



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Certification of ERMS

- Developing certification framework from SÄHKE-requirements with the certifier (private company)
- **What are we certifying:** ERMS
Functionalities and Sähke2-requirements
- **Status:** re-writing Sähke2-requirements and development of certification framework



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Sertification framework

- **Why:**

- Organizations don't have to look after that system is SÄHKE-compatible
- National Archives don't have to audit the system functionalities
- "productization" of SÄHKE-norms

- **Challenges:**

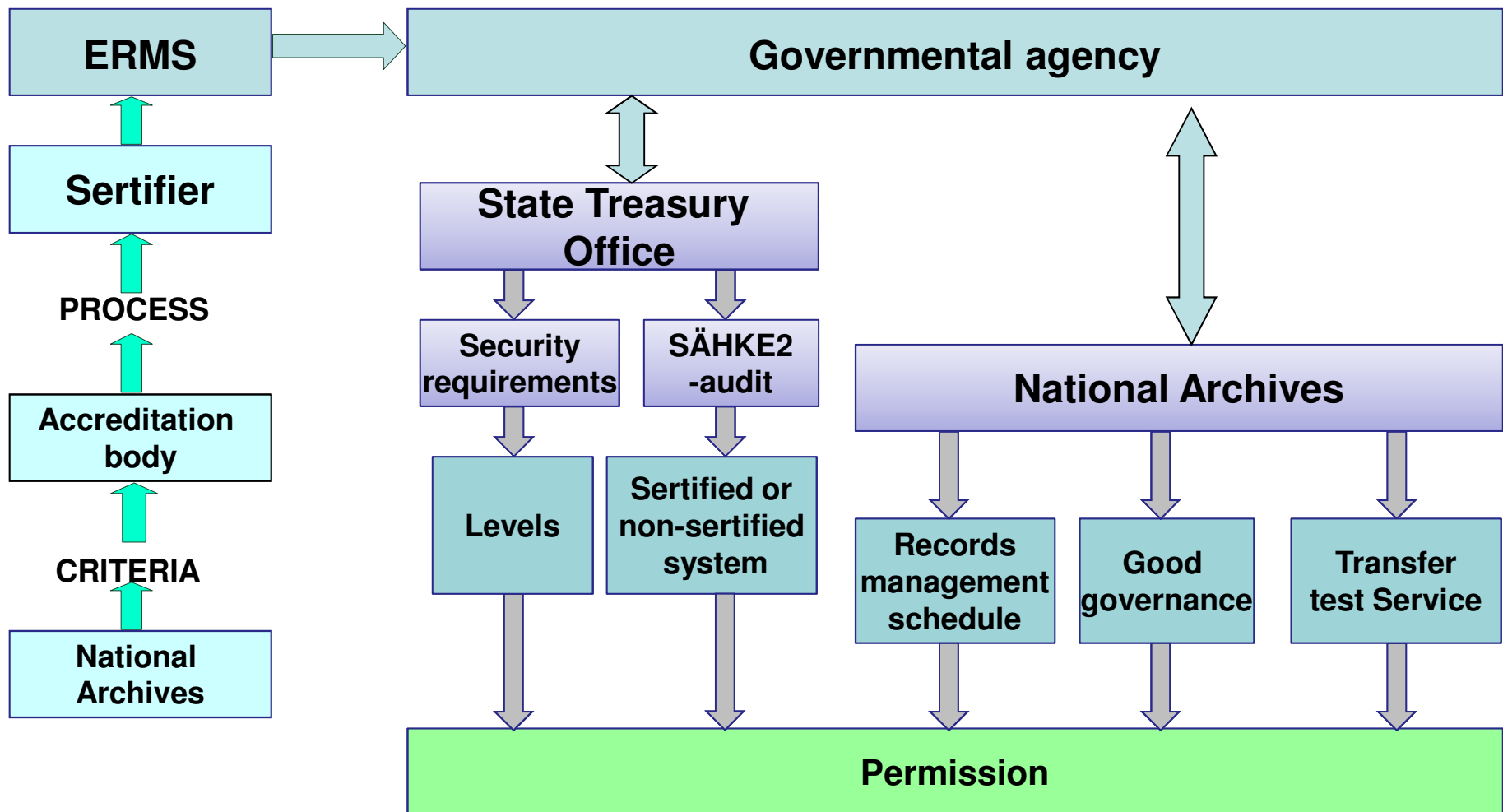
- How big are the markets? Will certifier-companies interested?
- Modifying the ERMS?
- How requirements are stated and how to measure?



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What we've learnt?

- How to verify? That must be clear when writing requirements.
 - Sähke3 should support certification
- It isn't easy to outsource: required expertise only in archives
- Software auditing requires special skills
- The whole framework isn't easy to understand
- Focus only on important issues



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Kiitos!

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