European Archival Records and Knowledge Preservation

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E-ARK Knowledge Centre

DLM-Forum Member Meeting
The Hague, 8-9 June, 2016
Knowledge Centre

• The Knowledge Centre (KC) is an **aggregator of services** developed under the scope of the E-ARK project
  – Services help to understand, contribute (**Resources Centre**) and validate (**Assessment Services**) Information Governance (IG) practices.

• KC intends to **harmonize** currently fragmented IG **knowledge** represented in the extensive collection of existing IG references (e.g. MoReq, ISO15489, ISO30300/15, ISO163637, ISO181288, etc.)
E-ARK Knowledge Centre

The E-ARK Knowledge Centre consists of a set of services that provide a comprehensive but simple and easily understood set of requirements for Information Governance. The requirements are elicited from existing reference documents. Organisations of any kind may use the services:

- To support the definition of Information Governance practices
- To assess existing Information Governance practices
- To contribute to the existing body of knowledge of Information Governance
- As a reference glossary for Information Governance terms and their meanings
- As a guide to improve existing Information Governance practices
- As a reference source for learning more about Information Governance

KC: http://kc.dlmforum.eu/
### E-ARK / Vocabulary: D3.1

#### Public Vocabularies

- **Deliverables**
  - D3.1 (10)
  - D3.2 (9)
  - D7.1 (21)
  - D7.2 (4)
  - D5.1 (20)

- **Others**
  - MOREQ2010 (305)
  - OAIS (78)

#### Columns: ✔ Name ✔ Definition ✔ Language

<table>
<thead>
<tr>
<th>Name</th>
<th>Definition</th>
<th>Language</th>
</tr>
</thead>
<tbody>
<tr>
<td>AIP</td>
<td>OAIS: An Archival Information Package, ...</td>
<td>English</td>
</tr>
<tr>
<td>Archive</td>
<td>An Organisation that intends to preserve...</td>
<td>English</td>
</tr>
<tr>
<td>Descriptive...</td>
<td>Metadata that describes the data conte...</td>
<td>English</td>
</tr>
<tr>
<td>Digital mat...</td>
<td>The term used to describe the digital as...</td>
<td>English</td>
</tr>
<tr>
<td>Digital Obj...</td>
<td>An object composed of a set of bit sequ...</td>
<td>English</td>
</tr>
<tr>
<td>Electronic D...</td>
<td>Is a type of content management syste...</td>
<td>English</td>
</tr>
<tr>
<td>Information...</td>
<td>A logical container composed of option...</td>
<td>English</td>
</tr>
</tbody>
</table>

**OAIS**

**Definition**

The Open Archival Information System is an archive (and a standard: ISO 14721:2003), consisting of an organization of people and systems that has accepted the responsibility to preserve information and make it available for a Designated Community.

**Language**

English
ISO-DIS-303...

2.6 Role of top management

Path: 2 Fundamentals of an MSR > 2.6 Role of top management

Top management is responsible for setting an organization’s direction and communicating priorities to employees and stakeholders. This includes linking the MSR to the organization’s requirements and goals, and understanding the risks associated with inadequate records management.

Policy direction comes from top management to: a) achieve consistency of operations throughout the organization; b) mandate employee adoption of the requirements of an MSR; c) ensure that business processes are transparent and comprehensible; and d) assure shareholders, board of directors, regulators, auditors and other stakeholders that information is being properly managed.

Through visible leadership and accountability, top management creates an environment in which an MSR can operate effectively. The principles of the MSR (see clause 2.4) are used by top management as the basis for its role to:

1) establish, maintain and promote the records management policy and objectives to increase organizational awareness, motivation and conformance;
2) ensure that records management responsibilities and authorities are defined, assigned and communicated throughout the organization;
3) ensure that an effective and efficient MSR is established, implemented and maintained to achieve the organization’s objectives;
4) ensure the availability of the necessary resources and competencies to support and sustain the MSR;
Part One – Core Services

1. Fundamentals

1.1 Important Information

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7.5 Functional Requirements

Path: Part One – Core Services > 7. Model Metadata Service > 7.5 Functional Requirements

R7.5.01
Each Metadata service must manage Metadata element definitions (E14.2.11) with the following System metadata:

- System Identifier (M14.4.100),
- Title (M14.4.104),
- Description (M14.4.16),
- Scope Notes (M14.4.97),
- Presentation Order (M14.4.84),
- Min Occurs (M14.4.56),
- Max Occurs (M14.4.53),
- Is Modifiable Flag (M14.4.45),
- Is Entity Reference Flag (M14.4.45),
- Entity Reference Type Identifier (M14.4.24),
- Datatype (M14.4.10),
- Is Textual Flag (M14.4.47),
- Default Value (M14.4.13),
- Default Language Identifier (M14.4.12), and
- Retain On Destruction Flag (M14.4.88).

Metadata element definitions also have:
- Event history (see 2. System Services).
2.1 - General pilot model and use case definition.

1 - Is there a procedure to negotiate the terms of deposit between the Producer and the Archive?

**Objective:** Understand if the Archive is capable of negotiating the terms of deposit with Producers. Terms of deposit might include the specification of the metadata that must be included at the time of deposit, the schedule and method of deposit, the responsibilities of the Producer and the Archive regarding the information being ingested, etc.

- No: There is no procedure to negotiate the terms of deposit
- Ad-hoc: There is an ad-hoc procedure to negotiate the terms of deposit
- Defined: There is a defined procedure to negotiate the terms of deposit
- Defined and assessed ad-hoc: There is a defined, documented and ad-hoc assessed procedure to negotiate the terms of deposit
- Defined and assessed consistently: There is a defined, documented and consistently assessed procedure to negotiate the terms of deposit

**Comment:**

---

2 - Does the Archive validate if the Producer SIP complies with the defined format and structure specifications?

**Objective:** Understand if the Archive validates the Producer SIP regarding format and structure. If the SIP has deviations the Archive might reject the SIP and request the Producer to deliver a corrected SIP.

**Terms:** Producer SIP

- No: The Producer SIP is not validated.
Thank you for participating in this survey!

Results

<table>
<thead>
<tr>
<th>Section</th>
<th>Answered</th>
<th>Avg. Maturity Level</th>
</tr>
</thead>
<tbody>
<tr>
<td>Pre-Ingest</td>
<td>4 of 4</td>
<td>3</td>
</tr>
<tr>
<td>Ingest</td>
<td>13 of 14</td>
<td>3</td>
</tr>
<tr>
<td>Archival Storage and Preservation</td>
<td>4 of 7</td>
<td>2</td>
</tr>
<tr>
<td>Data Management</td>
<td>3 of 3</td>
<td>3</td>
</tr>
<tr>
<td>Access</td>
<td>2 of 7</td>
<td>2</td>
</tr>
</tbody>
</table>

To reopen the survey click the following button

Reopen Survey
MoReq Export Validation

This service aims to validate data files according to the XML Export Schema as defined [here](#).

The requirements of the Export Service define how entities must be exported by a MoReq-Compliant Records System (MCRS). These requirements are agnostic about the technical representation of the data, but meanwhile the DLM Forum also defined the MoReq2010 XML Schema, which is the reference XSD for this service.

This service therefore accepts the upload of an XML file, analysis it according to this XSD, and provides a report.

Examples for testing are available [here](#) [here](#).

Select file to validate:

Browse  Submit  Open result in new window
MoReq Schema Validator

Report □ Print Report □ Get as CSV

File Properties

Imported File Name: ex_err1.xml
Number of lines: 994
Imported File Size: 68 KB

Errors Report

<table>
<thead>
<tr>
<th>Line Number</th>
<th>Column Number</th>
<th>Error Message</th>
</tr>
</thead>
<tbody>
<tr>
<td>643</td>
<td>4</td>
<td>FATAL ERROR: The element type &quot;Export&quot; must be terminated by the matching end-tag &quot;&quot;.</td>
</tr>
<tr>
<td>20</td>
<td>14</td>
<td>Error: cvc-complex-type.2.4.a: Invalid content was found starting with element 'Compliance'. One of '{&quot;<a href="http://moreq.info/files/export%22;ExportCommencing%7D">http://moreq.info/files/export&quot;;ExportCommencing}</a>' is expected.</td>
</tr>
</tbody>
</table>

Structure Analysis Report

Schema structure check is not possible due to fatal error (See Error List)
Test Case: 1.1 Initial error check

PRE-CONDITIONS

Test system is operational

Expected results:

Test data (see appendix 1.A Test data) are loaded onto test system

Where the test system uses an API then a suitable test harness has been provided (see the Test Framework: Overview and Instructions, 4.1 Providing a test harness for API interfaces)

The test system has been configured, under R2.4.13 such that performing any function system wide will generate an event under R2.4.15 and R2.4.16 - in other words, all function definitions must have their Generate Event Flag (M14.4.34) set

The test system has been configured, under R2.4.20 such that the events generated by all functions system wide will be retained by residual entities - in other words, all function definitions must have their Retain On Destruction Flag (M14.4.88) set

If the model role service is implemented then the test system has been configured, under R4.5.8 such that every access control list is set to inherit all roles, not just administrative roles - in other words, the Include Inherited Roles Flag (M14.4.43) for all access control lists for all entities is set by default
<table>
<thead>
<tr>
<th>Name</th>
<th>Description</th>
<th>Associated to</th>
</tr>
</thead>
<tbody>
<tr>
<td>Interface1.jpg</td>
<td>First image of the interface</td>
<td>Test Case 1.1</td>
</tr>
<tr>
<td>TutorialVideo.mp4</td>
<td>Video of user completing step1</td>
<td>Test Case 1.1</td>
</tr>
<tr>
<td>Manual.pdf</td>
<td>Software manual</td>
<td></td>
</tr>
<tr>
<td>export2015.xml</td>
<td>System export after step 4</td>
<td></td>
</tr>
<tr>
<td>TutorialVideo2.mp4</td>
<td>Video for step 2</td>
<td>Test Case 1.1</td>
</tr>
<tr>
<td>FAQ.pdf</td>
<td>Software frequently asked questions</td>
<td>Test Case 1.1</td>
</tr>
<tr>
<td>Video3.mp4</td>
<td>Video for step 7</td>
<td></td>
</tr>
<tr>
<td>Notes.pdf</td>
<td>Notes from the developer</td>
<td></td>
</tr>
<tr>
<td>export2015_2.xml</td>
<td>System export after step 6</td>
<td></td>
</tr>
</tbody>
</table>
The displayed icons have the following meanings:

- ○
  No evidence associated: The user has not yet provided feedback for this Test Case

- ⚫
  Feedback needed: The user has associated evidence to this Test Case and is awaiting feedback from the test centre

- !
  New feedback available: The user has associated evidence to this Test Case and the test centre has provided feedback

- ☑
  Test Case completed: The test centre has declared that the evidence provided for this Test Case is adequate
Where can you help?

• Sign up!
  – (DLM-Forum Members can use their existing account)

• Use it!

• Give us feedback!
  – rjcv@tecnico.ulisboa.pt!
Questions?

Make sure to check:

http://kc.dlmforum.eu/
www.eark-project.com
https://github.com/eark-project

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